



CLIENT REGISTRATION FORM



- INDIVIDUAL
- CORPORATE
- HUF
- PROPRIETORSHIP FIRM

Client Name _____

Client Code _____

**FOR OFFICE USE ONLY**

UCC		Account Opening Date	
Client ID		Code	
Name			
Branch			
Sub-group			
Region			
Zone			

CONTACT DETAIL FOR INVESTOR GRIEVANCES

For any grievance/dispute please contact at the corporate office address or mail us at email id- hotline_investorgrievance@yahoo.com or contact us on 011-42503330/31/32. In case not satisfied with the response, please contact the concerned exchange(s)/depository at :

Exchange	Website	Phone No.	E-mail ID
National Stock Exchange of India Ltd.	www.nseindia.com	1800220058	ignse@nse.co.in

- You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

DECLARATION FOR PRO TRADING

We Hotline Capital Services Pvt. Ltd., hereby inform all our clients that besides trading on behalf of our Clients, we also do Proprietary Trading in our own account.

Note :
The information to be given in the form, is the sole property of the Member Broker and would not be disclosed to anyone unless required by law/statutory/regulatory authorities or except with the express permission of the client.




ACKNOWLEDGEMENT

Hotline Capital Services Pvt. Ltd.

I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form, Rights and Obligations, RDD, Policies & Procedures and also the receipt of copy of the document, Rights and Obligations of the Beneficial Owner and Depository Participant, Schedule of Service Charges and All Other Documents as executed by me/us.

Trading Code _____ Client ID: _____

Name & Signature of Client

	Sole/First Holder / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Signature	 (1)		
Name			

* Please stamp & Sign in case of Non-Individual Account ** In case of Joint holding, all joint holders must sign.

Date:

**Form No.****HOTLINE CAPITAL SERVICES PVT. LTD.**
CIN : U74140DL2000PTCI06893**SEBI SINGLE REGISTRATION NO. : INZ000288933**

Exchange/Segment:	Membership No.	DATE
NSE Cash	- INB231157638	2 8 - 0 3 - 2 0 0 1
NSE F&O	- INF231157638	0 3 - 0 9 - 2 0 0 1
NSE CD*	- INE231157638	0 3 - 1 1 - 2 0 0 8

Compliance Officer's Details
 Name : Rajesh Gupta
 Ph. : +91-011-4250 3330-32, Mob.: 9899694246
 E-mail Id : guptarajesh74@gmail.com

CEO's Details
 Name : Sunil Aneja
 Ph. : +91-011-4250 3330-32
 E-mail Id : aneja27@gmail.com

 Regd Office: 302, 3rd Floor, 5, Pusa Road, Karol Bagh, New Delhi-110005 Ph: 011-4250 3330/31/32
 • E-mail: helpdesk@hotlinecapital.co.in • Website: www.hotlinecapital.co.in
Clearing Member Details of Equity Derivatives NSE
 PCM SEBI Regn. No. : **INZ000257435**
 PCM Clrg. No - **CS1072**
 PCM Member Code - **UTIBK**
 CLEARING CODE - **II339**

 PCM Pool A/c. -
 PCM Telephone No - **022-4086 7518-25**
 PCM Email Id - **pcmfno@axisbank.com**
 PCM Website Address - **www.axisbank.com**
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I/We have fully understood the distinction and details regarding the Mandatory/Non-Mandatory documents and do hereby enter and sign the same and agree not to call into question the validity, enforceability and applicability of any agreement(s)/document(s) or clauses within any Non-Mandatory agreement(s)/document(s) under any circumstances what so ever.

