



WEALTH FIRST
PORTFOLIO MANAGERS PVT. LTD.

WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.

Regd. Office Address : "Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015
Phone : 079-40240000 To 99
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E-mail : support@wealthfirst.biz
Website : www.wealth-firstonline.com

Detail	NSE Cash / F & O Segment	BSE Cash / F & O Segment	NSE CD Segment
SEBI Reg.No.	INB/INF 231346630	INB/INF 011346336	INE 231346330
SEBI Reg.Date	13/10/2011	28/1/2011	
Member Code	13463	6253	13463

**Clearing Member Name (NSE F&O and
CD Segment / BSE F&O Segment)** : IL&FS Security Services Ltd.
Address : IL&FS HOUSE, RAHEJA VIHAR, CHANDIVILI, ANDHERI (EAST), MUMBAI
Phone Number : 022-28570965
Fax Number : 022-28570948
IG Email ID : fno.group@issl.co.in
Clg No. : C50008
SEBI Registration No. : INF231133630 (NSE)/INF011133834 (BSE)/INF231133630 (NSE CURRENCY)
SEBI Registration Date : 2 / 6 / 2000

CEO/Compliance Officer Details

Designation	Name	Phone	E-mail
Compliance Officer	Mr. Nikhil Jain	91-79-40240000	compliance@wealthfirst.biz
CEO	Mr. Ashish Shah	91-79-40240061	ceo@wealthfirst.biz

for any grievance / dispute please contact Wealth-First Portfolio Managers Pvt. Ltd. at the above address or e-mail ID : compliance@wealthfirst.biz.

In case not satisfied with the response, please contact the concerned Exchange(s) at

Exchange	E-mail ID	Phone/Fax No.
NSE	ignse@nse.co.in	(022)26598190 (022)26598191
BSE	is@bseindia.com	(022) 22728097

DP Details

DP ID : 12072300
SEBI Registration No. : IN-DP-CDSL-635-2011
SEBI Registration Date : 12/7/2011



ACCOUNT OPENING KIT (THROUGH BUSINESS ASSOCIATES) INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list. C. Additional KYC for CDSL Demat Account Information	1 to 24
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	25-29
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in thesecurities market.	30-33
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	34-35
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker <i>(to be added by the stock broker)</i> .	36-39
6	Tariff Structure	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stockexchange(s)	40-41
7	DP-BO Agreement	Agreement between DP and BO for Security Demat Account	42-43
8	CDSL-SMS Alerts Terms & Conditions	Terms and Conditions-cum-Registration/Modification Form for receiving SMS Alerts from CDSL - Annexure 2.4	44-45
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
9	SMS Alert from CDSL	Terms and Conditions-cum-Registration/Modification Form for receiving SMS Alerts from CDSL	44-45
10	SMS / Trust Facility	Registration Form for availing SMS Alert and /or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility	46
11	TRUST Services from CDSL	Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL	47
12	FEMA Declaration	FEMA DECLARATION (IN CASE OF NRI(s) / FOREIGN NATIONAL(s))	48
10	Authorization for running account/ request letter	Letter of authority / request to Wealth First Portfolio Managers Pvt. Ltd.	49
11	Righths & Obligations	Additional clauses forming part and parcel of mandatory Rights and Obligations	50-68
12	Broad Policy	Additional Policy for operation of Account	69
13	Letter of Authority	Authority Letter for smooth functioning of Accounts	70
14	Confirmation and Noting	Additional Confirmation and Noting	71
15	Money Laundering Literature	Document detailing brief information on Anti-money Laundering	71
16	Power of Attorney	POA for Security Demat Account	72-73
17	Declaration & Formats	HUF / Sole Proprietorship / Partership / Delcaration and Board Resolution Format	74-76



Instructions to the Applicants (Beneficial Owners/BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public/ Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate Annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.



Dos and Don'ts (for CDSL D'mat for Beneficial Owners of CDSL)

DOS

- Register for CDSL's internet based facility 'easi' to monitor your demat account online. Contact your DP for details.
- Register for CDSL's SMS Alert facility - "SMART" and obtain alerts for any debits or credits due, in your demat account.
- Accept the DIS book from your DP only if each slip has been pre-printed with a serial number along with your demat account number, name and keep it in safe custody.
- Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker.
- Ensure that all demat account holder(s) sign on the DIS.
- Please strike out the any blank space on the slip.
- Cancellations or corrections on the DIS should be initialed signed by all the account holder(s).
- Submit the DIS ahead of the delivery date for all type of market transactions. DIS can be issued with a future execution date.
- Intimate any change of address or change in bank account details to your DP immediately.
- Check the demat performance of the issuer company with your DP before sending certificates for demat. The list of companies whose demat request are pending is published at www.cdslindia.com
- Before sending securities for demat, record the distinctive numbers of the securities sent.
- Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope & implications of powers being granted.
- The demat account has a nomination facility and it is advisable to appoint a nominee, in case of sole account holders.
- Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions and once a quarter if there have been no transactions in your account.
- Check your demat account statement on receipt. In case you notice any unauthorized debits or credits, contact your DP for clarification. If not resolved, you may contact CDSL's Investor Relations Officers, [Mr. Suhas Kulkarni, Central Depository Services (India) Ltd., 17th Floor, P. J. Towers, Dalal Street, Mumbai-400 001, Tel. 2272 3333, email : investors@cdslindia.com.]

DON'TS

- Do not leave your instruction slip book with anyone else.
 - Do not sign blank DIS as it is equivalent to a bearer Cheque.
 - Avoid over-writing, cancellations and misspellings, changing of the name and quantity of securities.
- We request you to meticulously follow the above instructions to avoid any problems in operation of your demat account.



INSTRUCTIONS / CHECKLIST FOR FILLING KYC FORM:

A. IMPORTANT POINTS:

1. **Self attested copy** of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, **should match** with the documentary proof submitted.
5. If correspondence & permanent address are different, then **proofs for both** have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, **for a minor**, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (**PEP**) are defined as individuals who are or have been entrusted with prominent public

functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI):

List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/ Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.

6. Identity card/document with address, issued by any of the following: Central/ State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/ or apostiled or consularised) that gives the registered address should be taken.
8. **The proof of address in the name of the spouse may be accepted.**

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). ● Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. ● Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. ● Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. ● Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered partnership firms only). ● Copy of partnership deed. ● Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered trust only). ● Copy of Trust deed.

	<ul style="list-style-type: none"> ● List of trustees certified by managing trustees/CA. ● Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> ● PAN of HUF. ● Deed of declaration of HUF/ List of coparceners. ● Bank pass-book/bank statement in the name of HUF. ● Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> ● Proof of Existence/Constitution document. ● Resolution of the managing body & Power of Attorney granted to transact business on its behalf. ● Authorized signatories list with specimen signatures.
Banks/ Institutional Investors	<ul style="list-style-type: none"> ● Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. ● Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> ● Copy of SEBI registration certificate. ● Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> ● Self-certification on letterhead. ● Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> ● Copy of Registration Certificate under Societies Registration Act. ● List of Managing Committee members. ● Committee resolution for persons authorised to act as authorised signatories with specimen signatures. ● True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.



INSTRUCTIONS / CHECKLIST - DERIVATIVES SEGMENT

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 documents.	Self declaration with relevant supporting

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

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- FOR INDIVIDUALS:**
 - Stock broker has an option of doing '**in-person**' verification **through web camera** at the branch office of the stock broker/sub-broker's office.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- FOR NON-INDIVIDUALS:**
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**KNOW YOUR CLIENT (KYC) APPLICATION FORM***Please fill this form in ENGLISH and in BLOCK LETTERS.*

PHOTOGRAPH
Please affix
the recent
passport size
photographs
and duly sign
across it


A. IDENTITY DETAILS														
1.	Name of the Applicant													
2.	Father's/ Spouse Name													
3.	a. Gender			<input type="checkbox"/> Male		<input type="checkbox"/> Female		b. Marital status			<input type="checkbox"/> Single <input type="checkbox"/> Married			
	c. Date of birth			D	D	M	M	Y	Y	Y	Y			
4.	a. Nationality													
	b. Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National													
5.	a. PAN													
	b. Unique Identification Number (UID)/ Aadhaar, if any													
6.	Specify the proof of Identity submitted													
B. ADDRESS DETAILS														
1.	ADDRESS FOR CORRESPONDENCE						PERMANENT ADDRESS (mandatory for Non-Resident Applicant)							
	City						City							
	Pin Code						Pin Code							
	State						Country							
2.	Contact Details			Tel. (Off.)			Tel. (Res.)							
	Mobile No.						Fax							
	Email id													
3.	Specify the proof of address submitted for correspondence address													
4.	Specify the proof of address submitted for permanent address													
C. OTHER DETAILS														
1.	Gross Annual Income Details (please specify)													
	Income Range per annum			<input type="checkbox"/> Below Rs 1 Lac		<input type="checkbox"/> 1-5 Lac		<input type="checkbox"/> 5-10 Lac		<input type="checkbox"/> 10-25 Lac		<input type="checkbox"/> >25 Lacs or		
	Net-worth as on			D	D	M	M	Y	Y	Y	Y	Rs.		
	(Net worth should not be older than 1 year)													
2.	Occupation (please tick any one and give brief details):													
	<input type="checkbox"/> Private Sector			<input type="checkbox"/> Public Sector			<input type="checkbox"/> Government Service			<input type="checkbox"/> Business			<input type="checkbox"/> Professional	
	<input type="checkbox"/> Agriculturist			<input type="checkbox"/> Retired			<input type="checkbox"/> Housewife			<input type="checkbox"/> Student				
	<input type="checkbox"/> Others _____													

3.	Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable
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4.	Any other information: _____
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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.

	
Signature of Applicant	

Date :

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FOR OFFICE USE ONLY

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

For, **WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.**

	
Signature of Authorised Signatory	

Seal/Stamp of the intermediary

Date :

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SECOND HOLDER DETAILS / GUARDIAN DETAILS

Please fill this form in ENGLISH and in BLOCK LETTERS.

PHOTOGRAPH
Please affix the recent passport size photographs and duly sign across it


A. IDENTITY DETAILS												
1.	Name of the Second Holder/Guardian											
2.	Father's/ Spouse Name											
3.	a. Gender			<input type="checkbox"/> Male		<input type="checkbox"/> Female		b. Marital status			<input type="checkbox"/> Single <input type="checkbox"/> Married	
	c. Date of birth		D	D	M	M	Y	Y	Y	Y		
4.	a. Nationality											
	b. Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National											
5.	a. PAN											
	b. Unique Identification Number (UID)/ Aadhaar, if any											
6.	Specify the proof of Identity submitted											
B. ADDRESS DETAILS												
1.	ADDRESS FOR CORRESPONDENCE						PERMANENT ADDRESS (mandatory for Non-Resident Applicant)					
	City						City					
	Pin Code						Pin Code					
	State		Country				State		Country			
2.	Contact Details		Tel. (Off.)				Tel. (Res.)					
	Mobile No.						Fax					
	Email id											
3.	Specify the proof of address submitted for correspondence address											
4.	Specify the proof of address submitted for permanent address											
C. OTHER DETAILS												
1.	Gross Annual Income Details (please specify)											
	Income Range per annum		<input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> >25 Lacs or									
	Net-worth as on		D	D	M	M	Y	Y	Y	Y	Rs.	
	(Net worth should not be older than 1 year)											
2.	Occupation (please tick any one and give brief details):											
	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional											
	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student											
	<input type="checkbox"/> Others _____											

3.	Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable
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4.	Any other information: _____
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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.

	
Signature of Applicant	

Date :

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FOR OFFICE USE ONLY

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

For, **WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.**

	
Signature of Authorised Signatory	

Seal/Stamp of the intermediary

Date :

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THIRD HOLDER DETAILS

Please fill this form in ENGLISH and in BLOCK LETTERS.

PHOTOGRAPH
Please affix the recent passport size photographs and duly sign across it


A. IDENTITY DETAILS												
1.	Name of the Third Holder/Guardian											
2.	Father's/ Spouse Name											
3.	a. Gender			<input type="checkbox"/> Male		<input type="checkbox"/> Female		b. Marital status			<input type="checkbox"/> Single <input type="checkbox"/> Married	
	c. Date of birth		D	D	M	M	Y	Y	Y	Y		
4.	a. Nationality											
	b. Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National											
5.	a. PAN											
	b. Unique Identification Number (UID)/ Aadhaar, if any											
6.	Specify the proof of Identity submitted											
B. ADDRESS DETAILS												
1.	ADDRESS FOR CORRESPONDENCE						PERMANENT ADDRESS (mandatory for Non-Resident Applicant)					
	City						City					
	Pin Code						Pin Code					
	State				Country		State				Country	
	2. Contact Details						Tel. (Res.)					
Tel. (Off.)						Tel. (Res.)						
Mobile No.						Fax						
Email id												
3.	Specify the proof of address submitted for correspondence address											
4.	Specify the proof of address submitted for permanent address											
C. OTHER DETAILS												
1.	Gross Annual Income Details (please specify)											
	Income Range per annum <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> >25 Lacs or											
	Net-worth as on		D	D	M	M	Y	Y	Y	Y	Rs.	
	(Net worth should not be older than 1 year)											
2.	Occupation (please tick any one and give brief details):											
	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional											
	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student											
	<input type="checkbox"/> Others _____											

3.	Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable
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4.	Any other information: _____
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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.

	
Signature of Applicant	

Date :

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FOR OFFICE USE ONLY

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

For, **WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.**

	
Signature of Authorised Signatory	

Seal/Stamp of the intermediary

Date :

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KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS													
1.	Name of the Applicant												
2.	Date of Incorporation	D	D	M	M	Y	Y	Y	Y				
	Place of Incorporation												
3.	Date of Commencement of Business	D	D	M	M	Y	Y	Y	Y				
4.	a. PAN									b. Registration No. (e.g. CIN)			
5.	Status : (please tick any one)												
	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (please specify)												
B. ADDRESS DETAILS													
1.	ADDRESS FOR CORRESPONDENCE						REGISTERED ADDRESS (If different from correspondence)						
	City						City						
	Pin Code						Pin Code						
	State						State						
	Country						Country						
2.	Contact Details	Tel. (Off.)						Tel. (Res.)					
	Mobile No.							Fax					
	Email id												
3.	Specify the proof of address submitted for correspondence address												
4.	Specify the proof of address submitted for registered address												
C. OTHER DETAILS													
1.	Gross Annual Income Details (please specify)												
	Income Range per annum <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac												
	<input type="checkbox"/> 10-25 Lac <input type="checkbox"/> >25 - 1 Crore <input type="checkbox"/> > 1 Crore												
2.	Net-worth as on	D	D	M	M	Y	Y	Y	Y	Rs.			
	(Net worth should not be older than 1 year)												
3.	Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:												
	As per Annexure												
4.	DIN/UID of Promoters/Partners/Karta and whole time directors :												
	As per Annexure												

**DETAILS OF PROMOTERS / PARTNERS / DIRECTORS**

Individual's Full Name											
Residential Address											
City		PIN						State		Country	
Phone		E-mail									
Designation		Date of Birth								Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	
PAN							UID				
DIN							Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)			
<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable											

Individual's Full Name											
Residential Address											
City		PIN						State		Country	
Phone		E-mail									
Designation		Date of Birth								Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	
PAN							UID				
DIN							Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)			
<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable											

Individual's Full Name											
Residential Address											
City		PIN						State		Country	
Phone		E-mail									
Designation		Date of Birth								Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	
PAN							UID				
DIN							Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)			
<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable											

Attach recent passport size photographs of Promoters / Trustees / Directors / Partners in the space provided below :


(1)	(2)	(3)
<div style="border: 1px solid black; padding: 10px; width: 150px; margin: auto;"> Passport size photography only (Sign across) </div>	<div style="border: 1px solid black; padding: 10px; width: 150px; margin: auto;"> Passport size photography only (Sign across) </div>	<div style="border: 1px solid black; padding: 10px; width: 150px; margin: auto;"> Passport size photography only (Sign across) </div>

S.No.	Name of Promoters / Trustees / Directors / Partners	Signature(s) along with Seal
1.		
2.		
3.		

