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MANDATORY DOCUMENTS

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



Important Instructions:

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

For office use only

(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number: (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

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

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

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

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

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

☐ PHOTO*



Sign Across Photograph
(Not on Face)

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin/Post Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
State/U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

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

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

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

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
State/U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

[illegible]

6. APPLICANT DECLARATION

[illegible]

7. ATTESTATION / FOR OFFICE USE ONLY

IPV Done ☐ on DD-MM-YYYY

KYC VERIFICATION CARRIED OUT BY										INSTITUTION DETAILS										
Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Code	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Code	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>										
Emp. Designation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>										
Emp. Branch	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>										
[Employee Signature]										[Institution Stamp]										

Annexure A1

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

Important Instructions:

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



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

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

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Updation KYC Number of Related Person (if available)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative
 Name* Prefix First Name Middle Name Last Name
 (If KYC number and name are provided, below details are optional)
 Maiden Name
 Father / Spouse Name
 Mother Name
 Date of Birth*
 Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
 PAN* ☐ Form 60 furnished

2. PROOF OF IDENTITY AND ADDRESS*

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

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

☐ PHOTO*



Sign Across Photograph
(Not on Face)

Address

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

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

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

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

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

Address

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

4. CONTACT DETAILS

Tel. (Off)					Tel. (Res)					Mobile						
Email ID																

5. REMARKS (If any)

6. APPLICANT DECLARATION

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

 [2/42]

Date : DD-MM-YYYY Place:

Signature /Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process
☐ Equivalent e-document ☐ Video Based KYC IPV Done ☐ on DD-MM-YYYY

KYC VERIFICATION CARRIED OUT BY**INSTITUTION DETAILS**

Date: DD-MM-YYYY
Emp. Name:
Emp. Code:
Emp. Designation:
Emp. Branch:

Name:
Code:

[Employee Signature]

[Institution Stamp]

MANDATORY**A. BANK ACCOUNT(S) DETAILS**

(Copy of Passbook / Bank Statement containing name of the constituent & transaction of last Six months)

Type of A/c ☐ Savings ☐ Current ☐ NRI/NRE/NRO ☐ Others (Specify) _____

Name of Bank _____

(Through which transaction generally be routed)

Bank A/c No. _____

Branch Address _____

City _____ State _____

Country _____ Pin Code _____

IFSC No. _____ MICR No. _____

ADDITIONAL BANK ACCOUNT DETAILS

(Copy of Passbook / Bank Statement containing name of the constituent & transaction of last Six months)

Type of A/c ☐ Savings ☐ Current ☐ NRI/NRE/NRO ☐ Others (Specify) _____

Name of Bank _____

Bank A/c No. _____

Branch Address _____ City _____ Pin Code _____

State _____ Country _____

IFSC No. _____ MICR No. _____

B. DEPOSITORY ACCOUNT DETAILS :

Beneficiary Name _____

DP ID _____ Client ID _____ Depository Name : ☐ NSDL ☐ CDSL

DP Name _____

OTHER DETAILS1. Gross Annual Income Details (please ✓) : ☐ Below ₹ 1 Lac ☐ ₹ 1 - 5 Lac ☐ ₹ 5 - 10 Lac ☐ ₹ 10 - 25 Lac ☐ > 25 LacOR Net Worth as on (Date) : _____ - _____ - _____ Rs. _____ (Net worth should not be older than 1 year)
(DD-MM-YYYY)

2. Occupation (please tick any one and give brief details) :

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired☐ House Wife ☐ Student ☐ Forex Dealer ☐ Others (Please Specify) _____3. Please Tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

For definition of PEP, please refer guideline overleaf

4. I / We would wish to receive docket B containing Rights and Obligations, Risk Disclosure Document (RDD), Guidance Note in

☐ Physical or ☐ Electronic(Note : Docket - B containing Rights and Obligations, Risk Disclosure Document (RDD), Guidance Note, is also available for download at our website www.econobroking.com, kindly refer to Client Registration Forms under Download Section.

Further, the same is also available at

BSE website, https://www.bseindia.com/static/investors/client_regislanguages.aspx?expandable=3NSE website, https://www.nseindia.com/invest/content/inve_rights_ob.htmMSEI website, <https://www.msei.in/members/compliance/kyc/kyc>MCX Website, <https://www.mcxindia.com/membership/members-compliance/vernacular-language>NCDEX Website, https://www.ncdex.com/Investor/Client_Reg_Doc.aspx andICEX Website, <https://www.icexindia.com/membership/compliance>

in vernacular language.)










5. Any other information _____

Client
Signature

[3/42]

MANDATORY**C. TRADING PREFERENCES**

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

BSE CASH	Client Signature  [4/42]	NSE F & O	Client Signature  [4E/42]
NSE CASH	Client Signature  [4A/42]	NSE CDS	Client Signature  [4F/42]
BSE F & O	Client Signature  [4B/42]	BSE CDS	Client Signature  [4G/42]
MCX F & O	Client Signature  [4C/42]	NCDEX	Client Signature  [4H/42]
ICEX	Client Signature  [4D/42]		

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

D. PAST ACTIONS

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

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

☐ Yes ☐ No If yes,

Sub-Broker's Name _____

SEBI Registration No. _____

Registered Office Address _____

Phone _____ Fax _____

Website _____

Whether dealing with any other stock broker/sub-broker

☐ Yes ☐ No If yes,

(if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker _____

Name of Sub Broker, if any _____ Client Code No. _____

Name of Exchange _____

Details of disputes/dues pending from/to such stock broker/sub- broker :

☐ Yes ☐ No If yes,

F. ADDITIONAL DETAILS

• Whether you wish to receive ☐ Physical Contract Note ☐ Yes ☐ No ☐ Electronic Contract Note (ECN) ☐ Yes ☐ No

Specify your Email id, if applicable: _____

Whether you wish to avail of the facility of

• internet trading ☐ Yes ☐ No wireless technology

• Whether you wish to receive communication from Member in electronic form on your Email-id : ☐ Yes ☐ No

{If yes then please fill in Appendix-A}

Client Signature  [5/42]

MANDATORY

NUMBER OF YEARS OF INVESTMENT/TRADING EXPERIENCE:

Type of Instrument	Experience	Type of Instrument	Experience
No Prior Experience		Stocks	<input type="text"/> <input type="text"/> Years
Derivatives	<input type="text"/> <input type="text"/> Years	Years in Commodities	<input type="text"/> <input type="text"/> Years
Others (Specify)	<input type="text"/> <input type="text"/> Years		

F. GOODS & SERVICE TAX REGISTRATION (GST DETAILS (As applicable, statewise))

Goods & Service Tax Registration No. _____ Validity Date

--	--	--	--	--	--

Name of the State _____

ISD GST Registration No : _____ Validity Date

		-			-				
--	--	---	--	--	---	--	--	--	--

Other details, if any _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer	
------------------------	--

(Surname) (Name) (Middle Name)

Status of Introducer ☐ Sub-Broker ☐ Remisier ☐ Authorized Person ☐ Existing Client

☐ Others

Address of the Introducer

[illegible]

Signature of the Introducer _____

H. NOMINATION DETAILS

☐ I/We wish to nominate

☐ I/We do not wish to nominate

Name of the Nominee

Relationship with the Nominee

PAN of Nominee Date of Birth of Nominee - -

[illegible]

Ph No

[illegible]

If Nominee is a minor, details of guardian :

[illegible][illegible]

Ph. No. _____

Signature of the guardian _____

WITNESSES (Only applicable in case the account holder has made nomination)

Witness Name :

Signature: 

Address :

WITNESS

Witness Name :

Signature : 

Address :

Client Signature  [6/42]

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 & commodity 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 broker's designated website, if any.

Place

Date : - - 2 0

FOR OFFICE USE ONLY

UCC Code allotted to the Client :

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

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

For, Econo Broking Pvt. Ltd.

Signature of the Authorised Signatory

Date : - - 2 0



Stamp of the intermediary

INSTRUCTIONS/ CHECK LIST

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

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

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

Client
Signature  [7/42]

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

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

4. For individuals:

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

5. For non-individuals:

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities & commodities on behalf of company/firm/others and their specimen signatures.

Client
Signature  [8/42]

THIS SPACE IS INTENTIONALLY LEFT BLANK

POLICIES & PROCEDURE**Mandatory Document dealing with Policy and Procedures Pursuant to SEBI's Circular dated Dec. 3, 2009**

(Policies and procedures forms integral part of the member constituent agreement.)

1. Refusal of order & orders for Penny Stocks:

Econo Broking Pvt. Ltd. shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stocks, illiquid stocks, stocks having low liquidity, illiquid "options", far month "options", writing of "options", stocks in S, Z and B2, T and TS category and any other contracts which as per the perception of Econo Broking Pvt. Ltd. are extremely volatile or subject to market manipulation.

Econo Broking Pvt. Ltd. may permit restrictive acceptance of orders in such scrips / contracts / commodities in controlled environments like orders received from clients being forwarded by branches to centralized desk at HO instead of allowing trading in such scrips / contracts / commodities at branch level or through Online trading platform. Econo Broking Pvt. Ltd. shall not be responsible for delay in execution of such orders and consequential opportunity loss or financial loss to client.

Econo Broking Pvt. Ltd. may cancel orders in such scrips/commodities received from clients before execution or after partial execution without assigning any reason thereof.

2. Setting up client's Exposure Limits

The client agrees and confirms to abide by the exposure limits, if any, set by Member or by the exchange or Clearing Corporation or SEBI from time to time.

The Stock Broker/ Commodity Broker / Trading Member may from time to time, at its sole discretion, impose and vary limits on the orders that the client place (including exposure limits, turnover limits, market level limits, limits as to number, value and / or kind of securities / contracts / commodities in respect of which buy or sell orders can be placed etc.) The client is aware and agree that the stock broker / commodity broker / trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of Member's risk perception and other factors considered relevant by Member and Stock Broker/ commodity broker / Trading Member may be unable to inform to the client of such variation, reduction, imposition in advance. The client agrees that the Stock Broker / commodity broker / Trading Member shall not be responsible for such variation, reduction and imposition of limits.

3. Applicable Brokerage Rate

The Client confirms and agrees that the brokerage shall be paid in the manner intimated by the Member to the client from time to time, including as a percentage of the value of the trade or as a flat fees or otherwise, together with the GST as may be applicable from time to time on the same.

The Client hereby agrees to the brokerage slabs/rates, as mentioned in this document, which do not exceed the maximum limits prescribed by the NSE/BSE/MSEI/MCX/NCDEX/ICEX/ SEBI.

4. Imposition of penalty/delayed Payment Charges (This must not result in funding by the broker in contravention of the applicable laws)

The client understands and agrees that applicability of delayed payment charge by either party is solely at the discretion of the Stock Broker and Commodity Broker.