4.	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees
	whole time directors: As per Annexure
5.	Any other information


DECLARATION :

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


	
Signature of Authorised Signatory	

(With Rubber Stamp)

Name of Authorised Signatory :

	
Signature of Authorised Signatory	

(With Rubber Stamp)

	
Signature of Authorised Signatory	

(With Rubber Stamp)

Date :

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FOR OFFICE USE ONLY

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

For, **WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.**

	
Signature of Authorised Signatory	

Seal/Stamp of the intermediary

Date :

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

 -

--	--	--	--

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TRADING ACCOUNT DETAILS


A. BANK ACCOUNT DETAILS :						
	Bank Name	Branch Address	Bank Account Number	Account Type: Saving/Current Others: in case of NRI/NRE/NRO	MICR Number	IFSC Code
1						
2						
3						
4						
B. DEPOSITORY ACCOUNT DETAILS						
	Depository Participant Name	Depository Name (NSDL / CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)	
1						
2						
3						
4						
C. TRADING PREFERENCES						
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.						
Exchanges	Segments					
NSE	Cash	<input checked="" type="checkbox"/>	Signature of Applicant	Currency Derivative	<input checked="" type="checkbox"/>	Signature of Applicant
	F&O	<input checked="" type="checkbox"/>	Signature of Applicant	M.F.	<input checked="" type="checkbox"/>	Signature of Applicant
	Debt	<input checked="" type="checkbox"/>	Signature of Applicant			
BSE	Cash	<input checked="" type="checkbox"/>	Signature of Applicant	M.F.	<input checked="" type="checkbox"/>	Signature of Applicant
	F&O	<input checked="" type="checkbox"/>	Signature of Applicant	Currency Derivative	<input checked="" type="checkbox"/>	Signature of Applicant
	Debt	<input checked="" type="checkbox"/>	Signature of Applicant			
<p># 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.</p>						
D. PAST ACTIONS						
<p>■ 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</p>						


E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS					
If client is dealing through the sub-broker, provide the following details					
Sub-broker's Name					
SEBI Registration number					
Registered office address					
Phone		Fax		Website	
Whether dealing with any other stock broker/sub-broker (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				Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker					
F. ADDITIONAL DETAILS					
Whether you wish to receive <input type="checkbox"/> physical contract note or <input type="checkbox"/> Electronic Contract Note (ECN) (please specify)					
Specify your Email id, if applicable					
Whether you wish to avail of the facility of <input type="checkbox"/> internet trading/ <input type="checkbox"/> wireless technology (please specify)					
Number of years of Investment/Trading Experience					
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others					
As per Annexure / N.A.					
Any other information					
G. INTRODUCER DETAILS (optional)					
Name of the Introducer					
		(Surname)	(Name)	(Middle Name)	
Status of the Introducer	<input type="checkbox"/> Sub-broker	<input type="checkbox"/> Remisier	<input type="checkbox"/> Authorized Person		
	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Others, please specify			
Address of the Introducer					
Phone		Mobile	E-mail		
Signature of the Introducer					
H. NOMINATION DETAILS (for individuals only) :					
<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate					
Name of the Nominee					
Relationship with the Nominee					
PAN of Nominee		Date of Birth of Nominee			
Address of the Nominee					
Phone		Mobile			
If Nominee is a minor, details of guardian					
Name of guardian					
Address of Guardian					
Phone		Signature of guardian			


WITNESSES (Only applicable in case the account holder has made nomination)			
Name		Name	
Signature		Signature	
Address		Address	
Phone		Phone	
Mobile		Mobile	

DECLARATION :

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


Signature of Client /
(all) authorized Signatory (ies)


Signature of Client /
(all) authorized Signatory (ies)


Signature of Client /
(all) authorized Signatory (ies)

Place : _____

Date : - -

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.


Signature of Authorised Signatory

For, **WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.**

Date : - -

(Seal / Stamp)

**DETAILS OF AUTHORISED SIGNATORIES**

Individual's Full Name									
Residential Address									
City		PIN						State	Country
Phone		E-mail							
Designation		Date of Birth							Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
PAN		UID							
DIN		Nationality			<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)				

Individual's Full Name									
Residential Address									
City		PIN						State	Country
Phone		E-mail							
Designation		Date of Birth							Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
PAN		UID							
DIN		Nationality			<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)				

Individual's Full Name									
Residential Address									
City		PIN						State	Country
Phone		E-mail							
Designation		Date of Birth							Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
PAN		UID							
DIN		Nationality			<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)				

Attach recent passport size photographs of Authorised Signatories in the space provided below :

<p>(1)</p> <div style="border: 1px solid black; padding: 10px; text-align: center;"> <p>Passport size photography only</p> <p>(Sign across)</p> </div>	<p>(2)</p> <div style="border: 1px solid black; padding: 10px; text-align: center;"> <p>Passport size photography only</p> <p>(Sign across)</p> </div>	<p>(3)</p> <div style="border: 1px solid black; padding: 10px; text-align: center;"> <p>Passport size photography only</p> <p>(Sign across)</p> </div>
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S.No.	Name of Authorised Signatories	Signature(s) along with Seal
1.		
2.		
3.		

**FOR INDIVIDUALS****FOR DEMAT ACCOUNT****ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT**

Depository Participant : **WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.**
 "Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015 • Tel.: 079-40240000 To 99 • Fax: 079-40240074
 Email: support@wealthfirst.biz Web Site: wealth-firstonline.com
 DP SEBI Regn. No. : **IN-DP-CDSL-635-2011** DP ID : **12072300**

Application No.		Date			-			-	2	0	1	
DP Internal Reference No.												
DP ID	1	2	0	7	2	3	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 the following details :

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

Name *

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

TYPE OF ACCOUNT (Please tick whichever is applicable)

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

PAN

Name of Guardian											
Relationship with Applicant											

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I/we request you to send Electronic Transaction cum Holding Statement at the E-mail ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you wish to receive dividend / interest directly in to your bank account, given below through ECS? (If not marked, the default option would be 'Yes') (ECS is mandatory for locations notified by SEBI from time to time)	<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

I / We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)		<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure –2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.	
	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.	
	Stock Exchange Name/ID	Clearing Member Name
		Clearing Member ID (Optional)

BANK DETAILS (Dividend Bank Details)

Bank Code (9 Digit MICR Code)									
IFS Code (11 Character)									
Account Number									
Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____								
Bank Name									
Branch Name									
Bank Address									
City	State		Country		Pin				

- (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.

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	MOBILE NO. +91								
	(Mandatory, if you are giving Power of Attorney (POA) (If POA is not granted & you do not wish to avail of this facility, Cancel this Option)								
easi	To register to <i>easi</i> , please visit our website www.cdslindia.com <i>easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.								

NOMINATION DETAILS

Nomination Registration No.									
Dated									
I / We the sole holder / Joint Holders / Guardian (in case of minor) hereby declare that :									
<input type="checkbox"/> I/We do not wish to nominate any one for this demat account.									
<input type="checkbox"/> I/We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my / our death									

NOMINEE DETAILS

Full Name of the Nominee									
Address									
City		State							
Country		Pin Code							

Telephone No.		Fax No.															
E-mail ID		PAN															
Relationship with BO (if any)		UID															
Date of Birth (Mandatory if nominee is a minor)																	

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I/We appoint following person to act as **Guardian**:

Full Name of the Guardian																	
Address																	
City						State											
Country						Pin Code											
Telephone No.						Fax No.											
E-mail ID						PAN											
Relationship with BO (if any)						UID											

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

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

DETAILS OF THE WITNESS

	First Witness	Second Witness
Name of Witness		
Address of Witness		
Signature of Witness		

I/We have read the terms & conditions DP-BO agreement 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			
Signature			

(Signatures should be preferably in black ink).

ACKNOWLEDGEMENT RECEIPT

Application No. :		Date :															
We hereby acknowledge the receipt of the Account Opening Application Form :																	
Name of the Sole/First Holder																	
Name of Second Holder																	
Name of Third Holder																	

Depository Participant Seal and Signature



FOR ENTITES OTHER THAN INDIVIDUALS

FOR DEMAT ACCOUNT

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

Depository Participant : **WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.**
 "Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015 • Tel.: 079-40240000 To 99 • Fax: 079-40240074
 Email: support@wealthfirst.biz Web Site: wealth-firstonline.com
 DP SEBI Regn. No. : **IN-DP-CDSL-635-2011** DP ID : **12072300**

Application No.		Date			-			-	2	0	1	
DP Internal Reference No.												
DP ID	1	2	0	7	2	3	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 the following details :

HOLDERS DETAILS		PAN									
Sole/First Holder's Name											
Search Name											
Second Holder's Name											
Third Holder's Name											
Name *											

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

TYPE OF ACCOUNT (Please tick whichever is applicable)											
STATUS		SUB STATUS									
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trusts <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____		To be filled by the DP									
SEBI Registraion No. (If applicable)		SEBI Registration Date									
RBI Registraion No. (If applicable)		RBI Approval Date									
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify) _____										
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the daulty option would be 'Yes')		[Automatic credit] <input type="checkbox"/> Yes <input type="checkbox"/> No									
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly											
I/we request you to send Electronic Transaction cum Holding Statement at the E-mail ID _____		<input type="checkbox"/> Yes <input type="checkbox"/> No									
Do you wish to receive dividend / interest directly in to your bank account, given below through ECS? (If not marked, the daulty option would be 'Yes') (ECS is mandatory for locations notified by SEBI from time to time)		<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									
I/ We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No									
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)		<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic									

Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure –2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.		<input type="checkbox"/> Yes <input type="checkbox"/> No
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.		
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

CLEARING MEMBER DETAILS (To be filled by CMs only)

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

BANK DETAILS (Dividend Bank Details)

Bank Code (9 Digit MICR Code)									
IFS Code (11 Character)									
Account Number									
Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____								
Bank Name									
Branch Name									
Bank Address									
City	State		Country		Pin				

- (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.

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	MOBILE NO. +91								
	(Mandatory, if you are giving Power of Attorney (POA) (If POA is not granted & you do not wish to avail of this facility, Cancel this Option)								
easi	To register to easi, please visit our website www.cdslindia.com easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.								

I/We have read the terms & conditions DP-BO agreement 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 Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

(Signatures should be preferably in black ink). (In case of more authorised signatories, please add annexure)

ACKNOWLEDGEMENT RECEIPT

Application No. :	Date :						
We hereby acknowledge the receipt of the Account Opening Application Form :							
Name of the Sole/First Holder							
Name of Second Holder							
Name of Third Holder							

Depository Participant Seal and Signature



RIGHTS & OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

(As prescribed by SEBI and Stock Exchanges)

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.

orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the

stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

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

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars,

Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

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

designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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



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

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

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



RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of

lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side

or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

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

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

2.1 Effect of “Leverage” or “Gearing”:

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

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

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on

the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

- 1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
- 2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

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

2.3 Risk of Option holders:

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

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other

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

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

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

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

4. GENERAL

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.



GUIDANCE NOTE : DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue

cheques in the name of sub- broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.

12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/ deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days,

calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership

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

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

DISPUTES/ COMPLAINTS

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



POLICIES AND PROCEDURES

This document outlines various policies and procedures framed and followed by Wealth First Securities Limited (WEALTH FIRST) with respect to its dealing with its clients as a stock broker on National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd (BSE) (collectively hereinafter referred to as “the Exchanges”). The policies and procedures as stated herein below are subject to change from time to time at the sole discretion of WEALTH FIRST, depending upon regulatory changes, its risk management framework, other market conditions, etc.

a. Refusal of order for penny stock

Following types of scrips will come under Penny stock if it falls in any one category as mentioned below as part of the due diligence and risk management policy of WEALTH FIRST.

1. Scrip which are quoting at less than Rs. 10/- on any of the Exchanges.
2. Scrips appearing in the list of illiquid securities issued by the Exchanges periodically.
3. Securities forming part of Trade-to-Trade settlement.
4. Securities forming part of Z group.
5. Scrips on which Exchange VaR is more than 50%
6. Scrip whose average daily volume is less than 15000 shares (collectively for all Exchanges) in last seven days.
7. Any Securities which in the opinion of WEALTH FIRST is likely to be a Penny Stock.

Trading in Penny stocks may be allowed to clients at the sole discretion of WEALTH FIRST. Also WEALTH FIRST may restrict the quantity/amount which a client may be allowed to buy/sell the penny stock. If the client wants to purchase Penny stocks then WEALTH FIRST may insist upto 100% advance payment/ sufficient clear ledger credit balance and similarly if client wishes to sell Penny stock, then WEALTH FIRST may insist that shares should be first transferred to beneficiary demat account of WEALTH FIRST. Under no circumstances, WEALTH FIRST shall be held responsible for non-execution/delay in execution of such orders and consequential opportunity loss or financial loss to the client.

b. Setting up client's exposure limits

Cash Segment

- Exposure based and / or Margin based limits will be given to the clients for doing trades in Cash Segment.

- Limits will be given on the basis of credit balance and / or collateral / securities of the client available with WEALTH FIRST valued after hair cut.
- Exposure based limit may be given to the client in certain multiples (multiples times may be decided by WEALTH FIRST at its sole discretion from time to time) on the available credit balance and / or on the collateral / securities of the client available with WEALTH FIRST valued after hair cut. However, on case to case basis the excess limits may be allowed.
- Margin based limit may be given to the client on the applicable VaR as may be decided by WEALTH FIRST from time to time on the available credit balance and / or on the collateral / securities of the client available with WEALTH FIRST valued after hair cut. However on case to case basis the excess limits may be allowed.
- Securities shall be valued after appropriate hair cut based on the type of scrips, nature of scrip, liquidity, volatility of scrip, etc. from time to time.

WEALTH FIRST may at its sole and absolute discretion allow clean exposure limit up to certain amount to the client without insisting for any credit balance and/or margin. The quantum of clean exposure limit shall be decided by WEALTH FIRST. On a case-to-case basis WEALTH FIRST may, at its sole and absolute discretion, give higher clean exposure limits to certain set of the clients. WEALTH FIRST reserves the right to withdraw clean exposure limit granted to the client at any point of time at its sole and absolute discretion. The client cannot and shall not raise any concern/dispute for the same and under no circumstances, WEALTH FIRST shall be held responsible for alleged / consequential opportunity loss or financial loss to the client.

Derivatives Segment

- Margin based limits will be given to the clients for doing trades in Derivatives Segment.
- Limits in Derivatives Segment will be given on the basis of free credit balance and / or collateral/ securities of the client available with WEALTH FIRST valued after hair cut.
- Securities shall be valued after appropriate hair cut based on the type of scrips, nature of scrip, liquidity and volatility of scrip, etc. from time to time.

- A client will be normally allowed limits till the client has free credit balance and / or collateral / securities valued after haircut. In case of excess limit is availed, the same will be regularized by the end of trading session / day. However on case to case basis the excess limit may be allowed to be carried forward. WEALTH FIRST may from time to time depending on market conditions, profile and history of client, type and nature of scrip, etc., may at its sole discretion change the rate of haircut applicable on the securities / collaterals, number of times the limits to be given in Cash and / or Derivatives segments and take such steps as WEALTH FIRST may deem necessary.

c. Applicable Brokerage Rate

The brokerage rate applicable on clients trades will be as per agreed rates as mentioned in the Tarif Schedule at the time of opening the client trading account. Any higher brokerage will be levied only if agreed in writing between WEALTH FIRST and the client or by advance notice of 15 days by WEALTH FIRST to the client. If the client has any grievances' regarding the rate of brokerage charged then he should intimate the same to WEALTH FIRST within four hours of receipt of the contract note/confirmation memo/bill.

The brokerage rate at no point of time will exceed the rates as may be specified by the Exchanges/SEBI from time to time.

Unless otherwise agreed the brokerage will be exclusive of the levies / charges as mentioned in the Tarif Sheet.

d. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period

In case of delay in payment by the client to WEALTH FIRST on its due date, WEALTH FIRST in respect of such delayed payment will be entitled to recover late / delayed payment charges from due date. The said delayed payment shall include amounts payable by the client to WEALTH FIRST in respect of initial margin, mark to market, shortfall of margin(s) in prescribed modes, and / or other margins and pay-in obligations. Late payment charges will be levied upto 2.5% per month or a part of month on delayed payment for the delayed period. The trade of the client may not be executed by WEALTH FIRST if the client does not clear dues along with delayed payment charges. The client will not be entitled to any

interest on the credit balance / excess margin available / kept with WEALTH FIRST.

A delayed payment charge is applied to act only as a deterrent measure. The client should not construe it as funding arrangement. The client cannot demand continuation of service on a continued basis citing levy of delayed payment charges.

WEALTH FIRST may impose fines/penalties for any order/ trades/ deal/ actions of the clients which are contrary to this agreement/ rules/ regulations/ byelaws of the exchange or any other law for the time being in force at such rates and in such form as it may deem fit. Further where the WEALTH FIRST has to pay any fine or bear any punishment from any authority in connection with/ as a consequence of / in relation to any of the order/ trades/ deal/ actions of the client, the same will be borne by the client.

e. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues.

The client is required to pay adequate margin pay-in obligations in full and that it shall be the clients responsibility to ascertain in advance the margin / pay-in obligations requirement for its order/trades/ deals and to ensure that the required margin /pay-in obligations is made available to WEALTH FIRST in such form and such manner as may be required by WEALTH FIRST from time to time. If the client's order is executed despite a shortfall in the available margin, the client shall, whether or not WEALTH FIRST intimates such shortfall to the client, make up for the shortfall *suo-motto* immediately. The client shall be responsible for all orders (including any orders that may be executed without the required margin in the clients account) and/or any claim/ loss/damage arising out of the non-availability/ shortage of margin / pay-in obligations required by WEALTH FIRST and/or by Exchange. The client shall fulfill all its obligations / liabilities / dues to WEALTH FIRST, failing which WEALTH FIRST has the right not the obligation to square up all or any outstanding position and / or take offsetting positions and / or sell the margin / securities available with WEALTH FIRST without giving any notice to the client. WEALTH FIRST may also square up all or any outstanding position and / or sell the securities/

collateral available with WEALTH FIRST as a part of risk management at any time without giving any notice to the client. In case of purchase on behalf of client, the WEALTH FIRST may close out its transactions by selling securities, in case the Client fails to make full payment to WEALTH FIRST for the same before the time intimated by WEALTH FIRST. In case of sale on behalf of client, the WEALTH FIRST may close out its transaction by purchasing the securities. The client shall be liable for any losses, costs and be entitled to any surplus, which may result from the above.

f. Shortages in obligations arising out of internal netting of trades

If a selling client who has sold shares of particular scrip on T day does not deliver shares latest by T+2 (i.e. by pay-in day deadline) and such quantity of shares results in internal shortages, then such quantity of internal shortage will be purchased from the market on pay-in day/or reported for self auction if provided by the Exchange. On T+2 (i.e. pay-in day) provisional debit will be given in client account at T+1 day's closing rate + adhoc margin as decided by WEALTH FIRST from time to time. On payout day of securities purchased in the internal shortage account, provisional debit bill amount will be reversed and client account will be debited with the amount at which securities are purchased on T+2 day. Fines / penalties / charges may be levied on account of internal shortage to selling client.

Due to internal shortage on account of internal netting of trades, the buyer client shall receive late delivery of securities. Buyer shall have no claims / rights against WEALTH FIRST for delay in delivery of securities. It may also be possible that WEALTH FIRST may not be able to obtain the required securities due to market conditions, then in such cases the buyer clients account will be credited and seller clients account will be debited as per the close out rate provided by the exchange for the relevant Auction settlement. Provisional debit bill amount will be reversed in the sellers client account. Notwithstanding the above, the selling client who has failed to deliver the shares by due date and time shall be solely responsible for all cost, charges, penalties, damages, etc. arising out of such non delivery of shares.

Above procedure is subject to change from time to time according to change in settlement procedure of the Exchange.

g. Conditions under which a client may not be allowed to take further position or WEALTH FIRST may close the existing position of a client.

Under the following conditions WEALTH FIRST will not allow the client to take further positions or WEALTH FIRST may close the existing position of a client:-

- 1) Insufficient / inadequate margin(s) and / or insufficient / inadequate free credit balance available with WEALTH FIRST.
- 2) Scrips / stocks falling in Penny Stocks in clause (a) above.
- 3) Illiquid contracts / options.
- 4) Trades which apparently in the sole and absolute discretion of WEALTH FIRST seems to be Synchronized trades/ Circular trading/Artificial trading/ manipulative in nature, etc.
- 5) Scrips banned by Regulatory authorities.
- 6) Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges and other regulatory authorities [where the information available for the debarred entity (other than name) is not sufficient enough to establish that the client and such debarred entity are one and the same].
- 7) The client fails to furnish documents information as may be called for by WEALTH FIRST from time to time as per regulatory requirement and/or as per its internal policy.
- 8) In the event of death or insolvency of the client or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which he has ordered to be bought or sold.

In addition to the above WEALTH FIRST can also close position of the client in case the client fails to pay his / her obligation / dues before pay in schedule of the exchange and / or as demanded by WEALTH FIRST. Depending on the market circumstances if WEALTH FIRST is of the view that the positions of the clients are / will be at risk then WEALTH FIRST may close the existing position without waiting for the pay in schedule of the exchange.

h. Temporarily suspending or closing a client's account at the client's request,

At the written request of the client, the trading account will be suspended / closed. In case client request for closing the account then the client's funds and securities due to / from client will have to be settled at the earliest. Also the client will give a confirmation of no dues (funds and securities) to WEALTH FIRST. Only after the settlement of funds and securities the clients account will be closed. If a client wishes to resume trading then client has to give a written request to WEALTH FIRST for the same. In case after closing of account client wishes to resume trading with WEALTH FIRST then fresh KYC formalities will be done.

i. Deregistering a client.

WEALTH FIRST may at its sole discretion deregister a client without giving any specific reason. Necessary communication will be done by WEALTH FIRST to client in writing or by email. On giving the intimation to de-register, the client's funds and securities, if any, will be settled at the earliest. The client will be given necessary notice period as required by the SEBI/ Exchanges from time to time. Due to de-registration, WEALTH FIRST shall have the right to close out the existing open positions/ contracts, sell/ liquidate the margin (in any form) to recover its dues, if any, before de-registering the client. Any action taken by WEALTH FIRST in terms of this policy shall not be challenged by the client, and WEALTH FIRST shall not be liable to the client for any loss or damage (actual/notional), which may be caused to the client as a result. Also while de-registering the client, WEALTH FIRST may

retain certain amount/ securities due/belonging to the client for meeting any future losses, liability, penalties, etc. arising out of dealing of the client with WEALTH FIRST. In case if any securities retained by WEALTH FIRST is sold/ liquidated to recover any such losses, liability, penalties, etc., WEALTH FIRST shall have the sole authority to decide the scrip, the mode, manner and the price at which to effect the sale of securities and the client cannot raise any dispute as to the manner, mode and the price at which the securities are sold by WEALTH FIRST. In any of the above circumstances, if the client is able to justify his / her, circumstances / reasons either by producing any record, document or otherwise to the full satisfaction of WEALTH FIRST, then WEALTH FIRST may reconsider its decision of de-registering the client. However in no circumstances any action taken by WEALTH FIRST till the date of re-registration shall be challenged by the client and WEALTH FIRST shall not be liable to the client for any loss or damage (actual/ notional), which may be caused to the client as a result.

j. Policy for inactive client

Any Client who have not traded for last 365 days or such period as may be decided in any segment of any exchange with WEALTH FIRST then that client code will be made in active and will be kept in dormant mode. If client wishes to activate his account then he may have to complete such documentations as decided by WEALTH FIRST from time to time. After the client is made in active funds and securities lying in trading account if any available with WEALTH FIRST will be settled at the end of the quarter in which trading account is made inactive.



BROKERAGE / CHARGES (TARIFF SCHEDULE) FOR TRADING ACCOUNT

BROKERAGE

CASH AND FUTURES AND OPTIONS AND CURRENCY DERIVATIVES SEGMENTS

Type	Percentage	Minimum (paisa per share)	Legs
Trading in Cash (intra day)			Single / Both
Delivery in Cash			All transaction
Futures (intra day)			Single / Both
Futures (other than intra day)			All transaction
	_____ % / Rs. per lot	Minimum (Rs. Per lot / Paisa Per Share)	
Options (intra day)	_____ % / Rs. _____		Single / Both
Options (except intra day)	_____ % / Rs. _____		All transaction
Currency Derivative	Rs. _____ per lot		

MUTUAL FUND SEGMENT

Type	BROKERAGE ON PURCHASE	BROKERAGE ON REDEMPTION
Equity Oriented	_____ % of investment amount subject to maximum of Rs. _____	
Debt Oriented Plans	_____ % of investment amount subject to maximum of Rs. _____	
Liquid Plans	Nil	

BROKERAGE FOR ACCOUNT SETTLEMENT OTHER THAN QUARTERLY BASIS :-

Per Share 2.5% or 10 paisa which ever is higher on each and every leg of transactions on securities listed in cash segment and on future segment of stock, index & Currency. 2.5% of Premium or Rs. 100/- per lot which ever is higher on options contract listed in futures and options and currency derivative segments.


OTHER LEVIES AS PREVALENT FROM TIME TO TIME :-

1. Service Tax 2. Stamp Duty 3. Exchange transaction charges 4. SEBI turnover fees 5. Clearing Member charges 6. Securities Transaction Tax (STT) 7. Expiry charges on derivative contracts 8. Delayed payment charges not exceeding 2.5% per month or part of the month. 9. Cheque return charges @ 0.15% of cheque value plus Rs. 137/- towards cheque handling charge 10. Contract Note handling charges of Rs.100/- per segment per day in case client opts for physical contract note or WEALTH-FIRST is required to issue physical contract note. 11. Demat charges towards pay-in / pay out of securities / margin from WEALTH-FIRST's beneficiary account. 12. Document and service charges for trading account opening Rs.150/- 13. Amount paid / payable by WEALTH-FIRST on account of any penalties / charges levied / leviable on WEALTH-FIRST due to default / breach committed by client. Any other statutory levies not specified in this tariff sheet. 14. Charges for providing research report. 15. Charges for any other services provided / cost incurred by WEALTH-FIRST. 16. Any other charges toward customised / specialised services.

Note : The brokerage in cash and futures segment (except options) is calculated on a per share basis and rounded of to nearest paisa. Rate of the other levies may vary from time to time. You may contact us to know the prevalent rates of the above levies. WEALTH-FIRST means Wealth First Portfolio Managers Pvt. Ltd.. Any change in the commercial shall be communicated on your email id registered with us and the same shall also be available in your client login on our website.

Name of Applicant : _____

Client Code : _____

	
Signature of Applicant	



WEALTH FIRST
PORTFOLIO MANAGERS PVT. LTD.

“Capitol House” 10, Paras II, Prahlad Nagar, Ahmedabad-380015
Tel.: 079-40240000 To 99 • Fax: 079-40240074
Email: support@wealthfirst.biz
Web Site: wealth-firstonline.com



Schedule of charges for Demat Account

Particulars	SCHEME-A	SCHEME-B	SCHEME-C
	With POA	Without POA	With POA
A) Documentation Charges	Rs. 300/-	Rs. 300/-	Rs. 300/-
B) Refundable Deposit (Non interest bearing)	Nil	Nil	Rs. 3000/-
C) Account Maintenance	Rs. 400/- (Annually)*	Rs. 600/- (Annually)	Nil (Life Time)
Payable at the time of opening the account (A+B+C)	Rs. 700/-	Rs. 900/-	Rs. 3300/-
Custody Charges	Nil	Nil	Nil
Dematerialization Charges	Rs. 50/- per request	Rs. 50/- per request	Rs. 50/- per request
Rematerialization Charges	Rs. 50/- per request	Rs. 50/- per request	Rs. 50/- per request
Transaction Charges			
With Wealth First (Buy)	Nil	Nil	Nil
Within Wealth First (Sell) (Market & Off Market)	Rs. 10/-	Rs. 25/-	Rs. 12/-
Outside Wealth First (Buy)	Nil	Nil	Nil
Outside Wealth First (Sell) (Market & Off Market)	Rs. 50/- or 0.04% of value whichever is higher	Rs. 50/- or 0.04% of value whichever is higher	Rs. 50/- or 0.04% of value whichever is higher
Pledge Creation	Rs. 50/-	Rs. 50/-	Rs. 50/-
Pledge Closure	Nil	Nil	Nil
Pledge invocation	Nil	Nil	Nil

NOTES :

- Cheque retruned charges will be levied @Rs. 110/- per instrument.
- The above rates are based on the existing CDSL charges and may change on revision by CDSL.
- The scheme once selected can be changed at the end of financial year.
- Refundable deposit will be repaid only on closure of account. No adjustment will be made in the interim.
- Any extra statement would be charged @ Rs. 25/- per statement for one page thereafter it would be charged @ Rs. 2/- per page.
- Statutory levies as applicable would be charged extra.
- Cheque in favour of Wealth First Portfolio Managers Pvt. Ltd.
- Documentation charges for Corporate Body shall be Rs. 1000/- p.a.

Please select any one scheme (by ticking) : Scheme A Scheme B Scheme C

B. O. Signature

First / Sole Holder	

Second Joint Holder	

Third Joint Holder	



DP - BO AGREEMENT FOR SECURITIES DEMAT ACCOUNT

Signature of Sole/First Applicant

This agreement made and entered into at Ahmedabad this _____ day of _____ 201_____

between **Wealth First Portfolio Managers Pvt. Ltd.** having its Registered office at “Capitol House” 10, Paras II, Prahlad Nagar, Ahmedabad-380015 hereinafter called “The Participant” of the One Part, AND

Name _____
(Description of the legal entity) having his/its office/ registered **office / address** _____



Signature of Second Applicant

hereinafter called “The Beneficial Owner” of the other Part.

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner’s account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded hereinbelow:



NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:

Signature of Third Applicant

General Clause

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.



Fees, Charges and deposits

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month’s notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid not exceeding 18% per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

Statement of Account

3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter.

[The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time.] The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

[3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.

3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.]

Beneficial Owner shall intimate change of particulars

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

[Depository] not liable for claims against Beneficial Owner

5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/ or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner’s account.

Authorized Representative

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Termination

7. The parties may at any time terminate this agreement, provided that a notice of not less than thirty days is given in the manner and on the terms and conditions and procedure set out in the Bye Laws and the Operating Instructions. In the event of termination by either party, the Participant shall deal with the securities lying in the account of a Beneficial Owner in accordance with the instructions of such Beneficial Owner.

Stamp Duty

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of

SIGNED AND DELIVERED
by the withinnamed the Participant
WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.
by the hand of its authorised representative
Shri/Smt. _____

in the presence of _____

God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

10. Any notice or communication required to be given under this agreement 5 [shall be in writing, and shall be legally effective only when it is delivered to the addressee at the last known address in the manner prescribed in the operating instructions].

Arbitration

11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

Jurisdiction




12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Ahmedabad.


Governing Law

13. The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto set and subscribed their respective hands/seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

SIGNED AND DELIVERED
by the withinnamed B/O. Shri/Smt./M/s.