Without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from a client towards settlement obligation or margin obligation either in cash segment and/or derivative segment may attract delayed payment charges at the rate of 2 % per month or part thereof or such other rate as may be determined by the stock broker and commodity broker..

While levying delayed payment charges on the debit balance in the running account of a client, Econo Broking Pvt. Ltd will not consider any credit balance in the other family or group account of the client.

5. The right to sell clients' securities / commodities or close clients' positions after giving notice to the client on account of non-payment of clients' dues

Without prejudice to the member's other rights (including the right to refer a matter to arbitration), the Member shall be entitled to liquidate / close out all or any of the Client's positions for non-payment of margins or settlement obligations after giving prior notice. Member may also sell off all or any securities / commodities of the client lying with member as collateral or otherwise for any amounts due by the client and adjust the proceeds of such liquidation/close out 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.

6. Internal Shortage

In case of purchase of securities/commodities by the Client at times Member may be unable to deliver the securities/commodities to the said purchaser on the pay out day

MANDATORY

due to non receipt of the said securities/comodities from another Client of Member who has sold the securities/comodities against the said purchase transaction. In case of securities member may buy the shares from the market on T + 1 day or on settlement day and deliver the same to the client or he may give close out at the rate as determined by the member.

7. Close out in case of internal Shortages:

Clients are required to make Commodities / Funds pay-in on or before Settlement day. In case of default in pay-in by the client and the shortage is at member level i.e. internal shortage, a penalty as applicable from time to time (not exceeding the percentage prescribed by the exchange for auctioned trades), will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client.

The Client hereby agrees that if he/she/it has short delivered any securities/commodities against his/her/its pay-in-obligation which resulted into internal shortage (i.e. buy position of another client of Member and could not be auctioned in the market), close out shall be debited to his account at the rate which is in the range of 5% to 20% above the purchase price or the closing price on auction day or such other percentage as may be revised by Member from time to time.

8. Restrictions/Prohibition to take further position or closing existing position

The Member may, in its sole discretion not allow taking further position to the client or may close the existing position of a client due to any restrictions in relation to volume of trading / manipulating or fraudulent trades/ outstanding business or margins stipulated by the exchange, clearing corporation/ clearing house and/or the Member and / or any other extraordinary event warranting such restrictions. The Client waives any and all claims for loss or damage arising directly or indirectly from any such restrictions.

9 Temporarily suspending or closing a client's account at the client's request

The Client may suspend or close his/her/its trading account temporarily by giving written request to the member. Such temporary closing or suspending of trading account will not affect the rights and obligation incurred prior to such suspension or closure. Any request for temporary suspension or closure shall not be processed by the member unless all the dues are paid by the client.

10. Deregistering the Client

The Member may, at its sole discretion, deregister clients' account to protect his interest which may include

1. Member may de-register the client account based on action taken by NSE/BSE/MSEI/MCX/NCDEX/ICEI/SEBI or being part of list of debarred entities published by SEBI or member is compelled by law to do so
2. On the basis of the information found in sites of CIBIL
3. Any breach of the terms of this agreement
4. Upon the death, winding up, bankruptcy, liquidation or lack of legal capacity of the client
5. The Client having misrepresented facts at the time of entering into this agreement or at the time of giving instructions or otherwise
6. Member has reasons to believe that account is being used for fraudulent purposes.
7. The client fails to fulfill his /its payment obligations under this agreement or otherwise due to member
8. Any other reason which member thinks reasonable for deregistering the account

The Client waives any and all claims for loss or damages arising directly or indirectly from such deregistering. The deregistering will not affect any liability of the Client resulting directly or indirectly from any transactions made at any time before such deregistering. Member shall have right to close out the existing positions, sell the collateral to recover its dues if any before deregistering the client.

11. Policy for In Active Clients

In case client has not used his account for a period exceeding 6 months but not later than 2 years across the exchanges, then his account shall be freezed for further trades and the said account shall be re-activated only after having received verification from client for his/her/their basic details such as PAN, Address, Bank Details, E-mail address, Mobile no. etc. through a verification call given by official of the company on registered mobile no. of client. Further if client has not used his account for more than 2 years, his account shall be deregistered and his account shall be re-activated only after proper recording of reason for such non use, in writing, after taking all the required proof and verifying the same with client on registered mobile no.

I/We have read and clearly understood the above policies & procedures and shall abide by the same. Further, I/We know that this policy has been adopted by Econo Broking Pvt. Ltd. at the given time and may have been revised overtime. Latest version of the policy is available at the EBPL's Web Portal www.econobroking.com.

Client Name : _____

Client
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TARIFF SHEET FOR TRADING

A. Brokerage Structure :

Branch :		Client Code :		
	First Lag		Second Lag	
	%	MINIMUM	%	MINIMUM
CASH - TRADING				
CASH - DELIVERY				
NSE FUTURES				
NSE OPTIONS				
NSE CURRENCY				
BSE FUTURES				
BSE OPTIONS				
BSE CURRENCY				
COMMODITY TRADING				
COMMODITY DELIVERY				
COMMODITY OPTIONS				

Checked by / Approved by :	Account Code Updated by :
Authorised Person (Name and Signature)	(Name and Signature)

B. Statutory Levies : Following statutory levies shall be levied as applicable from time to time.

- | | | | |
|-----------------------------|--------------------------------|-----------------------|--------|
| 1. SEBI Turnover Fees | 2. Exchange Transaction Charge | 3. Stamp Duty | 4. GST |
| 5. Security Transaction Tax | 6. Commodity Transaction Tax | 7. KRA & CKYC Charges | |

In addition to above, any charge levied by statutory authorities shall also be recovered from the clients.

C. Penalty : Penalties levied by exchange, SEBI and other authorities are recovered from the clients. Such penalty may include, Short Margin Penalty, Code Modification Penalty, etc.

D. Other Charges : (The GST shall be charged extra wherever applicable as per the prevailing rates.)

- Contract Minimum brokerage/Charges @ Rs. 25/- per contract per day, subject to exchange/SEBI permissible limit.
- Demat or Inter settlement Charges Rs. 25/- per instruction (ISIN).
- Bank Charges for clearance of cheque/dishonour of cheques given by client; @ Rs. 250 per instrument.
- Auction charges @ 1% of auction value or Actual, whichever is higher.
- Clearing Charges @ 0.00175% for all segments and 0.05% for option premium turnover.
- Collateral upload and release Charges Rs. 50 / ISIN
- One time documents Charges Rs. 100

Note : We are not working / acting as Clearing Member and we outsource the process of clearing and settlement of trades executed on behalf of our clients and hence we are charging clearing charges.

Client
Signature  [10/42]

NON-MANDATORY DOCUMENTS

[Please strike out the Non-Mandatory clauses that are not agreed to between stock & commodity broker/trading member and the client.]

I, voluntarily and unconditionally hereby state and declare that I/We have read and understood the terms and conditions mentioned hereinafter governing securities trading and broking services of Member i.e. Econo Broking Pvt. Ltd. and agree to be bound by the same.

1. GENERAL TERMS AND CONDITIONS GOVERNING THE SERVICE

(A) COMPLIANCE WITH LAWS

- (i) All transactions that are carried out by and on behalf of the CLIENT shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye Laws of the Exchange that may be in force from time to time, and their Clearing Houses, if any, on which such transactions are executed and/or cleared by the MEMBER that may in force from time to time, the Reserve Bank Of India and the NSDL and CDSL, the Securities Contracts Regulation Act and the rules made thereunder, and any other applicable statutory provisions and/rules or regulations. The MEMBER is under no obligation to inform the CLIENT of changes in these rules, regulations or guidelines.
- (ii) In case where the CLIENT is a Non resident Indian, he agrees to abide by Foreign Exchange Management Act and rules and regulations issued thereunder from time to time.
- (iii) The CLIENT hereby authorizes the MEMBER to take all such steps on the CLIENT's behalf as may be required or advisable in the MEMBER's opinion for compliance with the Exchange provisions or any other law or provisions or the complete or settle any transactions entered into through or with the MEMBER or executed by the MEMBER on behalf of the CLIENT. However, nothing contained herein shall oblige the MEMBER to take such steps.
- (iv) In addition to the specific rights set out hereunder, the CLIENT confirms and agrees that the MEMBER and the CLIENT shall be entitled to exercise any other rights which the MEMBER or the CLIENT may have under the Rules, Bye Laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.
- (v) Unless otherwise agreed in writing by the MEMBER, Client agrees and confirms that the Member and the Client shall in no circumstances be considered as persons acting in concert or as persons co-operating with each other (directly or indirectly) or as persons

having a common objective or purpose of substantial acquisition of shares or voting rights or gaining control over any company, whose shares are purchased by the Member for and on behalf of and on account of the Client.

- (vi) The Client understands, agrees and confirms to provide copies of Annual Accounts, Returns or any other document that may be asked for by the Member to comply with Prevention of Money Laundering Act, 2002, as amended. If the Client fails to provide the documents, as may be required by the Member, the Member reserves the right to terminate the client-broker relationship forthwith.

(B) DEMATERIALIZED SECURITIES

All orders made by the CLIENT shall only be in securities compulsory traded in the dematerialized form. All deliveries of securities made by or to the CLIENT shall only be in the dematerialized form.

(C) ACTING AS A AUTHORIZED PERSON :

The Client agrees that he will not act as a Authorized Person without prior written permission of the stock & commodity broker/trading member and without obtaining certificate of Registration from respective exchanges.

2. RISK DISCLOSURE

The Client confirms, declares and agrees that:

- (a) Client shall deposit with the MEMBER such monies, securities or other property, which may be required to open and / or maintain his account with the MEMBER.
- (b) All monies, securities or other property which the MEMBER may hold on Client's account shall be held subject to a general lien for the discharge of CLIENT's obligations to the MEMBER.
- (c) Client shall not, acting alone or in concert with others, directly or indirectly hold and/or control excess number of permitted Derivatives contracts as fixed from time to time by the Exchanges.
- (d) The CLIENT shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly the CLIENT will have exercised in excess of the number of permitted futures contracts as may be fixed from time to time by the Exchange.

3. SHORTAGES:

In case of purchase of securities/commodities by the Client, at times the stock & commodity broker/trading member may be unable to deliver the securities/commodities to the said purchaser on the pay out day due to non receipt of the securities/commodities from the exchange(s). In such

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cases, the securities shall be delivered to the purchaser on the deliveries received from the exchange.

4. AUCTION OR CLOSE OUT IN CASE OF MARKET SHORTAGE:

If the securities/commodities are not received on or before settlement date or the securities/commodities received are not in deliverable state or due to any reason whatsoever, client is not able to deliver securities/commodities and position is deliverable in market, the securities/commodities will be auctioned or closed out as per the rules of the concerned exchange. Consequently, client will be responsible for any resulting losses and all subsidiary cost including penalty levied by the exchange.