B.O. Sign. 1.  _____
2.  _____
3.  _____
in the presence of Shri/Smt. _____

(Witness)  _____

**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 accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider’s service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

RECEIVING ALERTS:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in ‘ON’ and in a mode to receive the SMS. If the mobile phone is in ‘Off’ mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository 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 service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

LIABILITY AND INDEMNITY:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any

time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

AMENDMENTS:

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

GOVERNING LAW AND JURISDICTION:

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

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

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

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

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

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

BOID :

1	2	0	7	2	3	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 registered 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

	
First / Sole Holder	

	
Second Joint Holder	

	
Third Joint Holder	

Place : _____

Date : _____



Combined Registration Form for availing SMS Alert and /or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility

To,

WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.

“Capitol House” 10, Paras II, Prahlad Nagar, Ahmedabad-380015

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART-SMS alert facility
- b. TRUST- TRAnsaction using Secured Texting facility

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BO ID :

1	2	0	7	2	3	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole/First Holder’s Name	
Second Holder’s Name	
Third Holder’s Name	

I/We wish to register the following clearing members / IDs under my/our above mentioned BO ID registered for TRUST

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile Number on which messages are to be sent

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

(Please write only the mobile number without prefixing country code or zero)
(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)
The mobile number is registered in the name of:

Name : _____

Email ID : _____

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

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 purpose of availing the said facility.

I/we acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / nonexecution of the said transactions based on receipt/non-receipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies 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.

First / Sole Holder	

Second Joint Holder	

Third Joint Holder	

Place: _____

Date : _____

**Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL**

- 1. Definitions:**
In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:
- i. “Depository” means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means “Transactions Using Secured Texting” service offered by the Depository.
 - iii. “Service Provider” means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. “Service” means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. “Third Party” means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time . . Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the ‘Responsive SMS’ within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of

any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept

safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

17. **Indemnity:**

In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. **Disclaimer:**

Depository shall be absolved of any liability in case:-

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.



FEMA DECLARATION (IN CASE OF NRI(s) / FOREIGN NATIONAL(s))

To,


WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.

"Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015

Dear Sir /Madam,

I/We hereby confirm that I am a /we are non-resident Indian/s / foreign national/s individual/s. I/We also confirm that – I/we have complied with FEMA (erstwhile FERA) regulations and I / we would continue to comply with FEMA (FERA) regulations.

	
First / Sole Holder	

	
Second Joint Holder	

	
Third Joint Holder	

Place: _____

Date : _____

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



RUNNING ACCOUNT AUTHORISATION (VOLUNTARY)

Financial Year : _____

From : _____

Date : - -

To,

WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.

"Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015

Dear Sir,


I am / We are regularly Trading with you for Cash and Derivative Market in BSE/NSE. I/we hereby authorized you to do following on my /our behalf:

- I/We hereby give my/our consent to maintain my/our account for fund and securities as **RUNNING ACCOUNT**
- The Securities lying in my/our hold A/c and credit balance lying in my / our account should be considered as margin deposits
- I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of **BSE/NSE**.
- The actual settlement of funds & Securities shall be done by you on Monthly Quarterly interval. You will send quarterly/ monthly settlement/statement of Funds & Securities and I/We shall bring any discrepancy to your notice within 7 working days from the receipt of Statements
- You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation
- I/We have noted the following :-
 1. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person
 2. I/we may revoke the authorization at any time by giving written notice.
 3. The actual settlement shall be carried out in accordance with SEBI / Exchange Guidelines.

Yours faithfully,

Client Code :

Client Name : _____

	
Signature of Applicant	

Date : - -



ADDITIONAL CLAUSES AGREED BETWEEN STOCK BROKER AND CLIENT AND OR SUB-BROKER FORMING PART OF RIGHTS AND OBLIGATIONS

The following clauses are not part of Uniform set of Documents prescribed by SEBI vide its circular number CIR/ MIRSD/16/2011 dated August 22, 2011. These additional provisions further supplement the clauses and have been added in order to ensure smooth functioning of trading and to enhance the transparency of Stock Broker Client relation. The client is hereby informed that these clauses are voluntarily being agreed at the discretion of Stock Broker and client. The client and Stock Broker in addition, to the above, also agree to the terms and conditions stated herein below:

1. DEFINITIONS & INTERPRETATION:

Unless repugnant to the context or meaning thereof, words and expressions which are used herein but not defined shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Bye-laws and regulations of the relevant Exchange.

1.1 Unless repugnant to the context or meaning thereof:

“Designated Accounts” means The Bank Account(s) and the Depository Account(s).

“Designated Bank accounts” means the current or saving bank account(s) or any funds accounts maintained by the Client (either solely or jointly with another or others) with the Designated Bank(s) for the purpose of depositing funds, and which account(s) has/ have been designated by the client as an Designated Bank Account(s).

“Depository Account” means the depository account(s) maintained by the client (either solely or jointly with another or others) with the designated “Depository Participant” and which account(s) has/have been designated by the client as a Depository Account(s).

“Available Fund balance” means the amount of credit balance in the Designated Bank Account(s) or in the Client account with Stock Broker which is not subject to any lien or other encumbrance (except in favor of Stock Broker) and which is freely available to Stock Broker for blocking and appropriation towards the client’s dues to Stock Broker, an exchange, a Clearing Corporation/ Clearing House, a Business Associate(s) and / or any other individual,

partnership, company, corporation, organization association trust or other entity.

“Available Stock Balance” means the Securities balance in the Depository Account(s) or in the Client account with Stock Broker which is not subject to any lien or other encumbrance (except in favor of Stock Broker) and which is freely available to Stock Broker for blocking and appropriation towards the client’s obligation to deliver the securities to Stock Broker, to an Exchange to a Clearing Corporation / House and / or to a Business Associate.

“Brokerage” means the amount charged by Stock Broker to the Client as brokerage for a primary / secondary market trade or dealing or for any other services. The term “Brokerage” does not include service tax or other taxes, trade/transaction or other fees (statutory or otherwise) and commissions that may be applicable in respect of the services.

“BSE” means The Bombay Stock Exchange Limited.

“Business Associates” includes the Sub broker/ Agent and such other persons, firms, entities etc. that are either directly or indirectly involved in facilitating the provision of the services and/ or act as franchisees or agents of Stock Broker in relation to the provision of the services.

“Business Day” means any day on which the concerned Exchange (s) is operational for trading.

“Clearing House” or “Clearing Corporation” means the clearing house or clearing corporation (as the case may be), maintained by the applicable Exchange, to act as the agency for effecting delivery and settlement of contracts between clearing member of the Clearing House / Clearing Corporation.

“Client account” means an account opened by Stock Broker in the name of the Client in Stock Broker records, which may, in the discretion of Stock Broker, be an account in relation to a single product / service or an account in relation to more than one product / service.

“Clients ID” means the unique identification assigned by Stock Broker to each Client.

“Client Registration Application Form”/ Client Registration Form/ Know your Client form/ Client Application Form” means the duly completed Client registration application form of Stock Broker filled up and submitted by the client to Stock Broker, to open a Client account and to avail of the Services.

“Depository” means a depository within the meaning of the Depositories Act, 1996.

“Depository Participant” means a participant within the meaning of the Depositories Act, 1996.

(a) “Derivatives” and “Options in securities”, as defined in section 2 (aa) and 2(d) respectively of the Securities Contract (Regulation) Act, 1956 as amended from time to time; and

(b) Such other forms of derivatives (if any), that are permitted to be dealt with on the relevant exchange from time to time, in accordance with the Rules, Bye - laws and regulations of that Exchange. “Designated Bank” means such bank(s) and/or entity(ies) as Stock Broker may specify in this behalf from time to time.

“Designated Depository Participant,” means Depository Participant(s) service of Stock Broker.

“E-contract Note” means an electronically generated contract note or a digitally signed contract note issued.

“Exchange” means NSE, BSE and such other Stock Exchange(s), if any, of which, Stock Broker becomes a Stock broker, and over which Stock Broker agrees to offer trading including internet trading services to the Client;

“Exchange Provisions” means the Rules, Bye-laws, regulations, hand books, notices, circulars and resolutions, of the concerned Exchanges or the concerned Depository in force from time to time and includes the minimum requirements for internet trading prescribed by the BSE and NSE, circular relating to Internet based trading service, as issued and amended from time to time.

“Good delivery” in relation to securities, shall mean the timely delivery of freely transferable Securities which are

considered as good delivery securities by the concerned Exchange, SEBI and the concerned Clearing Corporation / House.

“Long Purchase” shall include a purchase order or trade given or entered into by the Client without sufficient available Funds Balance. “Mode” means the channels or means through which the Services may for the time to time being be accessed by clients and through which the service is for the time being rendered by Stock Broker.

“NSE” means National Stock Exchange of India Limited”.

“Internet Trading” means Internet based trading through Order Routing System, being a system approved by the concerned Exchange for enabling Clients to route their orders to their Stock broker over the Internet.

“Internet Trading Service” means the service (being part of the services) offered by Stock Broker to its clients through internet trading, where under the clients can route their orders for trading or dealing in Securities through the Stock broker web site or through internet.

“Outstanding Position” in a security means the quantity and total value of that security purchased (or sold) less the quantity and total value of that security sold (or purchased) by the client and not settled.

“Password” means the alphanumeric code used by the client to access the services that he is entitled to receive. The nature and type of the password may or may not vary upon the Modes through which a service is being accessed by the client.

“Stock Broker Services” or “Services” means those services that Stock Broker (either itself or through its Business Associates) may for the time being be rendering to its clients whether as a Stock Broker of an Exchange or not), and which Stock Broker may agree to render to the client.

“Stock Broker Web Site” means the Stock Broker web site or such other web site as may be hosted by Stock Broker for access through the Internet, through which Stock Broker offers the services.

“SEBI” means Securities and Exchange Board Of India.

“Securities” shall include:

- (i) Shares, scrips, stocks, bonds, debentures, debenture stock or other marketable securities of a like nature in or of any incorporated company or other body corporate;
- (ii) Derivatives
- (iii) Units of any other instrument issued by any collective investment scheme to the investor in such schemes.
- (iv) Government Securities.
- (v) Such other instruments as may be declared by the Central Government to be securities.
- (vi) Rights or interests in securities.
- (vii) Any other securities and instruments that are tradable on any exchange; and
- (viii) Any other securities or instruments that Stock Broker may hereinafter notify to its clients as being “Securities” for the purposes of this document.

“Short sale” shall include a sale order or trade given or entered into by the client without sufficient available stock balance.

Squaring of a position means executing a trade or order so that the Outstanding Position in a Security is set off in full or part and the terms “Square Off” shall be construed accordingly.

“Stop Order” means a stop transfer or similar order lodged with the relevant issuer, register or fiscal / governmental body and “Stop Order Notice” shall be construed accordingly to include officially published notice of loss, theft, cancellation, opposition or nullification proceedings.

“System” includes,

- (i) The system hosted by Stock Broker and/ or a Business Associate on the Internet through which the internet trading Service is offered.
- (ii) The system implemented / installed by Stock Broker and / or the Business Associates, for accepting orders and providing any part of the service through the Modes.
- (iii) Any other system offered by Stock Broker and/or its Business Associates that provides or enables the use of Modes.

“Trading Hours,” means such period of a Business Day during which the concerned

Exchange offers trading facilities to its Stock Brokers. “Username” means alphanumeric login identification, which may be used by the client for accessing his Client account (s) for availing the services through the Modes.

- 1.2 Headings are used for convenience and ease of reference only and shall not affect the construction or interpretation of any provision.
- 1.3 Addendum, annexure, and schedules, if any, to this document shall form an integral part.
- 1.4 Unless repugnant to the context or meaning thereof;
 - (i) Reference to the singular includes a reference to the plural and vice versa,
 - (ii) Reference to any gender includes to all other genders,
 - (iii) References to recitals, clauses, schedules and annexure shall be deemed to be a reference to the recitals, clauses, schedules and annexure.
 - (iv) References to a person shall include its personal representative, and
 - (v) Reference to any enactment are to be construed as referring also to any amendment or re-enactment thereof and to any rule, bye law, regulation, business requirement, specification, order or other provision made under it.

1.5 TYPES OF SERVICES OFFERED

Stock Broker agrees to provide, subject to the terms of this document, such of the following services as Stock Broker may in its discretion from time to time determine to offer to the client and the client agrees to avail from Stock Broker.

- (i) Trading Facilities including internet trading.
- (ii) Such other services as permitted by SEBI and the exchange from time to time, and which Stock Broker in its discretion may determine to offer its clients. Now, therefore, in consideration of the mutual understanding as set forth in this document, the parties thereto have agreed to the following terms and conditions:

2. TO PROVIDE AND AVAIL OF THE SERVICES

- 2.1 On subject to the terms and conditions of this document Stock Broker, the Exchange Provisions, other applicable laws, the terms of Stock Broker web site, the contract notes / confirmation notes (as applicable) and such other terms and conditions as may become applicable in accordance with law from time to time.
- (i) Stock Broker agrees to provide the services to the client, and
 - (ii) The client agrees to avail of the services.
- 2.2 Stock Broker reserves the sole and exclusive right to determine the modes through which the client may access, receive the Services. Stock Broker reserves the right to, from time to time, discontinue the availability or any Modes to the Client, without any prior notice and without assigning any reasons whatsoever for such discontinuance.
- 2.3 The client hereby authorizes Stock Broker to take all such steps without being obliged to, on the Client's behalf as may be required or advisable in Stock Broker's opinion or discretion for compliance with the Exchange Provisions or any other law or clauses or to complete or settle any trades entered into, through or with Stock Broker and/or its Business Associates or executed by Stock Broker on behalf of the client.
- 2.4 Notwithstanding anything to the contrary in this document, Stock Broker may at any time in its sole discretion, prohibit or restrict the clients access to the Stock Broker Web Site or Services, without any prior notice or without assigning reasons whatsoever. For the avoidance of doubt it is further clarified that Stock Broker may at any time discontinue the availability of, and/or refuse to render, any service (whether previously rendered by Stock Broker to the Client or not) whether generally to all its clients, to a group or groups of clients or to the client alone, without any prior notice if Stock Broker believes that to continue to offer such Services will or may contravene a law or regulation or if based on Stock Broker's reasonable risk perception, the Services ought to be discontinued.
- 2.5 Where Stock Broker has permitted the client to trade, and avail of the services only through the Internet, Stock Broker shall be

entitled (but not obligated) at the entire cost of the client alone, to accept one time instructions from the client through other Modes, such as one time permission from Stock Broker shall not be construed as an authorization by Stock Broker for such client to have access to the Services through such other Modes.

- 2.6 For the avoidance of doubt, Stock Broker hereby reserves the right to offer/make available all or any of the services to the client through a Business Associate(s). Stock Broker shall be entitled to discontinue the services through such Business Associate(s) without any prior notice and shall be further entitled to replace such Business Associate(s) at its sole discretion.

3. DESIGNATED ACCOUNTS

- 3.1 At all times during the subsistence of this document and thereafter until all obligations of the client of Stock Broker have been fulfilled, the client shall maintain one or more Bank Accounts and one or more Depository Accounts for the purpose of facilitating the client's trading and settlement pursuant to this document. Where any bank or depository participant ceases to be a designated Bank or designated Depository Participant, the client shall be obliged and required to open and maintain one or more Bank Accounts and one or more Depository Accounts with a bank and a depository participant is at that time a designated Bank or designated Depository Participant (as the case may be), as a condition to the continuance of the services.
- 3.2 For the avoidance of doubt it is clarified that notwithstanding anything to the contrary contained in this document, Stock Broker shall be entitled to require that the client nominate only one Bank Account and Only one Depository Account as the preferred account for the purpose of facilitating the client's trading and settlement pursuant to this document and as decided by the Stock Broker.

4. RISK DISCLOSURE DOCUMENT

- 4.1 The Stock Broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:-
- (i) He has read and understood the risk involved in trading on a Stock Exchange.

- (ii) He shall be wholly responsible for all his investment decisions and trades.
- (iii) The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chooses to trade.

5. ORDER EXECUTION

- 5.1 The client agrees to abide by the exposure limits, if any, set by the Stock Broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client further agrees to provide information relating to his identity and such other information as may be required while placing orders on the telephone to determine the identity of the client.
- 5.2 The client confirms that the orders entered through Internet trading Service shall be to the client account only and not on account of any third party and further represents, warrants and covenants that he shall not act as unregistered intermediary for any third party.
- 5.3 As a precondition for execution of a purchase order. Stock Broker may in its sole discretion:
- (i) require the client to maintain, at the time of order placement by the client, such amounts as Available Funds Balance in the Client Account with Stock Broker and/or in the designated Bank Account(s) as represents the value of the order as determined by plus any brokerage, service tax, transaction charges, associated costs and such mark up as Stock Broker may determine; and/or
 - (ii) require the client to instruct the designated Bank with whom the client maintains the Bank Account, to block the whole or a portion of the balance in one or more Accounts in order to secure the payment of the purchase price of Securities purchased or to be purchased by the client plus any brokerage, service tax, transaction charges, associated costs and such mark-up as Stock Broker may determine, and or the payment or performance of any other than current

or possible future dues or other obligations of the client; and /or

- (iii) require the amount of margin for the purchase order as prescribed by Stock Broker to be available in the client's margin account, if any, with Stock Broker.
- 5.4 As a precondition for execution of a sale order. Stock Broker may in its sole discretion;
- (i) require the client at the time of order placement to maintain such Securities as Available Stock Balance in the Depository Account(s), as may be determined by Stock Broker; and/or
 - (ii) require the client, at the time of order placement to maintain such funds required for margin in the Client Account or Bank Account(s) as may be required by Stock Broker; and / or
 - (iii) require the client to instruct the designated Bank and/or the designated Depository Participant, with whom the Accounts are for the time being maintained, to block transfer the whole or a portion of the cash and / or Securities balance in one more Accounts in order to secure the delivery of any securities sold or proposed to be sold by the Client, the payment of margin and/or payment or performance of any other than current or possible future dues or other obligations of the client; and/or
 - (iv) require the amount of cash margin for the sale order as prescribed by Stock Broker to be available in the Client's margin account, if any, with Stock Broker.
- 5.5 In case of any security, which is subject of a stop order, the client shall take steps to cause such stop order to be promptly lifted. Any loss and expense on account of a trading/transaction with regard to such security shall be borne by the Client alone and the client hereby agrees to indemnify Stock Broker, its directors, employees, partners, agent's affiliates and Business Associates, in this regard.
- 5.6 On the day of placement of any order and / or any day thereafter, Stock Broker, in its sole discretion, shall be entitled to instruct the designated Bank and/or the designated Depository Participant, with whom the

accounts are maintained to block, debit and/ or transfer the whole or a portion of the balance in or from one or more associated Accounts in order to secure or effect in favor of Stock Broker the payment of the purchase price of Securities purchased or to be purchased by the client, the delivery of any securities sold or proposed to be sold by the client and/ or the payment or performance of margin and any other dues or obligations of the client. In addition, Stock Broker shall be entitled to, at any time, give such instructions to the designated Bank, Business Associate and/ or the designated Depository Participant with whom the accounts are maintained, for the payment or delivery of any amount or Securities which are then or may thereafter become payable or deliverable by the client to Stock Broker or any of its Business associates, and the client agrees that such designated Bank, Business Associate and/ or the designated Depository Participant shall give effect to such instructions, and the client shall not do or omit to do anything which may prevent such designated Bank, Business Associate and/ or the designated Depository Participant from acting on Stock Broker's instructions.

5.7 The Client agrees that to the extent permitted by the law for the time being in force

(i) instructions given by Stock Broker to the designated Bank, Business Associate and/ or designated Depository Participant under clause above to block/debit and / or transfer funds or securities in or to debit or transfer from an Account in connection with a trade/transaction entered into or to be entered into by the client with or through Stock Broker will be given first priority over any instructions or Cheques given or issued by the client or any joint account holder by itself or through any other attorney of the Account.

(ii) funds or securities once blocked on the instructions of the client or Stock Broker and / or Business Associate in connection with a trade / transaction entered into or to be entered into by the client with or through Stock Broker or any Business Associate can be

released only with the express written consent of Stock Broker or any Business Associates to the designated Bank, any other Business Associate and/ or the designated Depository participant, and

(iii) if the client or Stock Broker has given any blocking, holding, debit or other instructions in respect of any funds or Securities in any Account in connection with or through Stock Broker or any of its Business Associate, and the designated Bank and/ or the designated Depository Participant with whom the Accounts are maintained, receives transfer, debit or other instructions in respect of such funds or Securities from the Client, then such designated Bank and/ or the designated Depository Participant shall first give effect to the instructions issued by Stock Broker or its Business Associates.

5.8 All orders authorized by the client for the purchase/ sale of the securities, which may be listed on more than one exchange may be executed on any Exchange by Stock Broker unless otherwise specifically directed by the client at the time of submitting the order.

5.9 The client shall be allowed to trade or deal only during Trading Hours. However, Stock Broker may at its discretion, agree to receive orders even outside Trading Hours. Stock Broker may accumulate such orders received outside Trading Hours and route such orders for possible execution when the concerned Exchange next opens for trading.

5.10 The client agrees to ensure that all orders and instructions which Stock Broker receives from the client are absolutely clear and unambiguous, and the client agrees that if any instructions or orders or any details thereof are not absolutely clear and unambiguous, the Stock Broker, its employees or authorized representative shall be entitled to refuse to execute an incomplete or ambiguous instruction. The client shall be solely liable for any error made in composing or transmitting an instruction to Stock Broker.

5.11 Stock Broker shall have the right to refuse or to accept the whole or a part of any order

or instruction received by Stock Broker from the client, and/or refuse to execute the whole or a part of any accepted order or instruction, in particular and without prejudice to the generality of the foregoing. Stock Broker may refuse to execute or accept the whole or part of any order or instruction; (i) based on Stock Broker risk perception of such order; or instruction; or if Stock Broker believes that to accept or execute such an order or instruction will or may contravene a law or regulation or if the order is out of the limits of the available fund balance or available stock balance of the client.

5.12 Stock Broker may employ/authorize sub brokers and/or agents to act on its own behalf or on behalf of the client, in connection of execution of any order or consummation of any order dealing hereunder, and Stock Broker shall be responsible only for reasonable care in the selection, appointment and/or action of such Sub-broker and/ or agent.

5.13 in the event of amount outstanding from the client, the Stock Broker may, but shall not be bound to, at its discretion and at the risk and cost of the client, at any time square of all or any outstanding positions of the clients on any / all exchanges(s) and segment (s) in such manner as Stock Broker thinks fit and without any prior notice to or approval of the client. The client agrees to pay and bear and pay the losses arising from such square of in particular and without prejudice to the loss generated of the above. If the client has entered into a short sale or long purchase then Stock Broker shall be entitled to, at any time before the client has squared of his short sale or long purchase position Square of and /or carry forward the whole or part of the short sale or long purchase position on any day, at the price determined by Stock Broker or at market price and in any manner as Stock Broker thinks fit, or permit the Exchange to close or auction such position ; and the aforesaid shall be at the client's risk and cost including brokerage, trade transaction charges and penalty on square of / close out.

5.14 Stock Broker shall have the right to retain and/or set off and adjust any amounts payable to the client against any present or future receivables from the client. (Whether accrued or contingent) More particularly

Stock Broker shall have the right to;

- (i) Set off and adjust all funds receivables collateral/ margins of the client lying with Stock Broker and/or with the designated Bank with whom the bank account is maintained and / or any amount payable to the client against the dues and receivables of, and amounts payable by the client, across segments and/or exchanges for the settlement of dues and/or for margin / collateral requirements of the client without any reference/notice to the client.
- (ii) Set off and adjust all securities of the client lying with the Stock Broker or with the designated Depository Participant with whom the designated depository account is maintained across segments and/or exchanges for the settlement of the client's outstanding positions in any segment of exchange, without any reference or notice to the client.
- (iii) Set off/ adjust all funds receivables collateral/ margins of the client lying with the Stock Broker and/or with the designated Bank with whom the bank account is maintained and/or any amounts payable to the client, as well as all securities of the client lying with Stock Broker and/or the designated Depository Participant with whom the depository account is maintained in relation to a particular service, against all present and future dues and receivables of, and amounts payables by the client in relation to any other service or for the settlements of the clients outstanding positions in relation to any other service, without any reference to the client. The client hereby waives any and all objection to, and hereby authorizes Stock Broker to adjust / appropriate its funds receivables and margins collaterals and/or securities as aforesaid.

6. ORDER MODIFICATION / CANCELLATION:

6.1 In the event the Client desires to modify / cancel the order (Cash and / or Derivatives segments respectively) then the same may be informed to the Stock Broker by telephone or orally or in writing by sending a fax or through E-mail, sms, chat for

modifying / canceling the order (Cash and / or Derivatives segments respectively) on the trading system by the Stock Broker. Upon such modification / cancellation of order (Cash and / or Derivatives segments respectively) by the Stock Broker, the Client shall be informed within a reasonable period of time by telephone or orally or in writing or by sending a fax to the Client or through E-mail, sms, chat, if available with the Client. However, if the order (Cash and / or Derivatives segments respectively) results in a trade in the meantime, the requests for modification or cancellation cannot be executed by the Stock Broker.

- 6.2 In the event of the Client requires an executed trade (Cash and / or Derivatives segments respectively) to be cancelled, the Client shall give the request for trade cancellation in writing and the Client further agrees that the right to approve or reject the cancellation of trade rests with the exchanges.
- 6.3 When the Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the Client's request for cancellation is received and the order is successfully cancelled before it is executed.
- 6.4 The Client shall not be entitled to presume an order as having been executed or canceled until a confirmation from the Stock Broker is received by the Client.
- 6.5 The Exchange may annul a trade suo-moto without giving a reason therefore. In the event of such annulment, the Stock Broker shall be entitled to cancel the relative contract(s) with the Client.

7. SHORTAGES:

In case of purchase of securities in Cash Segment by the Client, at times the Stock Broker may be unable to deliver the securities to the said purchaser on the pay out day on account of events out of the control of the Stock Broker such as non receipt of the securities from the exchange(s), non receipt of the said securities from another Client of the Stock Broker who has sold the securities against the said purchase transaction. In cases of such short delivery, the securities shall be delivered to the purchaser as per the policy of the Stock Broker as amended from time to time.

8. OBLIGATIONS IN THE EVENT OF SHORT SALES:

In the event that the Stock Broker makes a short sale of any securities on the instructions of the Client in Cash segment and the latter fails to deliver the securities either, fully or in part, the Stock Broker shall have the express authority, and the Client hereby gives to the Stock Broker such express authority, to buy or otherwise arrange for the securities in question to meet the obligations arising out of such failure of the Client, without any further reference to the Client. The Client shall be responsible for any loss that may be sustained by the Stock Broker as a result of such failure of the Client. Notwithstanding the aforesaid, the Stock Broker shall be entitled in its discretion, to effect a short delivery to the Client for a purchase trade in Cash segment, inter alias, where the counter-party, being the seller(s) in the respective transactions, deliver(s) short to the exchange, and exchange is not able to buy-in the Securities falling short on behalf of the defaulting party and therefore closes out the transaction as per the Rules, Byelaws and Regulations of the exchange.

9. CLOSE OUT:

Without prejudice to the Stock Broker's other rights (including the right to refer a matter to arbitration), the Stock Broker shall be entitled to liquidate/close out all or any of the Client's position in Cash and / or Derivatives segments for non-payment of margins, other amounts due from the Client to the Stock Broker, exchange, a Clearing Corporation, any agent or Sub-broker of the Stock Broker and/or any other individual, partnership, corporation, company, organization, association, trust or other entity acting for or on behalf of the Stock Broker, or any other outstanding debts, etc and adjust the proceeds of such liquidation / closing out, if any against the Client's liabilities/ obligations as set out herein. Any and all losses, financial charges and/ or incidental expenses incurred by the Stock Broker on account of such liquidation/closing out shall (at the discretion of the Stock Broker), be reimbursed by the Client/charged to and borne by the Client/ deductible by the Stock Broker from the monies and/or collateral margin in Cash and / or Derivatives segments of the Client available with the Stock Broker.

10. DISCRETION:

The client authorizes the Stock Broker to use his discretion to buy, sell or close out any part or all of the positions held in the clients account

with the Stock Broker for the protection of the Stock Broker. The client agrees to reimburse any or all such incidental expenses incurred by the Stock Broker.

11. TRANSACTIONS AND SETTLEMENTS:

11.1 All orders for purchase, sale or other dealings in securities and other instructions routed through the Stock Broker's internet and other trading System via the Client's Username shall be deemed to have been given by the Client.

11.2 The orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions. The Stock Broker shall be free to prescribe from time to time deadlines for payment that are reasonably in advance of the deadline for pay-in by the Stock Broker to the stock exchange's clearing system. The Client shall adhere to such payment deadlines and delays shall attract interest in accordance with this document.

11.3 The Stock Broker may from time to time impose and vary limits on the orders which the Client can place through the Stock Broker's internet and other Trading System (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). The Client is aware and agrees that the Stock Broker may need to vary or reduce the limits or impose new limits urgently on the basis of the Stock Broker's risk perception and other factors considered relevant by the Stock Broker, and the Stock Broker may be unable to inform the Client of such variation, reduction or imposition in advance. The Client agrees that the Stock Broker shall not be responsible for such variation, reduction or imposition or the Client's inability to route any order through the Stock Broker's internet and other trading System on account of any such variation, reduction or imposition of limits. The Client understands and agrees that the Stock Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities through the Stock Broker.

11.4 Though orders will generally be routed to the Exchange's computer systems within a

few seconds from the time the order is placed by the Client on the Stock Broker's internet and other trading System, the Stock Broker shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.

11.5 The Client agrees that the Stock Broker may, at its sole discretion, subject any order placed by a Client 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.

11.6 In case of a market order, the Client agrees that he will receive the price at which his order is executed by the exchange's computer system; and such price may be different from the price at which the security is trading when his order is entered into the Stock Broker's internet and other trading System.

11.7 All securities and/or funds in the designated Accounts respectively or in the client account or otherwise with Stock Broker (whether such accounts be single or joint) shall be subject to a lien for the discharge of any or all current or future indebtedness or any other obligation (including contingent indebtedness or obligation) that the client may have towards or through Stock Broker and/or its Business Associate; and the same may be held by Stock Broker as security for the discharge thereof. In enforcing its set of lien and/or other rights, Stock Broker may, in its sole discretion determine which securities are to be sold or appropriated, which account is to be debited or which outstanding positions are to be closed.

11.8 All Cheques, drafts, pay orders etc issued by the client against his/its pay-in/ collateral / margin/ other charges etc shall be strictly containing his/its client code (trading account code) or unique client code. The client agrees and confirm that any Cheques, demand draft, pay order issued without such details shall not be credited in the client's ledger account unless verification, to the satisfaction of Stock Broker is produced by the client, and the client shall not claim the said amount from Stock Broker in the event that such is credited to any other client's account. The client agrees that payment instrument tendered by him shall always be subject to realisation. The tendering of payment instrument to Wealth-

First does not mean payment unless the same is credited to the bank account of Wealth-First as available credit. The client hereby authorizes the Stock Broker to keep the utilized margin deposit / credit balance lying with the Stock Broker in bank deposit and/or in such other mode / instrument as may be permitted by the exchanges / SEBI from time to time. The client hereby further agrees and confirm that any benefit including interest arising out of the above will be solely of Stock Broker and client shall not have any right, share or claim in such benefit including interest earned from the utilized margin deposit / credit balance kept in bank deposit and in such other mode / instrument as may be permitted by the exchanges / SEBI from time to time.