5. MARGINS:

The CLIENT shall make the prescribed initial margin in the form of cash and/or in the form of securities (the "Margin") with the MEMBER simultaneously with the opening of the account and prior to commencement of trading. The CLIENT shall be permitted to trade upto a pre-determined number of times of the MARGIN (the "Multiple") and the quantum of the Multiple on the margin shall be decided at sole option or discretion of the MEMBER who shall have the irrevocable right to set off a part or whole of the Margin. i.e. by way of appropriation of the relevant amount of cash or by sale or transfer of all or some of the securities which form part of the margin, against any dues of the CLIENT.

Any references in these terms to sale or transfer of securities by the MEMBER shall be deemed to include sale of securities which form part of the Margin maintained by the CLIENT with the MEMBER. In exercise of the MEMBER's right to sell securities/commodities, the CLIENT agrees that the choice of specific securities/commodities to be sold shall be solely at the MEMBER's discretion.

The Client confirms that the MEMBER is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by the Exchange, the Clearing House or SEBI) and the CLIENT shall be obliged to pay such margins.

A. Margin on Purchase:

CLIENT confirms and agrees to deposit interest-free margin of 30 % of such other percentage as may be intimated by the MEMBER from time to time on the price of the securities proposed to be purchased.

B. Margin on Sales:

The CLIENT confirms and agrees to deposit interest free margin of 30 % or such other percentage as may be intimated by the MEMBER from time to time on the price of securities proposed to be sold.

C. Margins in Derivative Contracts:

In the derivative segment, the CLIENT agrees to pay an initial margin upfront on or before creating a position. Such margin shall be decided upon by the MEMBER or the Exchange from time to time. Furthermore, the CLIENT is liable to pay (or receive) daily margins depending on whether the price of the Derivatives contract moves for or against the position undertaken. The CLIENT may also be liable to pay withholding margins, special margins or such other margins as are considered necessary by the MEMBER or the Exchange from time to time.

D. Mark to Market Margin in Derivative Contract

For derivative contracts, the CLIENT agrees that the MEMBER shall raise bills on daily or weekly basis, as may be decided by member. The CLIENT also agrees to pay an upfront margin at the beginning of each day or week that will be sufficient to cover the daily margins for the entire duration of the day or week. If at any time during day or the week, Mark to Market (MTM) or the cumulative Mark to Market (MTM) margin falls short of the margin available in the CLIENT's account, the CLIENT agrees to heed the MEMBER's additional margin calls. As the upfront daily or weekly margin calls are purely for operational convenience, the CLIENT will ensure that margin are adequate at all times and will immediately make good any shortfall that the MEMBER may communicate.

E. Payment through Cheque/ Demand Draft:

Client understand that in case where the payment by the CLIENT towards the margin is made through a Cheque issued in favour of the MEMBER, trade(s) will be executed by the MEMBER only upon the realization of the funds of the said Cheque or at the discretion of the MEMBER. The CLIENT agrees to mention his CLIENT code along with his name on the reverse of any instrument through which he makes the payment to the MEMBER. Client further understand and agrees that the Client shall prepare Demand Draw /Pay Order out of his own funds and agrees to provide source of the funds in case of any request made by the MEMBER.

F. Margin in the form of Securities:

The CLIENT may place margin with MEMBER in form of securities as approved by the MEMBER. Such securities may at the discretion of the MEMBER be marked as lien in favour of the MEMBER from the depository account of the CLIENT or such securities may be placed in a separate depository account of the MEMBER. Client confirms that the MEMBER may, at its own discretion, treat the securities lying in the depository account of the CLIENT, as margin, where the CLIENT has executed a Power of Attorney in favour

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of the MEMBER, for operating the said depository account.

The CLIENT may place/deposit only those securities, which are acceptable to the MEMBER. If at any time, a particular security ceases to be on the list of approved securities. The CLIENT shall provide such other margins as may be required in place of such security.

The CLIENT understands and agrees that it is at the sole discretion of the member to determine the market value of securities placed as Margin after applying a haircut that the MEMBER deems appropriate. The Client's positions are valued at the latest market price available (marked to market) on a continuous basis by the MEMBER. The CLIENT undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the margins, the CLIENT agrees to replenish any shortfall in the value of the Margins immediately, whether or not the MEMBER intimates such shortfall.

The CLIENT understands that the MEMBER may grant exposure to the Client at its sole discretion based on the securities purchased by the Client through the MEMBER after paying entire purchase price and which are kept in the Demat Account of the Client with Power of Attorney executed by the Client in favour of the MEMBER with a request to treat such securities as Margin.

G. Type of Margin:

The CLIENT confirms that the MEMBER has a sole discretion to prescribe the payment of Margin in the form of cash instead of securities the Client accepts to comply with the MEMBER's right of payment of Margin in the form of cash immediately failing which the MEMBER may sell, dispose, transfer or deal in any other manner the securities/commodities already placed with it as Margin or square off all or some of the positions of the CLIENT as it deems fit in its discretion and any resultant or associated losses that may occur due to such square off/sale shall be borne by the CLIENT, and the MEMBER is hereby fully indemnified and held harmless by the CLIENT in this behalf.

H. Margin with Exchanges/Clearing Member/Clearing House :

The CLIENT agrees that any securities placed by him/her as Margin may in turn be placed as margin by the MEMBER with the Exchanges or clearing member or clearing house as the MEMBER may deem fit. The CLIENT authorizes the MEMBER to do all such acts, deeds and things as may be necessary and expedient for placing such securities with the Exchanges/Clearing Member/clearing house as

margin.

I. Shortfall in margins and other provisions.

- (i) The Client confirms and agrees that if payment/securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the Client's account, all or some of the positions of the CLIENT as well as the securities of the CLIENT in the possession or control of the MEMBER may be liquidated by the MEMBER at its sole discretion, after any reference or prior notice to the CLIENT. The resultant or associated losses that may occur due to such squaring off or sale of such securities shall be borne by the CLIENT, and the MEMBER is hereby fully indemnified and held harmless by the CLIENT in this behalf. Such Liquidation or close out of positions shall apply to any segment in which the CLIENT does business with the MEMBER.
- (ii) The CLIENT Confirms and agrees that CLIENT is responsible for all orders including any orders that may be executed without the required Margin in the Client's account. If the Client's order is executed despite a shortfall in the available Margin, the CLIENT shall whether or not the MEMBER intimates such shortfall in Margin to the CLIENT instantaneously make up the shortfall either through delivery of shares from his own demat account in the event of a sale, or credit the required funds in the Bank account via wire transfer or personal Cheque, Cashier's Cheque or money order or account transfer or any other mode as may be required by the MEMBER.
- (iii) The CLIENT confirms that any reference in these terms to sale or transfer of securities by the MEMBER shall be deemed to include sale of the securities, which form part of the Margin and/or such securities of the CLIENT which are in possession or control of the MEMBER, maintained by the CLIENT with the MEMBER. In exercise of the MEMBER's right to sell securities, the CLIENT agrees that the choice of specific securities to be sold shall be solely at the MEMBER's discretion.

J. Amendment in Margins:

Any amendment in the percentage of margins as required to be maintained under these terms & condition, shall be intimated by the MEMBER to the CLIENT over the telephone or in writing or by posting the details on its website www.econobroking.com or such other website of the MEMBER as may be intimated. The CLIENT is required to make replenish the shortfall in such margins, if any, on demand of the same by the MEMBER or otherwise immediately.

In the event of any change in margin percentage by the Exchange, the MEMBER may change the applicable margin percent immediately and shortfall in margin on

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CLIENT's open position as a result of the same shall be dealt with in the same manner as specified in shortfall in margin specified herein above.

K. Interest Free Margin :

All Margin provided by the CLIENT shall be interest free and the MEMBER shall not be liable to pay any interest on the same irrespective whether the same forms part of any investment by the MEMBER in fixed deposits with the Bank or in any other instrument as may be approved by the Exchange or SEBI from time to time.

6. EXECUTION OF ORDERS

- (a) The CLIENT confirms and agrees that placing an order with the Member including a market order, does not guarantee execution of the order. The MEMBER has the absolute right to reject any order that may be made by the CLIENT for any reason whatsoever including for the breach of the requirement of maintaining the prescribed Margin in the CLIENT account or the Bank account.
- (b) The CLIENT agrees that if, under any circumstances or for any reason the market closes before the acceptance of the order by the Exchange, the order may be rejected. The Client agrees further, that the MEMBER may reject orders if the same are rejected by the Exchange for any reason. In case of rejection of an order due to rejection by the Exchange, the CLIENT agrees that the order shall remain declined and shall not be reprocessed, in any event.
- (c) The MEMBER may, at its sole discretion, reject any order placed on the website, through phone, or in any other manner for any reason including, but not limited to, the non availability of funds in the trading account of the CLIENT, non availability of the securities in the Demat account of the CLIENT with the designated Depository Participant insufficiency of margin amount if the CLIENT opts for Intra-Day margin trading, suspension of scrip for trading activities by or on the Exchange, or applicability of circuit breaker to a scrip in which orders are placed or insufficient bids or offers in any particular security/commodities. The Client further understands and agrees that MEMBER shall have right to reject the orders placed by the Client and/or put circuit breakers to discourage trades getting executed at unrealistic prices from the current market price of the security or prohibit the Client from trading in illiquid securities which creates artificial liquidity or manipulates prices or to discourage Client from cross/synchronized trading and MEMBER shall not be liable for any loss arising out of non acceptance or rejection of the Client orders by the MEMBER for any such reason if the Client fails to give sufficient reason for placing such orders.

- (d) The Client is aware that the Electronic Trading System either at the Exchange or in the MEMBER's office is vulnerable to disruptions, breakdown or failures. In the event of non-execution of trade orders or trade cancellation due to the happening of such events or vulnerabilities due to failure/disruption/breakdown of system of link, the CLIENT may not be able to execute the desired transactions. In such an event the MEMBER does not accept responsibility for the losses, costs, expenses or damages that may be incurred by the client due to such eventualities.

7. PRICE OF SECURITIES:

The CLIENT understands that with respect to any order, the CLIENT will obtain the price at which the order was actually executed in the market, which may be different from the price at which the security was trading when the CLIENT' order was entered into the MEMBER's system.

8. PAY-IN OF SECURITIES/FUNDS:

- (a) The Client understands and undertakes that he will give the funds and securities from his own bank and demat account respectively to honour pay-in obligations.
- (b) The Client understands that if the client trades in shares which are in Trade-to Trade Category of the respective exchanges, then the client shall give the delivery of shares for sell separately.
- (c) At all times, the client agrees to make the payment of funds only in the name and style of "ECONO BROKING PVT. LTD." vide account payee cheque from his/her own accounts, with details of the client code and the name of the client mentioned on the reverse of the instrument.
- (d) At all times, the client agrees to transfer the securities only to the designated depository account of the member.
- (e) The client agrees that the Member shall not be held responsible for any loss or damages in respect of any funds/securities which are deposited/transferred to any account other than that of the Member's designated account under this terms & condition.
- (f) In the event of client's account receiving an incorrect credit/debit by reason of a mistake, the member shall be entitled to reverse such incorrect credit/debit at any time whatsoever. The Client shall be liable and continue to remain liable to the member for any incorrect gain obtained as a result of the same and the member reserves the right to take such remedial action/measures against the client for recovery of the erroneous credit.