11.9 The client shall not acting alone or in concert with others, directly or indirectly hold and control derivatives future contract in excess of the number of permitted futures contracts as fixed from time to time by the exchange.

11.10 The client shall not exercise a long purchase or short sale, whether acting alone or in concert with others, directly or indirectly, in excess of the number of permitted futures contracts as may be fixed from time to time by the exchange.

12. USER NAME AND PASSWORD

12.1 The Client will be entitled to a username and password, which will enable him to access the Stock Broker's Internet System and other trading system or any other Services.

12.2 The Client is aware that the Stock Broker's Internet System itself generates the initial password and that the Stock Broker is aware of the same. The Client agrees and undertakes to immediately change his initial password upon receipt thereof. The Client is aware that subsequent passwords are not known or available to the Stock Broker.

12.3 The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock Broker's internet and other System using the Client's Username and/ or Password whether or not such person was authorized to do so.

12.4 The Client shall immediately inform the Stock Broker of any unauthorized use of

the Client's Username or Password with full details of such unauthorized use including the date of such unauthorized use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorized use, etc.

12.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the Internet including the risk of misuse and unauthorized use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on the Stock Broker's internet System and unauthorisedly routing orders on behalf of the Client through the System. The Client agrees that he shall be fully liable and responsible for any and all unauthorised use and misuse of his Password and/or Username and also for any and all acts done by any person through the Stock Broker's internet System on the Client's Username in any manner whatsoever.

12.6 The Client shall log off from the internet Service at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall borne solely by the Client.

12.7 Without prejudice to the provisions of above clause, the Client shall immediately notify the Stock Broker in writing with full details if:

- (i) he discovers or suspects unauthorised access through his Username, Password or account,
- (ii) he notices discrepancies that might be attributable to unauthorised access,
- (iii) he forgets his password or
- (iv) he discovers a security flaw in the Stock Broker's internet and other trading System.

12.8 In any of the above events specified in above clause, 12 the Client shall immediately change his Password. However, if the Client is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request the Stock Broker in writing to discontinue his old Password; and thereupon the Stock

Broker shall cause the Stock Broker's internet System to discontinue the use of the Client's old Password and the Stock Broker's internet System shall generate a new Password for the Client which shall be communicated to the Client. At no point 12 in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the Password.

13. ISSUE OF DIGITAL CONTRACT NOTES, BILLS, ACCOUNT STATEMENTS AND PERIODIC REPORTS:

- 13.1 The Client hereby agrees to receive the contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. in electronic form through email id provided by client to the Stock Broker.
- 13.2 The Stock Broker shall send the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. to Client for the trades/ transactions done on the Exchange.
- 13.3 Client hereby agrees to complete the necessary formalities that are required to be completed with regard to the provisions of the Information Technology Act, 2000 and the procedure prescribed for receiving the e-contract notes from the Stock Broker in respect of the trades/ transactions done through the terminal of the Stock Broker.
- 13.4 Client shall provide the email id to enable the Stock Broker to send the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. from time to time to client through the software installed at the Stock Broker's end and client shall initially download Signature Verifer utility or any other software as may be advised by the Stock Broker from time to time on client's computer and the same shall be used for receiving, viewing, storing the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. that shall be sent by the Stock Broker from time to time in respect of the trades/ transactions/transfer of securities that have been executed by the client through the terminal of the Stock Broker.
- 13.5 Client shall be responsible to retrieve and retain the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. in electronic form

through e-mail id. The Stock Broker shall upon the written request by client may provide/forward the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. in respect of the relevant period required by the client to the email id of client.

- 13.6 The Stock Broker shall provide the Signature Verifer utility (Digital Signature Verification) to the client and the client shall use the password/Digital Signature password for viewing, retrieving the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. sent to client from time to time through the Signature Verifer utility provided by the Stock Broker. The client acknowledges that the service may require the client to use a password/ Digital Signature password and the email account and that the client will be responsible for the confidentiality and proper use of the same at all times.
- 13.7 The Client hereby agrees that the e-contract notes, bills, ledger, transaction statements, reports, letters, circulars, notices etc, in Cash and /or Derivatives segments that are sent from time to time to the client's email id duly digitally signed and encrypted as attachment or otherwise shall be deemed to have been delivered to the client in the event of non receipt of bounced mail notification by the Stock Broker through e-mail id. Further, the client hereby agree that if no queries are raised in respect of trades / transactions or transfer of securities that are appearing in the e-contract notes, bills, ledger, transaction statements, reports, letters, circulars, notices etc. issued to the client from time to time by Stock Broker, Stock Broker shall not be responsible for non delivery and it shall presume.

14. COLLATERAL AND MARGIN

- 14.1 The client agrees and undertakes to immediately deposit with Stock Broker, such amount of and such type of collateral and margin, as Stock Broker may in its sole discretion from time to time requires as and by way of an interest free collateral / margin. The manner in which the client shall validly deposit such collateral margins is set out in following clauses.
- 14.2 Stock Broker shall have the sole and absolute discretion to refuse any collateral/

margin offered by the client and shall be entitled in its sole discretion to revise the amount of and/or modify or revise the type of collateral/margin it shall require from the client from time to time. Stock Broker shall also be entitled to prescribe haircut percentages from time to time in relation to any collateral / margin and revise the same at any time without giving any prior notice to the client. Current haircut percentages in relation to collateral / margins shall be provided by Stock Broker shall be otherwise available upon demand at Stock Broker office(s) and/or the offices of its Business Associates, and the client agrees to keep himself updated in respect thereof.

14.3 The client hereby gives to Stock Broker an irrevocable and unconditional right to appropriate any collateral or margin, without any reference to the client in order to discharge any indebtedness or any other obligation (including contingent indebtedness or obligation) that the client may owe to Stock Broker and/or Business Associate.

14.4 Without prejudice to the provisions of aforesaid clauses (including the right to refer a matter to arbitration) in case the client does not provide the required collateral / margin or other amounts, outstanding debts, act, within the time frame specified by Stock Broker, Stock Broker shall have the right to;

- (i) Appropriate and/or transfer and/ or sell all or any securities cash or collateral in the client account and/ or instruct the designated bank/ business associate and / or designated depository participant (as the case may be) with whom the accounts are maintained to sell and/ or transfer all or any funds securities in any account and retain the proceed thereof;
- (ii) Liquidate / close out/square of all or any outstanding positions.
- (iii) Prevent any new orders from being placed and/ or executed by the client; and or
- (iv) Take such other action as Stock Broker thinks fit and proper. Stock Broker may exercise all or any of the above rights in such manner as it thinks appropriate, without demand for additional margin or collateral or advance notice. Any

prior demand call or notice given in this regard shall not be considered as a waiver of Stock Broker right to exercise its rights without any such demand, call or notice. It is clarified for the avoidance of doubt that all losses, financial charges on account of such liquidation/ closing out as is referred to in clause (ii) above shall be charges to and borne by the client.

14.5 Stock Broker shall be entitled to debit all costs / expenses incurred by it in relation to or associated with the margins/collaterals of the client to the client account.

15. CREATION OF CHARGE / LIEN OVER COLLATERAL / MARGIN

15.1 Stock Broker shall from time to time prescribe and/or vary the manner in which any collateral margin can be secured in favor of Stock Broker.

15.2 Without prejudice to the generality of the provisions contained in Clause above, Stock Broker may require the client to furnish all or any of the following;

- (i) Securities: In case of collateral/ margins, in the form of those equity shares as approved by Stock Broker from time to time for deposit by the client as collateral / margin. The said equity shares shall be secured in favor of Stock Broker.
- (ii) In the case of collateral / margin of a type or nature other than as aforesaid, that Stock Broker may from time to time accept as collateral/margin, the manner in which such collateral/ margin shall be validly deposited with Stock Broker shall be such as shall be prescribed by Stock Broker from time to time in relation to such type of collateral/margin.
- (iii) The client authorizes Stock Broker to set of and adjust the outstanding debit balance in its client account against credit available in any other account with any other companies of Stock Broker & vice versa.
- (iv) The client agrees that all monies, securities or other property that may be held by the Stock Broker on the client's account shall be held subject to a general lien for the discharge of the client's obligation to the Stock Broker under this document.

16. APPOINTMENT OF BROKERS AND / OR AGENTS :

The Stock broker may employ/ authorize sub-brokers and/or agents to act on its own behalf or on behalf of the Clients in connection with execution of any other or consummation of any other dealing here under, and the Stock Broker shall be responsible only for reasonable care in the selection, appointment and/or action of such sub-broker and/or agent.

17. TRADING IN SECURITIES OTHER THAN ON THE FLOOR OF THE STOCK EXCHANGE:

The Stock Broker shall at its discretion provide the following services to Clients, as and when the Stock Broker may deem fit thro' notification in this regards on its website on the conditions stated hereinafter:

17.1 The Stock Broker or the concerned Mutual Fund / Issuer or their respective registrars shall entertain online transactions request and / or requests made through telephone in the manner provided under this document.

17.2 The Client undertakes to read all the relevant offer documents and terms and conditions of all schemes of all mutual funds, other securities including Initial Public Offerings, Right Issue Buyback Offers, etc. offered through its website; before entering into any transactions through its website.

17.3 The Client is requested to check up the personal and bank related details provided by him. Neither the Stock Broker nor any of the Mutual Funds / Issuers chosen shall accept any liability which may arise as a consequence of the erroneous information provided by the client.

17.4 In case of Mutual Fund, the units of schemes shall be allotted, redeemed or switched, as the case may be, at the Net Asset Value prevalent on the date of the application, if the application for purchase, redemption or switch is received by the Fund before the cut of time as specified on the web site and consistent with the terms of the Scheme. The Stock Broker shall take all the necessary action to ensure that the NAV allotted is the NAV applicable on the date of transaction. However the Stock Broker shall not be liable for any loss that may arise to the client as a result of correct NAV not being allotted to the client's transactions on the website. Any request

falling due on holiday would be processed on the next business day and respective NAV would be applicable as per the mutual funds offer documents.

17.5 In case of other securities, the order of purchase, sell, offer under Buy Back etc. shall be accepted by the Stock Broker only if the same is received by the cut of date as indicated on the website and consistent with the terms of offer.

17.6 The client can view his / her / its transactions on the web site. The physical copy of the transactions statement or the account statement shall be sent only on the request of the client.

17.7 The Stock Broker does not accept any liability for delay in processing time at the Mutual Fund's / Issuers or Registrars' end.

17.8 It is explicitly stated herein that the Mutual Funds Schemes / Offer Documents / other schemes offered by the Stock Broker, has not been recommended by the Stock Broker.

17.9 Neither the Stock Broker, nor any of the Mutual Funds / nor the Issuer shall be liable for any failure to perform its obligations, to the extent that such performance has been delayed, hindered or prevented by system failure, network errors delay or loss of data due to above and in circumstances of acts of God, floods, epidemics, quarantine, riot or civil commotion or war.

17.10 The Stock Broker shall provide its services on a best efforts basis. However the Stock Broker shall not be liable for any failure or for any loss, damage or other cost arising in any way out of: System failure including failure of ancillary or associated systems, or fluctuations of power, or other acts of God/ force majeure; Accident, Transportation, neglect, misuse, errors, frauds of the client's or agents or any third party, or Any fault in any attachments or associated equipments of the client; Any incidental, special or consequential damages including without limitations of loss of profit.

18. TAPE RECORDING OF CLIENT CONVERSATION:

The Client is aware that the Stock Broker may tape-record the conversations between the Client or the Client's representative and the Stock Broker, either personally or over the telephone, and the Client hereby specifically permits the Stock Broker to do so in Cash and/

or Derivatives segment transactions. Such electronic recordings may be relied upon by the Stock Broker as and when required to resolve disputes in connection with the trading transactions.

19. INDEMNIFICATION:

The Client shall indemnify and keep indemnified the Stock Broker harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges and / or expenses that are occasioned or may be occasioned to the Stock Broker directly or indirectly, owing to bad delivery of shares / securities and / or as a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealings/operations in Cash and / or Derivatives segments on the Exchange(s).

20. ATTACHMENT :

The Stock Broker shall not be liable for refusing to obey orders in Cash and / or Derivatives segments given by or for the Client with respect to its account(s) with the Stock Broker (including without limitation any Client Account) which has or have been subject to attachment in any legal proceeding or under any applicable law for the time being in force, against the Client and the Stock Broker shall not be under any obligation to contest the validity of such attachment or sequestration. Further, the Client shall be liable to indemnify the Stock Broker from and against any loss or expense suffered and/ or incurred by the Stock Broker as a result of such attachment.

21. BROKERAGE, COMMISSIONS, FEES, AND SPECIAL FINANCIAL CHARGES:

21.1 The client agrees to pay Stock Broker brokerage, commission, fees, service tax, other tax, trade/ transaction expenses and statutory levies as they exist from time to time and as they apply to the client for the services and the modes made available. Stock Broker may deduct and appropriate any of the aforesaid amount from any amount payable by Stock Broker to the client or may instruct the designated bank with whom the bank account is maintained and/or business associate (as the case may be) to transfer such amount to Stock Broker from any bank account.

21.2 The client agrees that Stock Broker may from time to time in its sole discretion but

subject to the exchange provisions determine and modify the amount of brokerage, commissions, fees and other amounts payable by the client. A schedule of current brokerage, fees and commissions, applicable service and other taxes and other trade/ transaction expenses shall be available upon demand at Stock Broker's office(s) and / or the office(s) or business associates notified by Stock Broker for this purpose, and the client agrees to keep himself updated in respect thereof;

21.3 Without prejudice to any other provision of this document the client understand and agrees that Stock Broker may charge an additional financial charges according to the usual custom of the market. On the dealing made under or pursuant to this document

For any extra service(s) rendered by the Stock Broker or On the balance outstanding payable to the Stock Broker. The client agrees that without prejudice to any other remedy or right prescribed in these presents, the Stock Broker may charge interest at 2% per month or such other rate as may be communicated from time to time for any delay in the payment of balance, charges, margin or any others sum due to the Stock Broker as the case may be. For such extra / reasonable costs, including legal fees, incurred by the Stock Broker for collecting the dues payable by the client to the Stock Broker, an exchange, a clearing corporation / clearing house, any agent or sub broker of the Stock Broker and/or any other individual, partnerships, corporation, company, organization, associates, trust or other entity acting for or on behalf of the Stock Broker.

22. (i) DEFAULT:

The client agrees that he shall be deemed to have defaulted these terms in circumstances including, but not restricted to the following: Any delay in payment of dues, margins, charges or delivery of securities in respect of the document for transactions executed on behalf of the client.

Any contravention of the terms contained in the document or on the website. Any misrepresentation or false statement or

omission or misleading information supplied by the client to the Stock Broker.

(ii) **CONSEQUENCES UPON DEFAULT:**

In the event of default under these terms and conditions by the client, the Stock Broker shall be entitled to any or all of the following courses of action:

Termination of provision of services. Other remedies as may be available in terms of the law in force at that point of time.

23. CONFIRMATION:

23.1 It is hereby specifically agreed that the client will call the Broker and take confirmation from the Broker or access the same on his / its email ID. Any discrepancies in the trades for the day must be pointed out at the time of confirmation or latest before the opening of the market the next day failing which the Stock Broker will not be liable for the resultant financial loss, if any. The client confirms the acceptance of contract note through email ID and in the event of non receipt of the same for any reasons within 24 hours accepts to download from the website www.wealthfirstonline.com when such facility is provided by the Stock Broker. In case the client does not point out discrepancy, if any, within 24 hours of receiving the contract note, the same shall be treated as correct. It shall be the responsibility of the client to send the original contract note in case of discrepancy to the Stock Broker within 24 hours of receipt.

23.2 Online confirmation will be available to the Client upon execution or cancellation of an order placed by him through the Stock Broker's internet System. This shall be followed by a confirmation, which may be sent by postal mail, electronic mail or other electronic means. It is the responsibility of the Client to review upon first receipt, whether delivered to him online, by postal mail, by electronic mail, or other electronic means, all confirmations of transactions or cancellations.