9. CANCELLATION OR MODIFICATION OF ORDERS

The Client confirms and agrees that:

- (a) The execution of order cancellations or modifications is

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not guaranteed. Cancellation of orders is possible only if the original order remain pending at the Exchanges. Market orders are subject to immediate execution. The CLIENT shall not presume that an order has been executed or cancelled or modified and the Client is required to verify the status of his/its orders with the trade confirmations by the MEMBER.

- (b) Unless otherwise specified by the MEMBER, any order not executed at the end of the day shall stand cancelled.
- (c) In the event of trade cancellation due to such events or vulnerabilities MEMBER shall be entitled to cancel relative contract(s) with the CLIENT. At times, due to unforeseen circumstances the MEMBER may not be able to execute the desired transactions (either the client's own transactions or transactions for enforcing margins as provided in this terms 7 condition) on a timely basis. The MEMBER does not accept responsibility for any losses that the Client may incur on such eventualities beyond the control of the MEMBER.
- (d) The MEMBER shall have right to reject any order based on its risk perceptions.

10. CORPORATE BENEFITS and SETTLEMENT CYCLES:

The CLIENT accepts responsibility of knowing the status of all corporate benefits like rights and bonus issues, dividends, and stock splits of shares that he/it intends to trade or which are held in his/its account. The CLIENT accepts responsibility for knowing the correct ISIN numbers of the shares in his/her/its account and the eligibility of the shares to meet share pay in obligations to the Exchange/Clearing Corporation whether received by way of purchase, rights, bonuses, stock split, off market transfers or otherwise.

11. OTHER CHARGES

- (a) The CLIENT agrees to pay any applicable taxes including the securities transaction tax, duties, and levies as may be levied on the transaction from time to time.
- (b) The MEMBER shall debit the charges of the depository participant for the trades and the bank charges for the realization of cheques etc. to the CLIENT's account.
- (c) User Fees/Other charges : The Client agrees that the MEMBER or any of its affiliates may charge user fees for the use of any other services including but not restricted to internet trading ancillary service, use of the website platform and the call and trade services at rates mentioned on the website or otherwise intimated and as modified from time to time.

12. INVESTMENT OR OTHER ADVICE:

The Client acknowledges that the Stock & Commodity broker/trading member shall neither be under any obligation to provide the Client with any legal, accounting, Investment advice or advice regarding the suitability or profitability of investment of any kind, nor do the Stock & Commodity broker/trading member give any advice or give any opinion with respect to the nature, potential value or suitability of any particular transaction or investment strategy. The client acknowledges that the employees of the Stock & Commodity broker/trading member or the Stock & Commodity broker/trading member himself are not authorised to give out any advice and the clients shall at all times be responsible and liable for his own actions / inaction. The client may be able to access investment research reports through the internet from the web-site, including computerized on-line service or physical copy. The availability of such information does not constitute a recommendation to buy or sell any of the investment products. Any investment decision will be based solely on the clients own evaluation of financial circumstances and investment objective. Any real-time quotes provided are only for the clients own use and the client shall not furnish such data to any other person or entity.

13. INTERNET BASED TRADING SERVICES:

- i. The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party.
- ii. The CLIENT agrees that the STOCK BROKER /TRADING MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/ STOCK BROKERS/TRADING MEMBERS/EXCHANGE end.

14. SUO-MOTO TRADE CANCELLATION:

The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, STOCK & COMMODITY BROKER/ TRADING MEMBER shall be entitled to cancel relative contract(s) with CLIENT.

15. ORDER/TRADE CONFIRMATION:

The STOCK BROKER/TRADING MEMBER shall also send the Order/Trade confirmation slip through E-mail to the CLIENT at his written request, within 24 hours from the time of execution of order/trade on the system, as the case may be. The CLIENT agrees that the information sent by STOCK & COMMODITY BROKER/TRADING MEMBER by E-mail is deemed to

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be a valid delivery of such information by the STOCK & COMMODITY BROKER/TRADING MEMBER.

16. JURISDICTION:

The Member and the Client declare and agree that the transaction executed on the Exchange are subject to the Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Bye laws and regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws, and Regulations of the Exchange and the circulars issued there under.

The MEMBER hereby agrees that it shall ensure that settlement of any arbitration proceedings arising out of the transactions entered into between the Member and the Client and that it shall be liable to implement the arbitration awards made in such proceedings.

This service does not constitute an offer to sell or a solicitation of an offer to buy any shares, securities or other instruments to any person in any jurisdiction where it is unlawful to make such an offer or solicitation. This service is not intended to be any form of an investment advertisement, investment advice or investment information and has not been registered under any securities law of any foreign jurisdiction and is only for the information of any person in any jurisdiction where it may be lawful to offer such a service. Further, no information on www.econobroking.com is to be construed as a representation with respect to shares, securities or other investments regarding the legality of an investment therein under the respective applicable investment or similar laws or regulations of any person or entity accessing www.econobroking.com.

17. PROVISIONS IN CASE OF DEFAULT:

In the event of a default of a Trading/Clearing Member on his own account, the Client's money will not be utilised to meet the Member's liabilities. In such cases, the Client's positions shall be either transferred to another solvent member or closed-out as per the provisions of the Rules, Bye-laws and Regulations of the Derivatives Segment/Currency Derivatives Segment or the Clearing House. The loss, if any, caused to the Client because of such action would be recoverable by the Client from the Member. In the event of failure of the Client to fulfill his obligations to the Member, the Derivatives Segment or the Clearing House, the Client's position may be closed out and the money, if any, of the Client available with the Member or with any other member, the Derivatives Segment or the Clearing House may be adjusted against the Client's liabilities/ obligations.

18. SHARING OF INFORMATION:

The Client agrees to immediately furnish information to the Member in writing if any winding up petition or insolvency petition or order has been filed or passed against him or any garnishee order has been served upon him or in respect of his obligations by a bank, or if any litigation has been filed against him or if any order, decree or award is passed against him. Similarly, the Member agrees to inform Client immediately about the contract specifications and associated obligations and daily settlement position. The Member will also inform the Client if the price of the futures contract or index has moved against the Client and the extent of the Client's daily obligations.

19. LEGAL DISABILITY OR DEATH:

In the event of death or insolvency of the Client or his otherwise becoming incapable of entering into Cash/Derivatives contracts, the Member may close out the transactions of the Client and the Client or the Client's representatives/heirs shall be liable for any outstanding positions in the contracts entered into by the Client. In case of any amount accruing to the account of the Client, the Client or the Client's representatives/heirs shall also be entitled to receive the surplus.

20. ARBITRATION:

The CLIENT agrees and confirms that except for the claims/disputes which are subject to the Rules and Regulations of the respective Exchanges on which the trades have been executed. Any and all claims and disputes arising out of or in connection with this terms and condition or its performance shall be settled by arbitration by a single arbitrator. The reference to arbitration, The Court at the place specified by the CLIENT for holding the arbitration proceedings or, if law does not permit the same, the Courts at the city in which the CLIENT's residence/office is situated, shall have exclusive jurisdiction in relation to this terms & condition, the arbitration and all matters arising in connection herewith and therewith. The arbitration shall be governed by the provisions of the Arbitration and Conciliation Act, 1996.

The Client and Member agree to refer any claims and / or disputes which are subject to Rules and Regulation of the respective exchange on which the trades have been executed to arbitration as per the Rules, Bye-laws and Regulations of the Cash /Derivatives Segment of the Exchange as amended from time to time.

21. DELAYED REPORTING OF TRANSACTION

The CLIENT confirms and agrees that:

- (a) If trades or transactions are reported late to the MEMBER on account of any problems at the Exchange

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or for whatsoever reason, the CLIENT in turn will be subject to late reporting of transactions.

- (b) In addition, any errors reported to the CLIENT for any reason whatsoever will stand subsequently corrected to reflect the transaction that was effected in the market.

22. CHANGE OF ADDRESS :

Unless the CLIENT informs the MEMBER of the change of the address for communication in writing, all notices, circulars, communication or mail sent to the existing address shall be deemed to have been received by the CLIENT irrespective of whether they are actually received or not.

23. MEMBER'S LIABILITY :

Under no circumstances shall the MEMBER or anyone involved in creating, producing, delivering or managing the Member's services be liable for any direct, indirect, incidental, special or consequential damages that result from the use of or inability to use the service, delay in transmission of any communication, in each case for any reason whatsoever (including on account of breakdown in systems) or out of any breach of any warranty or due to any fraud committed by any person whether in the employment of the MEMBER or otherwise.

24. RESERVE BANK OF INDIA GUIDELINES:

The Client is aware that as per the RBI guidelines. The Foreign Institutional Investors (FIIs), Non-Resident Indians (NRIs) and Persons of Indian Origin (PIOs) are allowed to invest in the secondary capital market in India through the portfolio investment scheme (PIS). Under this scheme, FIIs /NRIs can acquire shares/debentures of Indian companies through the stock exchanges in India. These investments are governed and monitored on daily basis by the Reserve Bank of India (RBI). On reaching the aggregate ceiling limit as fixed by RBI from time to time, the RBI advises all designated bank branches to stop purchases on behalf of their FIIs/NRIs/PIOs clients. The Reserve Bank also informs the general public about the 'caution' and the 'stop purchase' in these companies through a press release.

The Client being an FII/NRI/PIO hereby acknowledges that he is aware of the RBI guidelines in relation to his investments in the secondary market in India. The Client hereby agrees to keep himself abreast of the ceiling limits on investments as published by RBI from time to time. And also agrees that he shall immediately reverse his transaction, if such transaction breaches the ceiling limits as imposed by RBI. In case the Client does not / is unable to reverse such transaction immediately, the client authorizes the Member to do so

under intimation to the client.

25. MISCELLANEOUS PROVISIONS GOVERNING THE TERMS:

(a) LIMITATION OF LIABILITY:

The MEMBER does not guarantee, and shall not be deemed to have guaranteed, the timeliness, sequence, accuracy, completeness, reliability or content of market information, or messages disseminated to the Client or the execution of the orders placed by the CLIENT. The MEMBER shall not be liable for any inaccuracy, errors or delay in, or omissions of 1) any such data, information or messages, or 2) the transmission or delivery of any such data, information or messages, due either to any act or omission by the MEMBER or to any "Force Majeure" event (e.g. flood, extraordinary weather condition, earthquake or other any act of God, fire, war, insurrection, riot, labour dispute, accident, action of government, communication, power failure, shut down of the systems for any reason (including on account of computer viruses, equipment or software malfunction) any fraud committed by any person whether in the employment of the MEMBER or otherwise or any cause within beyond the reasonable control of the MEMBER. 3) cancellation or non execution of the order placed by the CLIENT with the MEMBER)

The MEMBER shall not be liable for any inaccuracy, error, false statement, misrepresentation or fraud committed any sales or other associates/third parties engaged by the MEMBER to promote the services offered by it. The CLIENT agrees that he/she/it places no reliance on such persons and will exercise due care and diligence in relying on any statements made any persons.

(b) REPRESENTATIVE AND WARRANTIES OF CLIENTS

- (i) The CLIENT hereby represents and warrants that the terms and conditions have been clearly understood and that the information furnished to the MEMBER is accurate and truthful.
- (ii) The CLIENT confirms that he/she is of legal age and he/she/it has obtained the necessary approvals from the relevant regulatory/legal and compliance authorities to avail the services provided pursuant to the terms of this document.

(c) SHARING INFORMATION:

The Client agrees and confirms that the MEMBER may appoint agents for carrying out the acts mentioned in or in relation to this document. The CLIENT consents to sharing of his/ its accounts related information to the authorized agents appointed by the MEMBER.

Client
Signature
[17/42]

NON-MANDATORY

(d) **TAPE RECORDING OF CONVERSATION**

The CLIENT is aware that the MEMBER tape-records the conversations between the client's representative and the MEMBER, either personally or over the telephone, and hereby specifically permits the MEMBER to do so. Such recording may be relied upon by the MEMBER as and when required to resolve disputes in connection with the trading transaction.

(e) **CONCLUSIVENESS OF RECORDS**

The MEMBER's own records of the trades/transactions maintained through computer systems or otherwise shall be accepted as conclusive and binding on the CLIENT for all purposes.

(f) The CLIENT understands and confirms that the CLIENT has the option to terminate the applicability of the voluntary terms and conditions including the terms and conditions applicable for special facility that may be provided by the Member by giving advance notice to the MEMBER in writing of not less than 15 days. Provided however that the terms and conditions shall become applicable for all the close out trades that may be executed by the CLIENT or the MEMBER subsequent to such termination.

(g) **INDEMNITY**

(i) The CLIENT agrees and confirms that though orders are generally routed to the marketplace immediately after the time the order is placed by the CLIENT on the system there may be a delay in the execution of the order due to any link/system failure at the CLIENT/MEMBER/Exchange's end. The CLIENT hereby specifically indemnifies and holds the MEMBER harmless from any and all claims, and agrees that the MEMBER shall not be liable for any loss, actual or perceived, caused directly or indirectly by government restriction, exchange or market regulation, suspension of trading, war, strike, equipment failure, communication line failure, system failure, security failure on the internet, shut down of systems for any reason (including on account of computer viruses), unauthorized access, theft, any fraud committed by any person whether in the employment of the MEMBER or otherwise or any

problem, technological or otherwise, that might prevent the CLIENT from contacting.

(ii) The CLIENT further confirms and agrees that client will not be compensated by the MEMBER for any 'lost 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 MEMBER or of the Exchanges is operating, any shutting down by the MEMBER of his/her/its system for any reason of the MEMBER disabling the Client from trading on its system for any reason whatsoever.

(h) **ASSIGNMENT**

The CLIENT confirms and agrees that CLIENT shall not assign or transfer all or any of its rights or obligations.

(i) **SEVERABILITY**

The CLIENT confirms and agrees that in case anyone or more of the terms and conditions confirmed by the CLIENT becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality, and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

26. ADDRESS FOR COMPLAINT/INVESTOR GRIEVANCES AND COMMUNICATION:

The CLIENT understands and confirms to send all the complaints and queries in case of any grievances or complaint arising out of and in the course of trading in securities client will send the complaint on the email grievances.comtrade@bansalonline.com. Alternatively the Client shall send the written complaint marked to Investor Grievance Cell at correspondence office of Econo Broking Pvt. Ltd. The Client further understands and agrees that MEMBER may take 7 working days time to reply on such Complainant / Query.

27. TERMINATION:

This document may be terminated by either party by giving notice to the other party in writing. However such termination shall not affect the rights and obligations of a party hereunder in respect of Derivatives contracts and transactions entered into prior to such termination.

Declaration - I / We further confirm having read and understood the contents of the Additional Terms and Conditions Governing the Service and I / We do hereby agree to be bound by such provisions as outlined in these documents. I / We have also been informed that the same documents has been displayed for information on stock broker's designated website.

RUNNING ACCOUNT AUTHORISATION

I/We hereby authorize(s) the MEMBER to maintain a running account, instead of settlement to settlement clearance of funds due to me/us. The payout of funds / securities may be retained by the MEMBER and no interest shall be payable, by the MEMBER on such funds so retained. I/We also authorize(s) the MEMBER to consider the funds/securities so retained by the MEMBER towards collateral margin for allowing enhanced gross exposure to me/us.

I/We agree(s) that the MEMBER shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities / funds under this document or otherwise. On written request of the CLIENT the MEMBER may release funds/securities to him, if sufficient margins in respect of his trading, across the Stock Exchange(s) and across the segments of the stock exchange(s) are available with the MEMBER, within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation.

Notwithstanding anything contained in this authorization, the actual settlement of funds and securities, except for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR), shall be done by the member, at least once in a

() Calendar quarter or;

() Month.

For the clients having outstanding obligations on the settlement date, the Member may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

There shall be no inter-client adjustments for the purpose of settlement of the 'running account.

However to avoid the administrative/operational difficulties with minimum in settling my/our account, I/We request you

a) To retain an amount of up to Rs. 10,000/- (Rupees Ten Thousand Only) (net amount across segment and across stock exchanges) as per SEBI and Exchange directives. (Applicable to Client dealing in NSE, BSE and MSEI); and/or

b) Not to refund amounts below Rs. 50,000/- (Rupees Fifty Thousand Only) ((net amount across segment and across stock exchanges) to clients for the purpose of settlements. (Applicable to Client dealing in MCX and NCDEX)

This authorization may be revoked at any time by me/us by giving written notice to the member.

Any contravening clause in this Running Account Authorisation shall stand amended / modified to the extent of SEBI Circular No. SEBI circular CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019, SEBI/HO/MIRSD/DOP/CIR/P/2019/95 dated August 29, 2019 and any other circular issued from time to time on handling on Client Securities and Exchange clarification in this regard.

Clinet Code : _____

Clinet Name : _____

Date of Authorization :

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Client Signature  [19/42]

(To be signed by client himself and not by any authorised person on his behalf or holder of the Power of Attorney)

NON-MANDATORY

		FATCA-CRS Declaration & Supplementary KYC Information Declaration Form for Individuals <i>Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance</i>							
PAN / PEKRN*									
Name									
Address Type [for KYC address]		<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business		Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> US <input type="checkbox"/> Others <i>(please specify)</i>			
Place of Birth					Country of Birth				
Gross Annual Income Details in INR		<input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs - 1 Cr <input type="checkbox"/> > 1 Crore		Occupation Details [Please tick any one (✓)]		<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others [Please specify] _____			
Net Worth in INR. In Lacs & Date [Optional]		_____ dd-mmm-yyyy							
Politically Exposed Person [PEP]		<input type="checkbox"/> Yes <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable		Any other information [if applicable]		[Please specify]			

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India? Yes ☐ No ☐

If 'Yes', please fill for all countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please tick the reason A, B or C [as defined below]
1				Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
2				Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>

Reason A The country where the Account Holder is liable to pay tax does not issue TIN to its residents.

Reason B No TIN required [Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]

Reason C Others – Please specify the reasons _____

Declaration:

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you EBPL to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the brokers, DP, Bank, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I/We authorize you/exchanges/SEBI/RTAs to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. We also confirm that we have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same.

Date: _____ to any of the brokers, DP, Bank,

Signature:

Place:

 [20/42]

Acknowledgement

We EBPL acknowledge the receipt of FATCA/CRS declaration form duly filled and signed from

Mr. / Ms. / M/s. _____ PAN _____ on dd-mmm-yyyy

Date:

Signature with Name, Emp. ID & Seal

NON-MANDATORY

FINANCIAL STATUS AND OTHER DETAILS

NSE/BSE/MSEI/MCX/NCDEX/ICEX

The information is sought under the Prevention of Anti Money Laundering Act, 2002, the rules notified there under and SEBI and Exchange/s Guidelines issued on Anti Money Laundering

(a) Annual Income (Last 3 years from the date of the opening of this account)

1st Year :

- ☐ Upto Rs.1 lakhs ☐ Rs.1 lakhs to Rs. 2 lakhs ☐ Rs.2 lakhs to Rs.5 lakhs
☐ Rs.5 lakhs to Rs.10 lakhs ☐ Rs.10 lakhs to Rs.25 lakhs ☐ Rs.25 lakhs to Rs.50 lakhs
☐ Rs.50 lakhs to Rs.1 crore ☐ Rs.1 crore above

2nd Year :

- ☐ Upto Rs.1 lakhs ☐ Rs.1 lakhs to Rs.2 lakhs ☐ Rs.2 lakhs to Rs.5 lakhs
☐ Rs.5 lakhs to Rs.10 lakhs ☐ Rs.10 lakhs to Rs.25 lakhs ☐ Rs.25 lakhs to Rs.50 lakhs
☐ Rs.50 lakhs to Rs.1 crore ☐ Rs.1 crore above

3rd Year :

- ☐ Upto Rs.1 lakhs ☐ Rs.1 lakhs to Rs.2 lakhs ☐ Rs.2 lakhs to Rs.5 lakhs
☐ Rs.5 lakhs to Rs.10 lakhs ☐ Rs.10 lakhs to Rs.25 lakhs ☐ Rs.25 lakhs to Rs.50 lakhs
☐ Rs.50 lakhs to Rs.1 crore ☐ Rs.1 crore above

(b) Networth Details (as on the date of account opening)

- ☐ Upto Rs.1 lakhs ☐ Rs.1 lakhs to Rs.2 lakhs ☐ Rs.2 lakhs to Rs.5 lakhs
☐ Rs.5 lakhs to Rs.10 lakhs ☐ Rs.10 lakhs to Rs.25 lakhs ☐ Rs.25 lakhs to Rs.50 lakhs
☐ Rs.50 lakhs to Rs.1 crore ☐ Rs.1 crore above

(c) Please tick mark the additional applicable category to you

- ☐ Non resident client
☐ High net-worth client (Having annual income + networth of more than Rs. 1 crore)
☐ Trust, Charities, NGOs and organizations receiving donations
☐ Company having close family shareholdings or beneficial ownership
☐ Civil Servant or family member or close relative of civil servant
☐ Bureaucrat or family member or close relative of bureaucrat
☐ Current or Former MP, MLA or MLC or their family member or close relative
☐ Politician or their family member or close relative
☐ Current or Former Head of State or of Governments or their family member or close relative
☐ Senior government/judicial/military officers or their family member or close relative
☐ Senior executives of state-owned corporations or their family member or close relative
☐ Companies offering foreign exchange offerings
☐ None of the above

Client Code : _____

Client Name : _____

Client
Signature  [21/42]

Risk Categorisation

- ☐ Low ☐ Medium ☐ High

CSC

- ☐ Yes ☐ No

FOR OFFICE USE ONLY

Employees
Signature

NON-MANDATORY

CLIENT UNDERTAKING

NSE/BSE/MSEI/MCX/NCDEX/ICEX

To,

Econo Broking Pvt. Ltd.