24. INFORMATION:

The Client agrees to furnish such details including details as regards financial position, assets, liabilities etc. as and when required to do so by Stock Broker.

25. INSIDER TRADING, MANIPULATIVE, FRAUDULENT AND UNFAIR TRADE PRACTICES:

The client hereby agrees that he has fully understood and is aware of Securities and Exchange Board of India (Prohibition of Fraudulent and Unfair Trade Practices Relating to Securities market) Regulations, 2003, and the SEBI (Prohibition of Insider Trading) Regulations, 1992. The client represents, warrants and agrees that he shall not indulge into any act or carry out any transaction or transactions, directly or indirectly which are in violation of acts, rules, regulations, bye-laws and circulars governing securities transactions. The client further agrees to provide such information as may be sought by the Stock Broker in connection with any enquiry or investigation from any authority and shall provide all necessary assistance as sought by the Stock Broker.

26. INVESTMENT ADVICE:

26.1 The Client acknowledges that the Stock Broker shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.

26.2 The Client also acknowledges that the Stock Broker's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Stock Broker or any of its employees.

26.3 The Client agrees that in the event of the Stock Broker or any employee or official of the Stock Broker providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Stock Broker shall not be liable or responsible for the same.

26.4 The Client assumes full responsibility with respect to his investment decisions and transactions.

26.5 The Stock Broker, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

27. REPRESENTATIONS AND WARRANTIES OF CLIENT:

The Client represents and warrants to the Stock broker that:

27.1 All the information provided and statements made in the Client's internet or other Account Application are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and the Client is aware that the Stock Broker has agreed to provide the Stock Broker's internet Service to the Client on the basis, inter alia, of the statements made in the Client's internet Account Application.

27.2 The Client is aware and acknowledges that trading over the Internet and other trading terminals involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and the Stock Broker's internet Service and other trading terminals may at any time be unavailable without further notice. The Stock Broker and the Exchange do not make any representation or warranty that the Stock Broker's internet Service and other terminals will be available to the Client at all times without any interruption. The Client agrees that he shall not have any claim against the Exchange or the Stock Broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock Broker's internet System or other Services or the Exchange's service or systems for any reason whatsoever.

27.3 The Client has required legal capacity to, and is authorized to, enter into this Agreement and is capable of performing his obligations and undertakings hereunder.

27.4 All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into pursuant to this document with all applicable laws, shall be completed by the Client prior to such transaction being entered into.

27.5 The Client shall abide by the Exchange Provisions and the terms of the Stock Broker's internet Website in force from time to time.

27.6 Any instructions given by an authorized representative of the Client to the Stock Broker (or to the Stock Broker's representative) shall be binding on the Client.

27.7 The Client agrees that he will not act or represent himself / itself as Sub-Broker of

the Stock Broker without prior written permission of the Stock Broker and without obtaining certificate of registration from Securities & Exchange Board of India (SEBI).

27.8 During the currency of the document, it shall be the duty of the Client to inform the Stock Broker/ sub-broker immediately of any change in constitution, change of name, residential status or any other information as provided by the Client at the time of entering into this document.

27.9 The client agrees and understands that the use of the service by clients, resident or situated outside India, may be subject to the Indian Foreign Exchange Management Act 1999, and the Rules and regulation framed there under and/or other international, federal, state and/or local laws and regulations applicable to such clients, it shall be the sole responsibility of such clients and to ensure and comply at all times with such regulations and the clients indemnifies Stock Broker, its directors, employees, business associates, agents, and affiliates from and against and all losses, claims, liabilities and/or expenses which may arise as a result of any failure by the client to comply with the provision of this document.

28. REPRESENTATIONS AND WARRANTIES OF THE STOCK BROKER:

The Stock Broker represents and warrants to the Client that the Stock Broker's internet and other trading System have been approved by the Exchange. Where the internet system has not been approved by the Exchange, the Stock Broker has applied/ proposes to apply to the Exchange to approve the said internet System and the Stock Broker will commence the Stock Broker's internet Service only after the Exchange has approved the Stock Broker's internet System.

29. SHARING OF INFORMATION:

29.1 The Client agrees to immediately furnish information to the Stock Broker/sub-broker in writing in the event that:

Any winding up petition or insolvency petition, or order has been fled or passed against the Client; Any garnishee order has been served upon Client or in respect of Client's obligation; Any litigation has been fled against the Client; Any order, decree or award is passed against the Client; and

/ or Any other event or circumstances occurs that has or is likely to have an adverse effect on the financial position of the Client.

29.2 Upon receipt of information from the Client as aforesaid, the Stock Broker shall be entitled to take such action (in its absolute discretion) as it may consider necessary in order to protect its own interests, including without limitation, liquidating / closing out all outstanding positions of the Client. Any and all losses, financial charges and / or incidental expenses incurred by the Stock Broker on account of such liquidation / closing out shall (at the discretion of the Stock Broker), be reimbursed by the Client / charged to and borne by the Client / deductible by the Stock Broker from the monies and / or Clients collateral / margin available with the Stock Broker.

30. LIMITATION OF LIABILITY:

30.1 The client agrees that under no circumstances including negligence shall Stock Broker or anyone involved in creating, producing, delivering and managing Stock Broker services or system be liable for any direct, indirect incidental, special, general, remote or consequential damages arising out of the use or inability to use or the availability or no availability of the services including but not limited to loss or damage in relation, to (a) loss of profits, trading losses, loss of opportunity or damages that result interruption, delay or loss of the use of the service (b) any claim, loss or damage attributable to errors, omissions or other inaccuracies in the content or Stock Broker website or Internet trading service (c) any unauthorized use, access or alternation or discontinuance of any services, or (d) any other matter relating to the services.

30.2 The client understands and agrees that the services are being provided by Stock Broker with the assistance and technology of some of its affiliates/ associates. Stock Broker disclaims the liability and responsibility and the client agrees and accepts that Stock Broker shall not be liable for any and all loss or damage incurred or suffered by the client or any one else as a result of any action, advice, failure or default attributable to such affiliates/ associates.

31. INDEMNITY:

31.1 The client agrees to indemnify and hold Stock Broker, its Directors, employees, partner, Business Associates, agents and affiliates harmless from and against any and all claims, losses, liability costs expenses (including but not limited to lawyer's fees and penalties or costs imposed by any Exchange and proceedings) arising from out of, or in connection or in relation to the breach of any obligation by the client under or any representations warranty and/or covenant made by the client in this document, Any third party's right arising out of the services rendered by Stock Broker pursuant to this document and Any other wrongful act on the part of the client. 31.2 Neither party shall be responsible / liable, in any manner, for any violation and/or breaches committed by the other party in complying with its obligations under applicable law, government notifications any rules regulations and guidelines issued by SEBI, the rules by laws and regulations of the relevant exchange as well as the rules and regulations of the clearing house/clearing corporation.

32. MARKET DATA:

32.1 The Client understands that the Exchange asserts a proprietary interest in all of the market data it furnishes, directly or through the Stock Broker or otherwise. The Client understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market data or any other market information, or any messages disseminated by it. Neither the Stock Broker nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information and, if the Client acts on the basis of the same, he shall do so at his own risk and cost.

32.2 The Client shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the Client uses such information he shall do so at his own risk and cost. The client is authorized to use at the client's risk materials which are made

available by Stock Broker services for the clients own needs only and the client is not authorized to resell or permit access to such materials or to take copies of any such materials or sale or supply to or use by others. The client will not delete Registered Trademarks, copyright or any other intellectual property rights, if any, noticed from any such materials.

33. DISCLOSURES BY STOCK BROKER TO CLIENT:

The Stock Broker discloses to the Client that the Stock Broker may carry on trading in own account in Cash and / or Derivatives segments, as the case may be (i.e. proprietary trading) in addition to acting as agent to the Client for the transactions done on Cash and / or Derivatives segments in exchanges.

34. 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 markets in India through the Portfolio Investment Scheme (PIS). Under this scheme, FIIs/ NRIs can acquire the shares/ debentures of Indian companies through the Stock exchanges in India. These investments are governed and monitored on daily basis by Reserve Bank of India (RBI). On reaching the aggregate ceiling limit as fixed by RBI from time to time, RBI advises all designated bank branches to stop purchases on behalf of their FIIs/ NRIs/PIOs clients. RBI also informs the general public about the 'caution' and 'stop purchase' in these companies through press release. The client being FII/NRI/PIO hereby acknowledges that he is aware of the RBI Guidelines in relation to his investment in the secondary market in India. The client hereby agrees to keep himself abreast of the ceiling limits on the 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 Stock Broker to do so under intimation to the client.

35. AMENDMENT:

Stock Broker may at any time amend this document (and related documents entered into by the client with Stock Broker by modifying or rescinding any of its existing provisions or

conditions or by adding any new provisions or conditions, by conspicuously posting notice of such amendment on Stock Broker website or by providing written notice thereof to the client. Continued use of Stock Broker service after such notice will constitute acknowledgement and acceptance of such amendment.

36. ASSIGNMENT :

The client shall not assign any right and obligations hereunder without obtaining prior written consent from Stock Broker.

37. TERMINATION OF DOCUMENT :

This document shall be forthwith terminated in the death, insolvency, liquidation, winding up, dissolution as the case may be of the client and upon such termination the client and his legal heirs, executors and assigns and /or his accounts shall remain liable for all outstanding dues payable by the client to Stock Broker on account of any trading or dealing done by the client, prior to termination.

38. SEVERABILITY :

In the event of any clauses of this document being held to be or becoming invalid, unenforceable or illegal for any reason such invalidity, unenforceability or illegality shall attach only to such provision or condition and this document shall remain otherwise in full force apart from the said provision which will be deemed deleted. The validity of the remaining clauses and conditions shall not be affected thereby and this document shall be carried out as if any such invalid or unenforceable provision or condition was not contained herein. Stock Broker shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.

39. NOTICES:

39.1 Any notice or other communication to be given by any party to the other in connection with this Document shall be in writing and shall be deemed duly served if delivered personally or sent by facsimile transmission or by prepaid registered post or by e-mail to the addressee at the address or (as the case may be), the e-mail or facsimile number (if any), of that party set opposite its name below:

To the Stock Broker at the registered office and corporate office address To the Client at the address appended on Client

Registration Form or at such other address, facsimile number or e-mail address as the party to be served may have notified the other in accordance with the provisions of this Clause.

- 39.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between the Stock Broker and the Client may be communicated orally.

40. EXTRA ORDINARY EVENTS/FORCE MAEJURE:

The Stock Broker and / or its agents will not be liable for losses caused directly or indirectly by government restriction, exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunctions, strikes or any other conditions beyond the Stock Broker's control.

41. WAIVER:

No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of this Document shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provision of this Document or be considered to be a waiver of any right, unless specifically agreed in writing.

42. LAW AND JURISDICTION:

- 42.1 This Document shall be governed by and construed in all respects in accordance with the laws of the Republic of India and, subject to the clauses of this document, the courts at Ahmedabad, India shall have jurisdiction over this Document and the arbitration proceedings in relation to the Document.
- 42.2 This Document and all contracts and transactions between the Stock Broker and the Client pursuant hereto shall be subject to the Exchange Provisions, the Rules, Bye-Laws, Regulations, and other provisions of its clearing house, if any, the provisions of the Securities and Exchange Board of India Act, 1992, the Securities Contracts (Regulation) Act of 1956 and the rules and regulations made there under and as amended from time to time.

43. DISPUTE RESOLUTION:

Any claim, dispute or difference arising between the Parties hereto in respect of this Document or any contracts, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Document or the interpretation or construction of this Document shall be subject to the grievance redressal procedure of the Exchange and shall be subject to the arbitration procedure as prescribed by the Exchange Provisions.



BROAD POLICY

POLICY & PROCEDURE

- 1) Wealth First believes to observe all rules & regulations of respected Exchanges & Regulators.
- 2) The Pay in and Pay Outs are made as per Exchanges Cycles & any delay will attract delay payment charges & squaring of positions will be done fully or partial without any prejudice and net proceeds to be credited / debited to client account.
- 3) Mutual Fund Buying also requires payment very next day morning. So it is preferred to make payment on same day or RTGS next day of purchase.
- 4) We do not except any type of “cash” in business.
- 5) If DP is not Wealth First with Auto Pay, it is desirable & in your own interest to make sure the delivery to market on very same or next day of the trade by you.
- 6) Trade confirmation by ‘SMS’ & balance details will be done on designated mobile no., on daily basis.
- 7) Only Electronic Contract notes will be delivered by Email only on daily basis
- 8) Any discrepancy should be brought to notice within 24 hrs of receipt or contract on Email.

	
Signature of Applicant	

Date : - -



LETTER OF AUTHORITY

Date: _____

Wealth-First Portfolio Managers Pvt. Ltd.

“Capitol House” 10, Paras II,
Prahlaad Nagar, Ahmedabad-380015

Dear Sir,

Sub.-: Letter of Authority / Request to Wealth-First Portfolio Managers Pvt. Ltd.

I, the undersigned, have opened the client / constituent account with Wealth-First Portfolio Managers Pvt. Ltd. (herein referred to as “WEALTH-FIRST”) for trading / dealing in securities on the Bombay Stock Exchange Limited (BSE) and / or National Stock Exchange of India Limited (NSE). In respect of my dealing / account with you, I hereby request / instruct and authorize WEALTH-FIRST to do the followings:-

1. To accept verbal instructions for placement / modification / cancellation of orders. Further, I expressly agree that once the trade confirmation is sent by you and/or contract note is accepted by me, there shall be no question in relation to execution or non-execution or inappropriate execution of any of my orders for a particular trading day.
2. To maintain a running account instead of settlement of my dues and/or delivery of securities on a bill-to-bill / settlement-to-settlement basis.
3. To retain the securities received by WEALTH-FIRST on my behalf from Exchange(s) on pay-out or otherwise against my debit balance/ dues/ exposure/ trading limits/ open interest/ various margins or for any other purpose as and when required by WEALTH-FIRST or as per any regulations of BSE and/ or NSE. Such retaining / holding of securities shall be construed as due compliance of the requirement of exchange(s) and SEBI. Further, WEALTH-FIRST has the sole discretion and authority (i) to use / Transfer the above securities to the clearing corporation/ clearing member/ exchange(s) for the purpose of early pay-in / margin or for any other purpose; (ii) to dispose/ sell the above securities to meet any monetary / other dues/obligation(s) not fulfilled by me towards WEALTH-FIRST/ the exchange(s).
4. To hold payout of funds / credit in my account and pay to me only to the extent demanded by me. To use/ adjust the credit balance available from time to time in my account(s) for my exposure/ trading limits/ margin requirements / other dues.
5. However, I prefer to settle the account on following basis:-

Quarterly		Monthly	
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6. To debit/credit/ transfer of amounts, either on same Exchange and / or between various segments of the same exchange and / or between the exchanges across various segment to meet my debit balance or various dues payable to WEALTH-FIRST / Exchanges.
7. To transfer credit / debit balance from mark to mark to market and/or premium account to margin account and vice versa.
8. All the instructions / requests placed by me on WEALTH-FIRST website by using login and Password shall be always binding upon me.
9. I hereby agree to receive through telephone calls / SMS on my mobile number / email ID as registered by me with WEALTH-FIRST, the messages / communications relating to transactions, PIN, passwords, stock ideas, real time news pertaining to market, updates on stock prices and any other messages (including products and services) as sent by WEALTH-FIRST and or its associates from time to time.

Further, I reserve my right to withdraw the above instructions at any time. In such event, I undertake to inform you in writing and such communication shall be addressed to the above address.