Corp. Office : EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

Sub. : Client Undertaking for Prevention of Money Laundering

Dear Sir / Madam,

This is with regards to my/our Trading ID _____ with Econo Broking Pvt. Ltd. I/We hereby confirm that transactions related to sale, purchase and or dealing in securities (capital markets and / or derivative markets and / or commodity derivatives segments) executed by me/us are for the purpose of investment of my own money and/or for the purpose of dealing in capital/derivative markets for my/our own interests.

I/We undertake that:

I/We am/are _____ (Resident of India / NRI / Others) and was/were never convicted for any activity subject to Indian Penal Code and/or any other such activity which is prohibited by the laws of the land.

I / We am/are not a party to any agreement or arrangement, directly or indirectly, to facilitate segment of my transactions with Econo Broking Pvt. Ltd. (EBPL) where EBPL is a party of such agreement or arrangement.

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

Client Name : _____

Client
Signature

[22/42]

INTIMATION TO CLIENT AND NOTING

NSE/BSE/MSEI/MCX/NCDEX/ICEX

To,

Econo Broking Pvt. Ltd.

Corp. Office : EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

Dear Sir / Madam,

Re. : Confirmation of noting

We confirm that we have made note of the following :

1. That you trade in your OWN/PRO account.
2. That your investor grievance email ID is grievances@econobroking.com.
3. That I have read all the mandatory and voluntary terms and conditions and do consent for the same.
4. That we have to furnish / update Financial Details every year to the Member as per SEBI / PMLA requirements.
5. That I/We have read/understood the Anti Money Laundering Policy & Procedure and I know that the same is made available on your website www.econobroking.com
6. That I/We agree/s that I/We am/are responsible for clearing out my/our debit ledger balance to NIL at least once in every month / quarter.
7. That I/We understand that Econo Broking Pvt. Ltd. cannot be responsible for any fundamental and technical calls.

Thank you,

Client Code : _____

Client Name : _____

Date : - - 2 0

Client
Signature

[23/42]

NON-MANDATORY

DECLARATION FOR MOBILE NUMBER AND E-MAIL ADDRESS

NSE/BSE/MSEI/MCX/NCDEX/ICEX

To,

Econo Broking Pvt. Ltd.

Corp. Office : EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

Dear Sir / Madam,

I/We have made application with requisite documents to open trading account for execution of trades on my / our behalf as per instruction given by me / us from time to time in various segments like Securities/F&O Contracts/Currency Derivatives/Commodity Derivatives of various stock exchanges like Bombay Stock Exchange Ltd. (BSE) and/or National Stock Exchange of India Ltd. (NSE) and/or Metropolitan Stock Exchange of India Ltd. (MSEI) and/or Multi Commodity Exchange of India Limited(MCX) and/or National Commodity & Derivatives Exchange Limited(NCDEX) and/or Indian Commodity Exchange Limited (ICEX) (hereinafter called as "the Exchange(s)") as my / our broker.

I/We, do hereby declare that my/our mobile number is _____ and I/We authorize that the same may be used for giving me any information / alert / SMS / calls. Further I/We declare that my/our E-Mail Address is _____ and I/We authorize that the same may be used for sending future correspondence in electronic forms such as information / alerts/ Electronic Contract Notes, Electronic Margin Statement, Electronic Ledger, etc.

Further, the said mobile number and the said e-mail address is registered on my name OR is registered on the name of Mr./Mrs. _____ who is my _____ (relation) and who is also a client of your company with client code _____ and with demat account no. _____.

I/We will intimate any change in the mobile number mentioned herein above through a letter in writing to you.

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

Client Code : _____

Verified by (to be done by) _____

Client Name : _____

Name of Employee : _____

**Client
Signature**

 [24/42]

Signature : _____

Address : _____

Date : - -

Phone No. : _____

Date : - -

DEBIT AUTHORISATION WITH REGARD TO DP CHARGES

To,

Econo Broking Pvt. Ltd.

Corp. Office : EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

Dear Sir / Madam,

SUB : LETTER FOR DEBIT AUTHORISATION WITH REGARD TO DP CHARGES


I am a registered client of Econo Broking Pvt. Ltd., having trading client Code _____ and I hereby willfully and unconditionally agree and authorize Econo Broking Pvt. Ltd. to debit the above trading said trading account with regard to charges applicable to me as beneficiary owner of demat account with Econo Broking Pvt. Ltd. This authorization can be revoked by me/us at any time by giving Econo Broking Pvt. Ltd., a notice of 30 days, in writing.


Thanking You.

Yours Faithfully,

B. O. Signature

 [25/42]

 [1/14]

 [1/14]

First / Sole Holder

Second Joint Holder

Third Joint Holder

VOLUNTARY**Self Declaration For Client Categorization Commodity Wise****NCDEX / MCX / ICEX**

To,

Econo Broking Pvt. Ltd.

Office No. 105-112, EVA-1 Complex, Opp. Jogger's Park, Atabhai Chowk, Bhavnagar -364002.

Ref: SELF DECLARATION: Client Code: _____

Pursuant to SEBI circular SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated 04th January, 2019, transparency in the commodity derivative market is paramount for price signals as well as its correlation with underlying physical market activities. In order to enhance transparency to public in Commodity Derivative Market, additional disclosures for Open Interest and Turnover for various categories of participants of commodities as well as market level is required.

With a view to understand the extent of involvement of the physical market participants and to identify the nature of participants in the Commodities Derivative Market, I/we declare and confirm that I/we shall fall under following categories – commodity wise;

(Fill Category Code for Each Commodity Type in the blank columns; In case, you are not dealing in any commodity type, then write N.A)

A) BUILLION:

GOLD	SILVER	DIAMOND

B) BASE METAL

COPPER	ZINK	ALLUMINIUM	NICKLE

LEAD	STEEL	BRASS	

C) ENERGY

CRUDE OIL	Natural Gas	

D) Agriculture Commodities

GUAR	KAPAS	CASTER	SOYABEAN

COTTON	CHANA	BARLY	CORIANDER	JEERA

PALM	MOONG	PADDY	SUGAR	TERMERIC

PEPPER	RUBBER		

Category	Category Code
FPOs/ Farmers	1
VCPs/ Hedgers	2
Proprietary traders	3
Domestic financial institutional investors	4
Foreign participants	5
Others	6

I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I/we may be held liable for it.

Client Signature

[26/42]

Client Code: _____ Client Name: _____

CLIENT DECLARATION FOR TRADE EXCEEDING ₹ 5 LAC

Date :

To,
ECONO BROKING PVT. LTD.
EVA-1 105 to 112, Opp. Jogger's Park,
Atabhai Chowk, Bhavnagar – 364002, Gujarat, India.

Dear Sir,

I/we _____, having trading account with Unique
Client Code _____ allotted to me/us by your broking house.

I/we am/are desirous to place buy and sell trades for value exceeding Rs. 5, 00,000/- in commodity futures contracts on the MCX platform. In this regard, you are requested to enhance limits and allow placing of trades for value exceeding Rs. 5, 00,000/- with immediate effect.

I/we hereby undertake that:

1. I/we have read and understood the Anti Money Laundering Guidelines and wish to disclose following pursuant to MCX Circulars on Requirements Regarding Anti Money Laundering Norms ;
 - a. Purpose of Trading : Speculation / Hedging / Day Trading / Jobbing / Arbitrage
 - b. Nature of Business Relationship: Speculative / Hedger / Day Trader / Jobber / Arbitrager

I/we declare that the information given above is true to my/our knowledge. I/we request you that the requirement of fresh instructions/declarations for each trade of value exceeding Rs. 5 Lakh may not be insisted upon.

Yours Faithfully,

For, _____ (Name of the Individual Client)

Client
Signature  [27/42]

(Name of the Individual Client)

Or

For, _____ (Name of the Non - Individual Client)

Client
Signature  [27A/42]

(Name of the Authorized Signatory - Designated Director/Managing Partner/Karta/Proprietor)

DEMAT

DEMAT

Additional KYC Form for Opening a Demat Account

For Individuals

Econo Broking Pvt. Ltd.

EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

(To be filled by Depository Participant)

Application No.											Date			-			-	2	0	1	
DP Internal Reference No.																					
DP ID	1	2	0	6	7	4	0	0	Client ID												

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

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

Holders Details

Sole/First Holder's Name		PAN																		
		UID																		
Second Holder's Name		PAN																		
		UID																		
Third Holder's Name		PAN																		
		UID																		

Name*

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

Type of Account (Please tick whichever is applicable)

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

Details of Guardian (in case the account holder is minor)

Guardian's Name																				
PAN																				
Relationship with the applicant																				

B. O. Signature



[28/42]

First / Sole Holder



[2/14]

Second Joint Holder



[2/14]

Third Joint Holder

I / We would wish to receive the Rights & Obligation between DP and BO in ☐ Physical OR ☐ Electronic

I/We instruct the DP to receive each and every credit in my / our account (If not marked the default option would be "Yes")	(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be "No")	<input type="checkbox"/> Yes <input type="checkbox"/> No

Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulations	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly	<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the Email ID _____					<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the e-mail ID with the RTA					<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic					
(Tick the applicable box, if not marked the default option would be in Physical)					

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




Bank Details [Dividend Bank Details]

[illegible]

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.

● In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

B. O. Signature

 [29/42]	 [3/14]	 [3/14]
First / Sole Holder	Second Joint Holder	Third Joint Holder

Nomination Form

Econo Broking Pvt. Ltd.

EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

Dear Sir/Madam,

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

- ☐ I/We **do not wish to nominate any one for this demat account.**
 [Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].
- ☐ I/We **nominate** the following person/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details

DP ID	1	2	0	6	7	4	0	0	Client ID								
Name of the Sole/First Holder																	
Name of the Second Holder																	
Name of the Third Holder																	

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

Nomination Details	Nominee 1	Nominee 2	Nominee 3
*Address			
*City			
*State			
*Pin			
*Country			
Telephone No.			
Fax No.			
PAN No.			
UID			
Email ID:			
*Relationship of the Guardian with the Nominee:			
*Percentage of allocation of securities:			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:			


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

***Marked is Mandatory field**




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

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

Details of the Witness

First Witness		
Name of the witness		Address of Witness
Signature of Witness		

I / We have received and read the Rights and Obligations document and 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 agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures	 [31/42]	 [5/14]	 [5/14]

(To be filled by DP)

Nomination Form accepted and registered wide Registration No. _____ dated _____.

Annexure - A

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

DEFINITIONS :

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P. J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

AVAILABILITY :


1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reason or system maintenance or for such other reasons as may be warranted. the depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are

residing in India.

3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i. e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

RECEIVING ALERTS :


1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every efforts to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in

 [32/42]

First Holder / Sole Holder

 [6/14]

Second Holder

 [6/14]

Third Holder

any way whatsoever.

4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

FEES :

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

DISCLAIMER :

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

LIABILITY AND INDEMNITY :


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

AMENDMENTS :

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

GOVERNING LAW AND JURISDICTION :

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

 [33/42]

First Holder / Sole Holder

 [7/14]

Second Holder

 [7/14]

Third Holder

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

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

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

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

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

BOID :

1	2	0	6	7	4	0	0									
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent :

+91											
-----	--	--	--	--	--	--	--	--	--	--	--


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

The mobile number is registering in the name of : _____


E-mail ID : _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)


B. O. Signature

 [34/42]

First / Sole Holder

 [8/14]

Second Holder

 [8/14]

Third Holder

Place : _____

Date : _____

SCHEDULE OF CHARGES FOR DEMAT

Services	Schemes			
	REGULAR	LIFE TIME	BSDA	***LIFE TIME @ Rs. 3000/- Deposit
Account Opening	NIL	NIL	NIL	NIL
Documents Charges	NIL	NIL	NIL	NIL
POA Charges	Rs. 300/-	Rs. 300/-	Rs. 300/-	Rs. 300/-
Annual Maintenance Charges	* Rs. 300/-	** Rs. 699/-	NIL	NIL
Trade Charges				
Econo to Econo	25	25	50	25
Econo to Other	25	25	50	25

OTHER SERVICES & CHARGES APPLICABLE FOR BOTH SCHEME

1. Buy	Nil	5. Remat Charges	Rs. 10 per Certificate + Rs. 50/- Courier Charges
2. Dis Book Charges	Nil	6. Same Day Execution	Rs. 25 per ISIN
3. Pledge/Unpledge/Invocation	Rs. 50 per ISIN	Charges for PayIN	
4. Demat Charges	Rs. 5 per Certificate + Rs. 50/- Courier Charges	7. Freeze / De-freeze	Rs. 25 per Request

CONDITIONS :

- All charges mentioned are inclusive of CDSL charges.
- The GST would be charged extra wherever applicable as per the prevailing rates.
- The above charges are subject to change with 30 days prior notice. However, in case of revision of charges by CDSL, a shorter notice may be given.
- All the charges once paid will not be refundable, however, this shall not be in contravention to SEBI circulars.
- All the instructions for the transfer must be received at least one day before the execution/pay in date.
The same day execution or late instructions will be accepted on a "Best Effort Basis" at the sole risk and responsibility of the depository account holder.
- Rs. 250 will be charged on return of the cheque.
- The securities will be valued as per the rates of CDSL.
- All the other services will be charged separately whichever not mentioned above.
- For availing easiest facility of CDSL, the charges as levied by CDSL would be collected from the clients as actuals.
- BSDA tariff would be same as other schemes and charges for AMC and transaction statements shall be as per SEBI/CDSL guidelines.
- Rs. 500/- will be charged for corporate accounts.
- Life time DP scheme is compulsory for minor dp accounts.
- Account Modification Charges : Rs. 25 per change.
- Additional Physical Statement Charges : Rs. 25/- for Maximum 5 pages and Rs. 5/- for per additional page.
- Charges of Issuing DIS Book because DIS Book Lost / Misplaced : Rs. 25/- per DIS Book
- * Rs. 300/- is for DP AMC for regular scheme and same will be charged on quarterly basis and is non refundable.
- ** Rs. 699/- is for Life time DP scheme, it is inclusive of GST and it is non refundable.
- *** Rs. 3000/- is deposit amount for Life Time scheme and same will be refundable on closure of Demat Account.


Scheme Name : _____

WE HAVE READ AND UNDERSTOOD THE CHARGES AND CONDITIONS AS ABOVE AND AGREE TO ABIDE BY THE SAME.

BO ID	1	2	0	6	7	4	0	0								
--------------	----------	----------	----------	----------	----------	----------	----------	----------	--	--	--	--	--	--	--	--

B. O. NAME(S)

B. O. SIGNATURE(S)

1. First/Sole Holder _____  [35/42] _____

2. Second Holder _____  [9/14] _____

3. Third Holder _____  [9/14] _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

To,

Econo Broking Pvt. Ltd.

EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.




Dear Sir / Madam,

I / We hereby state that :

☐ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favor of / with Econo Broking Pvt. Ltd. for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.




Yours faithfully,

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures	 [36/42]	 [10/14]	 [10/14]

☐ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favor of / with Econo Broking Pvt. Ltd. for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully,

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures	 [36/42]	 [10/14]	 [10/14]

Do you wish to avail Basic Service Demat Account (BSDA) Facility ?
(If not marked, default option would be "NO").

☐ Yes ☐ No




Do you wish to avail Consolidated Account Statement (CAS) Facility ?
(If not marked, default option would be "NO").

☐ Yes ☐ No

(If yes) I / We would like to receive Consolidated Account Statement.

☐ Physical ☐ Electronic

(Tick the applicable box, if not marked the default option would be in Physical)

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures	 [37/42]	 [11/14]	 [11/14]

THIS POWER OF ATTORNEY EXECUTED THROUGH
E-STAMP DATED _____ BEARING
CERTIFICATE NO _____

POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME I / WE, (Name of the BO),

(Name of the second Holder),

(Name of the Third Holder),
_____ residing at

India, Indian Inhabitant SEND GREETINGS.




Whereas I / We hold a Beneficiary account No. 12067400 _____ (BO-ID) with Central Depository Services (India) Limited, through ECONO BROKING PVT. LTD. having DP-ID 12067400.

And Whereas I am an investor engaged in buying and selling of securities through ECONO BROKING PVT. LTD. a member of National Stock Exchange of India Ltd. bearing SEBI registration No. INZ000056334 a member of Bombay Stock Exchange Ltd., bearing SEBI registration No. INZ000056334 (BSE CD Segment - Clearing Number - 3297 - Exchange Registered), a member of BSE STAR MF Platform, bearing Member Code - 3297, a member of Metropolitan Exchange of India Limited bearing SEBI registration No. INZ000056334, a member of Multi Commodity Exchange of India Limited bearing SEBI registration No. INZ000056334, a member of National Commodity and Derivatives Exchange of India Limited bearing SEBI registration No. INZ000056334 and a Indian Commodity Exchange Limited bearing SEBI registration No. INZ000056334.

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

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE / AND APPOINT ECONO BROKING PVT. LTD. as my / our true and lawful attorney (hereinafter referred to as the attorney) for me / us and on my / our behalf and in my / our name to do instruct the aforesaid Depository Participant as under.

- I. To debit/transfer securities from the aforesaid account to the below mentioned demat accounts for the purpose of delivering the same to the clearing house of the recognized stock exchange towards any segment in respect of securities sold by me through them and/or
- ii. To Transfer the securities towards exchange related margin obligation as collaterals to the below mentioned demat accounts till such time as may be allowed by regulator
- iii. To Pledge the securities and/or to Re-pledge the same to exchange, clearing corporation or clearing member towards exchange related margin obligations as collaterals to the below mentioned accounts,

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures	 [38/42]	 [12/14]	 [12/14]

Details of Demat Account of ECONO BROKING PVT. LTD.




SR NO.	Exchange / Segment	DP ID / CM ID	BO ID	Purpose of Account
1	BSE CASH SEGMENT	12067400	00001828	BSE - CDSL Principal Ac.
2	BSE CASH SEGMENT	12067400	00325147	BSE - CDSL Pool Ac.
3	BSE CASH SEGMENT	11000010	00022528	BSE - Early Payin Ac.
4	BSE CASH SEGMENT	IN632977	-	BSE - NSDL CM POOL
5	NSE CASH SEGMENT	12067400	00001851	NSE - CDSL Pool Ac.
6	NSE CASH SEGMENT	11000011	00018300	NSE - Early Payin Ac.
7	NSE CASH SEGMENT	IN517370	-	NSE - NSDL CM POOL
8	NSE CASH SEGMENT	12067400	00325282	NSE CLIENT UNPAID SECURITIES AC
9	BSE House Account - Mutual Fund Redemption	11000029	00000011	Mutual Fund Redemption
10	NSE House Account - Mutual Fund Redemption	11000011	00017837	Mutual Fund Redemption
11	All Exchanges / All Segments	12067400	00376817	Client Securities to be Pledge/Re-Pledged against margin obligation across all Exchanges / All Segments

- iv. to pledge the securities in favour of the stock & commodity broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock & commodity exchange through the stock/commodity broker.
- v. to return to me/us, the securities or funds that may have been received by the stock & commodity broker erroneously or those securities or funds that the stock & commodity broker was not entitled to receive from me/us;
- vi. to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
- vii. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock & commodity broker.

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

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) .in witting by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock & commodity broker in his office at

Eva-1, 105 to 112 & 212, Opp. Jogger's Park, Atabhai Chowk, Bhavnagar – 364 002.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures	 [39/42]	 [13/14]	 [13/14]

IN WITNES WHEREOF I, the above named Mr. _____ have
hereunto set my hands this _____ day of _____ 20

Signed, sealed and delivered _____)


By the within named Beneficial Owner)

Signed & Delivered by Client

Name of First Holder.....

Signature:  [40/42] 

Name of Second Holder.....

Signature:  [14/14] 

Name of Third Holder.....

Signature:  [14/14] 

Witness Name:.....

Witness Address:

Witness Signature: 

**Signed & Delivered by
Econo Broking Private Limited**

I accepted

ECONO BROKING PVT. LTD.

Eva-1, 105 to 112 & 212, Opp. Joggers Park, Atabhai Chowk,
Bhavnagar - 364002 - GUJARAT - INDIA

For, ECONO BROKING PVT. LTD.

DIRECTOR / AUTHORISED SIGNATORY

Name of Signatory:.....

Witness Name:.....

Witness Address:

Witness Signature: 

THIS SPACE IS INTENTIONALLY LEFT BLANK

RECEIPT OF ACCOUNT OPENING FORM (KYC FORM)

From :

To,

ECONO BROKING PVT. LTD.,

EVA-1, 105 to 112, OPP. Jogger's Park,

Atabhai Chowk, Bhavnagar -364 002 (Gujarat) India.