Name of Applicant : _____

Client Code : _____

Signature of Applicant	

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 grievance@wealthfirst.biz
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.wealthfirstonline.com
6. That I / We agree/s that I / We am / are responsible for clearing out my debit ledger balance to NIL at least once in a Calendar Quarter / Month.
7. That any Voluntary terms and conditions which is in violation of exchange / SEBI rules and regulations and circular issued from time to time shall become null and void.

Thank you.

Dear Investor!!

Subject: Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden.

It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti-money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities & Exchange Board of India (SEBI), which includes a stockbroker, depository participant, portfolio manager, sub-broker and any other intermediary associated with securities market.

As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.



POWER OF ATTORNEY

Signature of Sole/First Applicant



TO ALL TO WHOM THESE PRESENTS SHALL COME I/We an individual/a Sole Proprietary Concern/a Body Corporate incorporated under the provisions of the Companies Act 1956, (herein after referred to as Client) which expression shall include, heirs, executors, administrators and legal representatives, the survivors of them and their representatives heirs, executors administrators and legal representatives/its successors do hereby solemnly and sincerely affirm on oath, agree and abide as follows.

Signature of Second Applicant



WHEREAS I/We, wish to avail buying, selling and dealing in securities facility offered by Wealth First Portfolio Managers Pvt. Ltd., member of Bombay Stock Exchange Limited (BSE) and National Stock Exchange of India Limited (NSE).

Signature of Third Applicant



WHEREAS in consideration of availing the securities trading facilities and meeting the settlement obligations thereof on the exchange, I/we do hereby nominate, constitute and appoint Wealth-First Portfolio Managers Pvt. Ltd., incorporated under the Companies Act, 1956 and having its Registered office situated at "Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015, acting through any of its Directors and/or officers duly authorised by it for the purpose, as my/our true and lawful Constituted Attorney (hereinafter referred to as "the said Attorney/Broker") and authorize it on my/our behalf to do all or any of the following acts, deeds and things;

1. To transfer any securities from my/our Beneficiary Client Id _____ with the DP ID IN-DP-CDSL-635-2011 to the following demat account client ids

DESCRIPTION OF DEMAT ACCOUNT	DEMAT ACCOUNT NO.	CMBPID
C M PRINCIPAL A/C.CDSL BSE	1207230000000061	
C M POOL A/C.CDSL BSE	1207230000000074	
C M POOL A/C.CDSL NSE	1207230000000055	
C M POOL A/C.NSDL BSE	IN300095 11568662	IN662535
C M POOL A/C.NSDL NSE	IN300095 11586789	IN518491
BENEFICIARY ACCOUNT BSE	1207230000000021	
BENEFICIARY ACCOUNT NSE	1207230000000040	
BENEFICIARY ACCOUNT NSE	IN300095 11586836	
BENEFICIARY ACCOUNT BSE	IN30009511568293	
BENEFICIARY ACCOUNT BSE MF	1207230000000114	
BENEFICIARY ACCOUNT NSE MF	1207230000000101	
EARLY PAY IN A/C. NSE		
EARLY PAY IN A/C. BSE	1100001000022794	
F O MARGIN A/C. NSE	1207230000000093	
F O MARGIN A/C. BSE	1207230000000089	

maintained in accordance with the instructions of the Broker to the extent of my/our obligation for pay-in/early pay-in/margin in cash, F&O and Mutual Fund segments to the broker in relation to my/our trading account maintained with the Broker arising out of trades executed by me/us on the Stock Exchange through the Broker. However, any erroneous transfer made by the broker shall be credited back to my/our account.

2. To create pledge of any securities from my/our Beneficiary Client Id as mentioned above with the DP ID IN-DP-CDSL-635-2011 in favour of the Broker for meeting the margin requirements with respect of orders/transactions carried on by me/us on the Stock Exchanges.
3. Pursuant to my/our instruction, to acquire by subscribing to Initial Public Offer or by purchase or otherwise securities and to sell, transfer and endorse the securities or redeem the same either through Internet using the Code or Identification Number issued by any Mutual Fund from time to Time, and/or to sign and execute all transfer deeds whether as transferor or transferee and such other instruments, application and papers as may be necessary for the purpose of acquiring or transferring / redeeming the same and / or for transferring, the investments in the units of Mutual Funds from one scheme to another or between Mutual Funds.
4. Pursuant to my/our instructions / At Attorney's own Discretion, to make applications for, or to renounce and sign renunciation forms in respect of bonds / debentures, rights shares and additional shares of any Company/Body/ Authority and to receive and hold such rights or additional shares, bonds or debentures.
5. To issue orders and instructions for acquisitions, switch and disposal of units of mutual funds for and on behalf of myself/ ourselves and to subscribe to initial public offerings or follow-on public offerings of securities.
6. To apply for listed/unlisted BONDS and Government Securities and to issue delivery instructions for online/offline disposal of BONDS and Government Securities, through Wealth First Portfolio Managers Pvt. Ltd. only, on behalf of myself/ourselves.
7. To issue instructions relating to dematerializing or rematerializing of securities, freezing of accounts to block and/or debit the account, to give delivery/receipt instruction, ending and borrowing instructions, to operate and access the said account by issue and receipt of

instructions electronically through *easi* by using Remembered, Information and/or to do all such other things and execute such other documents that may be necessary in the closure or business relating to the Depository account opened on my/our behalf including, registering for *easi*, closure of the account, etc as may be deemed necessary or expedient.

8. For the purpose of the aforesaid to sign contacts, agreements, transfers, acceptances, receipts, acquittances or other instruments, documents and forms, to accept and carry out correspondence with such person(s) or authority/authorities or department(s) and to do all lawful acts requisite for effecting the same.
 9. To make, draw, sign, endorse, negotiate, accept and release as the case may be cheques, drafts pay orders, telegraphic transfers / direct transfers on the internet or other securities for payments of money whether debit or credit in my/our account(s) with the Attorney.
 10. To pay and discharge on my/our behalf all payment obligations in the term of monies / fees / charges etc., that may be incurred at my/our instance due to Broker/Depository Participant/ Principal payable by me/us by virtue of my/our using/subscribing to any of the facilities/ services availed by me/us.
 11. I/We hereby authorize the Broker to send consolidated summary of scrip wise buy and sell position report on a daily basis by way of SMS/email on my/our mobile/email id available in the record of the Broker.
AND I/We hereby agree that all such acts done by my/our above mentioned attorney shall be deemed to be acts done by me/us and if necessary shall be ratified by me/us on the instructions of the said attorney.
The authority hereby conferred shall be revocable at any time after proper intimation. The Broker's discretion to exercise or not to exercise any of the rights conferred upon it under this Power of Attorney shall be binding upon me/us.
- The Authority contained herein does not authorize the Broker to:
 - a) Transfer the same to any assignee of the Broker.
 - b) Transfer of listed securities in OFF-MARKET trades.
 - c) Transfer of funds from my/our own Bank accounts for trades executed by me/us through any other stock broker.
 - d) Open a broking/trading facility with any stock broker or for opening a Beneficial owner account with any Depository Participant.
 - e) Open an email id/email account on my/our behalf for receiving statement of transactions, bills, contact notes etc. From the Broker/and DP.




- f) Renounce liability for any loss or claim that may arise due to any blocking of funds that may be erroneously instructed by the Broker to the Bank.

This document shall be subject to the jurisdiction of the Courts in Ahmedabad.

● **Explanation :**

For the purpose of this Power of Attorney, the term "Securities" shall include shares, scrips, stocks, bonds, warrants, options, futures, derivative, convertible debentures, non-convertible debentures, securitised debt instruments fixed return investment, equity linked instruments or other marketable Securities of a like nature in or of any incorporated company or other body corporate, negotiable instruments including unuance Bills of Exchange, deposits or any other money market instruments, commercial paper, certificates of deposit, units issued by Unit Trust of India and units issues by Mutual Funds, Mortgage backed or other asset backed Securities issued by any institution or body corporate, cumulative convertible preference shares issued by any incorporated company and Securities issued by any Incorporated Company and securities issued by the Central Government or State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company/firm/institution or Government.

IN WITNESS WHEREOF, I/We have hereto set and subscribed our respective hands to these presents on this _____ day of _____ 201_____

<p>SIGNED AND DELIVERED by the withinnamed client</p> <p> _____ Signature of First/Sole Holder</p> <p> _____ Signature of Second Joint Holder</p> <p> _____ Signature of Third Joint Holder Mr./Mrs. / M/s. _____</p> <p>in the presence of _____</p> <p>We accept _____ _____ (Name, address and signature of the Attorney)</p> <p>Note : Incase of HUF, sign of all co-parceners required.</p>
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**DECLARATION BY HUF AND CONSENT LETTER**

To,

WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.

"Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015

With regard to Beneficiary account no. (BO ID) _____ And Trading Account _____ maintained in the name & style " _____ " with DP /Trading (**Wealth First Portfolio Managers Pvt. Ltd.**).

We the following family members, being the co-parceners in the HUF account. M/s _____ do hereby give our consent that the said karta, viz _____ would operate above mentioned BO ID /Trading account as far as shares/securities/MF/currency transactions of the HUF account is concerned.

We further declare and authorized you to recognize the beneficiary Account No. _____ with Depository _____ opened in the name of the undersigned who is the Karta of the HUF for the purpose of completing the shares/securities/MF/currency transfer obligations pursuant to the trading operations.

I agree and understand that this is to facilitate the operation of the above trading account. The transfer made by you to the beneficiary account shall be complete discharge of obligations by you in respect of trades executed in the above trading account.

Details of our HUF and all its co-parceners are stated as mentioned below:

Sr. No.	Name of Family Member	Date of Birth DD/MM/YY	Gender	Relationship with Karta	Signature
01					
02					
03					
04					
05					
06					
07					
08					

I, hereby state that details mentioned above are true and any change in them would be intimated to you in writing.

Title of HUF/ Karta _____

Signature
(Karta Rubber stamp)



DECLARATION BY SOLE PROPRIETOR

Date :

To,

WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.

“Capitol House” 10, Paras II, Prahlad Nagar, Ahmedabad-380015

Dear Sir,

This is with reference to the trading account opened with you in the name of _____ and bearing the code _____. I hereby declare that I am the proprietor of the above mentioned firm and authorize you to recognize the beneficiary account No. _____ with depository _____ opened in my name. For the purpose of completing the share/securities/MF/currency transfer obligations pursuant to the trading operations. I agree and understand this is to facilitate the operation of the above trading account with you, as a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations and that transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Signature (Please sign with stamp of the proprietorship Firm)



DECLARATION BY PARTNERSHIP FIRM

(To be obtained on Firm's Letter Head or Attested with Firm's Seal)

Date :

To,

WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD.

“Capitol House” 10, Paras II, Prahlad Nagar, Ahmedabad-380015

Dear Sir,

This is with reference to the trading account with you in the name of _____ a partnership firm and bearing the code _____. We the undersigned partners of the above mentioned firm hereby declare and authorize you to recognize the beneficiary account No. _____ with depository _____, which belongs to one of our partner for the purpose of completing the share transfer obligations pursuant to the trading participant in the name of partnership firm as per regulations and that transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account firm.

We further confirm that the authorized person can jointly / severally issue instruction to you as our broker for securities trades, fund, etc. and to do all such acts, deals and things as may be necessary for the purpose of operating this account.

Signature (please sign with stamp of the partnership firm)

We, (Please write name of the partners)

1. _____
2. _____
3. _____

Partners of the firm confirm that any securities due to the Firm's trading account with you, if transferred to the above mentioned Demat account, will constitute good delivery of the obligation. We further state that **Wealth First Portfolio Managers Pvt. Ltd.** will not be responsible, if the shares are transferred to the above-mentioned account.

If there is any change in the information given above, same shall be informed to **Wealth First Portfolio Managers Pvt. Ltd.** in writing. If any such information not communicate to **Wealth First Portfolio Managers Pvt. Ltd.** that **Wealth First Portfolio Managers Pvt. Ltd.** will not be liable for losses suffered by the firm or any of the individual partners.

Signature _____

Signature _____

Signature _____

1. Name

2. Name

3. Name

Date :



FORM FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND EMAIL ADDRESS

Date			-			-	2	0	1
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DP ID	1	2	0	7	2	3	0	0	Client ID								
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To,
The Compliance Officer
WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD. (TM Code 6253)
 "Capitol House", 10 Paras II. Nr Prahlad Nagar Garden,
 Ahmedabad-380015.

Dear Sir /Madam,

We/I are/ am aware that BSE, NSE and MCX-SX provides SMS/email alerts to the constituents (clients) of its member for trades executed on its platform. We/I hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- I want to receive transaction alerts in SMS as well as Email from Exchanges YES/ NO
- I want to receive transaction alerts only in SMS from Exchanges YES/ NO
- I want to receive transaction alerts only in Email from Exchanges YES/ NO
- I do not want to receive any transaction alerts from Exchanges, specify reason

The alerts should be sent on:

Mobile number (enter 10 digit Mobile No.):

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Email Id : _____

The above Mobile Number Belongs to me / Mr. _____

The above Email ID Belongs to me / Mr. _____

We/I agree to the terms and condition specified by the Exchanges. We/I are/am aware that the receipt of SMS/ Email alerts on the above mobile number and/or email address can be stopped only on our/my written request.

Sr. No.	Name	UCC	Relation	Sign.
1.				
2.				
3.				
4.				
5.				
6.				
7.				



FORMAT OF RESOLUTION

(On the Company letterhead)

Extract of Meeting of Board of Directors of the _____ which held on _____,
(Day) _____ (Date) _____ (Time) _____, (Place) where proper quorum was present

Resolved That Clearing member/ Beneficial Demat account of the company be opened with **M/s. Weathfirst Portfolio Managers Pvt. Ltd.** , Depository Participant of Central Depository Service (India) Ltd. In the name and style of _____.

Resolved further that Trading account of the company be opened with **M/s. Weathfirst Portfolio Managers Pvt. Ltd.**, a member of various Recognized stock Exchanges BES/ NSE/ / National Spot Exchange Ltd. for the trading and investment activities of the company in the name and style of _____.

Resolved further that any of Mr. _____, Director or Mr. _____ Director of the company be and is hereby authorized to finalize the terms and conditions for the opening of Trading account and Demat account for the company as well as execute the necessary agreement s, undertaking and documents that may be required for the opening of demat account and trading Registration.

Resolved further that the company do grant Power of Attorney in the favour of **M/s. Wealthfirst Portfolio Managers Pvt. Ltd.** to meet with Margin obligation as well as sale obligations in respect of sale transaction entered by the company on the platforms of the Recognized Stock Exchange(s), National Spot Exchange, etc.

Resolved further that Mr. _____, Director or Mr. _____, Director, be and is hereby authorized to take necessary action to give effect to the said Power of Attorney.

Resolved further that a certified true copy of the said resolution be communicated to **M/s. Wealth First Portfolio Managers Pvt. Ltd.** together with Specimen Signature of the Authorized Signatories for the necessary records.

Place : _____

CERTIFIED TRUE COPY

Date : - -

For _____ LTD.
Signatory

SPECIMEN SIGNATURES

NAME

SIGNATURE

1 Mr. _____

2 Mr. _____

CERTIFIED TRUE COPY

For _____ LTD.

**OPTION FORM FOR ISSUE OF DIS BOOKLET**Date

		-		-	2	0	1
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DP ID

1	2	0	7	2	3	0	0
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 Client ID

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To,

WEALTH FIRST PORTFOLIO MANAGERS PVT. LTD."Capitol House", 10 Paras II. Nr Prahlad Nagar Garden,
Ahmedabad-380015.

Dear Sir /Madam,

I / We hereby state that : [Select one of the options given below]

 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 favour of / with _____ (name of the attorney / Clearing Member / PMS manager) 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			
Signature			

OR

 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 favour of / with _____ (name of the attorney / Clearing Member / PMS manager) 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			
Signature			

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID

1	2	0	7	2	3	0	0
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 Client ID

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Name of the Sole/First Holder	
Name of the Second Holder	
Name of the Third Holder	