Dear Sir,

Re. : Account Opening Form (KYC Form) No. _____


This has reference to my/our captioned Account Opening Form (KYC Form) which I/We have submitted to you duly filled up along with all the supporting documents.

I/we hereby acknowledge the receipt of copy of the following documents from you as per SEBI Circular.


- | | |
|-----------------------------------|-----------------------------------|
| 1. Client Registration Form (KYC) | 6. Tariff Structure |
| 2. Rights & Obligations | 7. Rights & Obligations (BO & DP) |
| 3. Risk Disclosure Document | 8. POA |
| 4. Policies & Procedures | 9. Non-Mandatory Document |
| 5. Guidance Note | 10. PMLA Policy |
| | 11. RMS Policy |

Thanking You,
Yours truly,


**Client or
B. O. Signature**



First / Sole Holder



Second Holder



Third Holder

Client Code :

Date :

Place :

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON-ISSUE OF DIS BOOKLET Form, Nomination Form and the account opening application form:

DP ID										Client ID								
Sole/First Holder's Name																		
Second Holder's Name																		
Third Holder's Name																		

Depository Participant Seal and Signature

**Electronic Contract Note [ECN] – DECLARATION
(VOLUNTARY)**

APPENDIX - A

To,
ECONOBROKING PVT. LTD.

Dear Sir,

I, _____ a client with Member
M/s.ECONO BROKING PVT. LTD. of Multi Commodity Exchange of India Ltd. / National Commodity & Derivatives
Exchange Ltd. / Indian Commodity Exchange Ltd. Exchange undertake as follows:

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

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

*(The e-mail ID be written in own handwriting of the client.)

Client Name : _____

Unique Client Code : _____

PAN : _____

Address : _____

**Client
Signature**



Date : _____

Place: _____

Verification of the client signature done by _____

Name of the designated officer of the Member _____

Signature _____

Date : _____

Application/Consent for trading through online platform / Internet Trading Facility

To,
Econo Broking Pvt. Ltd.
Corp. Office : EVA-1, 105 to 112, Opp. Joggers Park,
Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

Ref.: Application for trading through online platform / Internet Trading Facility

Dear Sir / Madam,

I / We hereby state that I / we wish to trade through the online platform provided by Econo. I / We wish to opt for the following trading platform for the purpose of online trading facility:

Product Name	<input type="checkbox"/> DESKTOP TRADING APPLICATION	<input type="checkbox"/> MOBILE TRADING APPLICATION		
Segments	<input type="checkbox"/> NSE Cash	<input type="checkbox"/> NSE FNO	<input type="checkbox"/> BSE Cash	<input type="checkbox"/> BSE FNO
	<input type="checkbox"/> NSE CD	<input type="checkbox"/> MCX	<input type="checkbox"/> NCDEX	<input type="checkbox"/> ICEX
<u>Particulars of Charges</u>			<u>Charge Amount</u>	
If Monthly Gross Brokerage per segment is less than Rs. 1000 OR if Monthly Net Brokerage per segment is less than Rs. 500			Rs. 200 per segment Per month + GST as applicable	

CONSENT TO RECOVER CHARGES FOR ONLINE TRADING FACILITY :

I/We give my/our consent to you for deducting an amount as applicable per segment availed to me/us towards activation of Desktop Trading Application AND/OR Mobile Trading Application from the amount lying to the credit of any of my/our accounts with you (including the margin money). This amount shall be deducted from my/our account/ledger.

Client Code		Client Name	
RM Code		Client Signature	X_____

Terms & Conditions for Internet / Wireless Technology based Trading facility

1. Econo offers Internet Trading facility for transaction in securities on the concerned Exchanges (hereinafter referred to as "the Internet / wireless Trading system") through Exchange approved software. The Client can route its orders to Econo over the Internet / laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by Econo by complying with the formalities prescribed therefore.
2. User Name and Password: On opting to avail Internet / Wireless Trading facility, the Client shall be provided a username and password transmitted to it over email at the designated email ID which will enable it secured access to Econo's the Trading facility.
3. The Client is aware that the initial Password is System generated and agrees and undertakes to immediately change it upon receipt. The Client understands that the initial and subsequent passwords are not known or available to Econo.
4. The Client agrees and undertakes:
 - a. To download the software required for Internet / Wireless Technology based Trading facility on to the Computer as the case may be from Econo's Website using the specified URL.
 - b. To use compatible computer hardware and system software and / or upgrade them to compatible versions for Internet / Wireless Technology based Trading facility software to function satisfactorily.
 - c. To commit the password to memory and not to record it in any written or electronic form;
 - d. Not to let any unauthorized person gain access to the computers or leave the computer unattended while remaining logged on to the internet / wireless trading system and to log off from the Internet / Wireless Trading System as and when the trading session ends;
 - e. To change the password at frequent intervals;
 - f. To notify Econo if it receives inaccurate information regarding the account balances, investment products position or transaction history, or notices such other discrepancies in the account that might be attributable to unauthorized access.
5. Client to change Password: If the Client is unable to change the Password by reason of the Client having forgotten the Password or the Password having been unauthorizedly changed by some other person or for any other reason, then the Client shall immediately request Econo in writing to discontinue old Password, and thereupon, Econo shall deactivate the old Password and communicate to the Client a new system generated Password.
6. Clients opting for Internet / Wireless Trading Facility to compulsorily opt ECN: If the Client elects to transact using Internet / Wireless facility, it shall compulsorily opt for receiving contract notes electronically (ECN) and comply with the formalities required for ECN and also notify its mobile number to Econo. If unable to open any of the documents, it shall inform Econo and follow advice given by Econo to resolve the problem.
7. Non-usage of Internet / Wireless Trading Facility: If the Client does not use the Internet / Wireless Trading Facility for a continuous period of 3 months or such other period as Econo may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of Econo.
8. The client understands and agrees that Econo has different product versions of the Internet Trading / Wireless Trading software which have been approved by the Exchanges and the client shall be allotted such product version that it may choose while signing these documents. The client also understands and agrees

Client
Signature

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that depending on the trading activity of the client, Econo shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading / Wireless Trading facility.

9. Orders of Client subject to review by Econo: The Client agrees that the Econo may, at its sole discretion, subject any order placed by a Client through the internet / trading system to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.
10. Copy Right / Internet / Trading / Wireless Technology: The Client agrees that the software underlying the Internet Trading System which is required for accessing the Internet Trading facility are the legal property of Econo and the Client shall not attempt to modify, translate, disassemble, decompile or reverse engineer the software underlying the service. The permission given by Econo to the Client to use the Internet Trading / Wireless Technology System shall not convey any proprietary / ownership rights in the above software to the Client.
11. Data Security and maintenance of equipment: The use and storage of any information including, without limitation, the passwords or digital signatures, portfolio

information, transaction details, account balances and any other transaction details or trade information as the case may be on the Client's personal computer is at the Client's own risk and is the Client's sole responsibility. Client is also responsible for maintenance and upkeep of the personal computer, modem, communication equipment and telephone or other services required for accessing and using the internet trading facility of Econo and for all communications service fees and charges incurred by the Client in that connection.

12. Extra Ordinary Events and termination / suspension of trading facility: Econo will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond Econo's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any Econo may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

I/We confirm having read and understood the above terms and conditions and the contents 'Rights and Obligations' documents (s), Risk Disclosure Document, Guidance Note and Policies and Procedures of Econo Broking Pvt Ltd as also specified on the website www.econobroking.com. I/We do hereby agree to be bound by such provisions as outlined in these documents.

Client
Signature  [42/42]

Date : - - 2 0

REQUEST TO ACTIVATE VALUE ADDED SERVICE OF ONLINE TRADE SMS

To, Manager,
Econo Broking Pvt. Ltd.,
105 to 112, EVA-1, Atabhai Road, Opp. Joggers Park, Bhavnagar – 364002.

Ref: My Client Code (UCC) _____

Sub: Request to Activate Value Added Service of Online Trade SMS

Dear Sir,

This has reference to the captioned subject and reference; please note that, you are kindly requested to Activate Value Added Service of Online Trade SMS for my/our client code (UCC) _____.

In view of above, I / We herewith authorize you to debit my / our Trading Account (Ledger) by,

☐ Rs. 10/- Per Month ☐ Rs. 100/- Per Year ☐ Rs. 500/- for Life Time Free (One Time Fee)

(The GST would be charged extra wherever applicable as per the prevailing rates.)

This authorization may be revoked at any time by me/us by giving written notice to the member.

Thanking you.

Client Signature: X _____

Client Code: _____

Client Name: _____

Date: _____

EXTRA LIMIT LETTER

To
Manager,
Econo Broking Pvt Ltd. (EBPL),
105 to 112, EVA-1, Atabhai Road, Opp Joggers Park, Bhavnagar – 364002.

Ref: My Client Code (UCC) _____

Sub: Request to provide me extra exposure for intraday trading

Dear Sir,

This has reference to the captioned subject and reference; please note that, as per current Risk Management policy of your company, I am getting 1 time margin limit based on my credit available with your company. Since, I am doing most of my trading for intraday, I request you to provide me extra exposure for Intra Day trading, up to 5 time margin credit or as per market condition.

I assure you that, this exposure will be used for intraday trading only and I will square off my position before market close or if my intraday Mark to Market loss reaches to 70% of my credit. If I fail to square off my position in either of above condition, I hereby authorize your company to square off my position/trades in Equity Segment, Equity Derivatives, Currency Derivative and Commodity Derivative segment of any exchange or of any other segment in which i registered as client with above mentioned client code. Further, to square off such positions, EBPL shall not be required to take prior approval from me/us and mere intimation through contract note shall be sufficient. I/We undertake that square off trades executed by EBPL shall be considered as Authorized Trades as I/We failed to square off positions as per terms agreed in this request letter.

Thanking you,

Client Signature: X _____

Client Code: _____

Client Name: _____

Date: _____

OPTION & UNDERTAKING FOR CONVERTING REGULAR ACCOUNT INTO BASIC SERVICES DEMAT ACCOUNT (BSDA)

To,

Econo Broking Pvt. Ltd.

EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

Date:

D	D	M	M	Y	Y	Y	Y
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DP ID								Client ID								
	Name							PAN								
Sole/First Holder																
Second Holder																
Third Holder																

☐ Y/N

I/we do not wish to convert my/our depository account into BSDA and wish to continue my existing scheme.

Or

☐ Y/N

I/ We request you to convert my / our depository account into BSDA as per the following details:

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.

I/We hereby declare that I/we am/are eligible to open a depository account as a BSDA holder and undertake to comply with the requirements specified by Securities and Exchange Board of India (SEBI) or any such authority for such facility from time to time.

I/We also understand that in case I/We at any point of time do not meet the eligibility as a BSDA holder, my / our aforesaid account is liable to be converted to regular account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first / Sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

Signature of Holders:

Sole/First Holder

Second Holder

Third Holder