Signature of Client

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



Important Instructions:

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

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)
 Account Type* Normal Simplified (for low risk customers) Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector)	
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife <input type="checkbox"/> Student)
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

PHOTO

Signature / Thumb Impression

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)
 ISO 3166 Country Code of Jurisdiction of Residence*
 Tax Identification Number or equivalent (If issued by jurisdiction)*
 Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

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

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)	<input type="checkbox"/> Others <input type="text"/> please specify	
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card			
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

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

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

5. CONTACT DETAILS (All communications will be sent on provided)

Tel. (Res) Mobile

FAX Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional) el. (Off)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

A- Passport Number Passport Expiry Date

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

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


S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (if any) Mobile no. / Email-ID) (Please refer instruction F at the end)

8. APPLICANT DECLARATION

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

Date : Place :

 (3)

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

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

[Employee Signature]

Annexure A1

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address

Important Instructions:

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



For office use only	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number <input type="text"/> (Mandatory for KYC update request)

1. CORRESPONDENCE / LOCAL ADDRESS DETAILS (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details

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

2. CONTACT DETAILS (All communications will be sent on provided Mobile no./ Email-ID) (Please refer instruction F at the end)

Tel. (Off)	<input type="text"/>	Tel. (Res)	<input type="text"/>	Mobile	<input type="text"/>
FAX	<input type="text"/>	Email ID	<input type="text"/>		

3. APPLICANT DECLARATION

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

Date : - -

Place :

(4)

Signature / Thumb Impression of Applicant

Annexure B1

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

Important Instructions:

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



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

1. DETAILS OF RELATED PERSON (Please refer instruction G at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 1 are optional)

PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please see instruction (H) at the end)

A- Passport Number Passport Expiry Date

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code Identification Number

2. APPLICANT DECLARATION

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

Date : Place :

(5)

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)

NEW CHANGE REQUEST (Please tick ✓ the appropriate)



HOTLINE CAPITAL SERVICES PVT. LTD.

CIN : U74140DL2000PTC106893

Registered Office : 302, 3rd Floor, 5, Pusa Road, Karol Bagh, New Delhi - 110005

Tel.: 011-4250 3330/31/32, Fax: 011-2875 5260 E-mail: helpdesk@hotlinecapital.co.in | Website : www.hotlinecapital.co.in

Acknowledgement No.

Photograph
Please affix your recent
passport size photograph

Signature Across photograph

* Separate KYC Application forms must be filled by each applicant i.e. (2nd Holder, 3rd Holder & Guardian)

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

<input type="checkbox"/>	1.	Name of the Applicant																					
<input type="checkbox"/>	2.	Father's / Husband Name																					
<input type="checkbox"/>	3.	Mother's Name																					
<input type="checkbox"/>	4.	a) Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	b) Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others	c) Date of Birth	D	D	M	M	Y	Y	Y	Y											
<input type="checkbox"/>	5.	a) Nationality/Citizenship <input type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify _____)																					
		b) Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin																					
<input type="checkbox"/>	6.	a) PAN											b) Aadhaar Number										
<input type="checkbox"/>	7.	Specify the proof of identity submitted <input type="checkbox"/> PAN Card <input type="checkbox"/> Any other (Please specify _____)																					

B. ADDRESS DETAILS

<input type="checkbox"/>	1.	<input type="checkbox"/> Residence / <input type="checkbox"/> Correspondence Address	City/Town/Village	PIN Code							State	Country
<input type="checkbox"/>	2.	Specify the proof of address submitted for Residence / Correspondence address										
<input type="checkbox"/>	3.	Contact Details	Tel. (Off.)	Tel. (Res.)	Fax No	Mobile No.	E-mail ID					
<input type="checkbox"/>	4.	Permanent Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)	City/Town/Village	PIN Code							State	Country
<input type="checkbox"/>	5.	Specify the proof of address submitted for Permanent address										

C. 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 the Applicant

(6)

Date

D D M M Y Y Y Y

FOR OFFICE USE ONLY

Originals verified & Self-Attested documents copies received

Name of the person doing IPV* & Interview										Designation	
Date of IPV*	D	D	M	M	Y	Y	Y	Y	Y	SEBI Regn. No. #	Signature of the person doing IPV*
Name of the Organization											

Signature of the Authorised Signatory of Hotline Capital Services Pvt. Ltd.. with Seal & Stamp

Date

D D M M Y Y Y Y

* IPV - stands for In Person Verification # Member Broker / Sub-Broker/ Authorised Person

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/Unique Identification Number (UID) (Aadhaar Letter).
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 apostilled 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.

PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)

NEW CHANGE REQUEST (Please tick ✓ the appropriate)



HOTLINE CAPITAL SERVICES PVT. LTD.

CIN : U74140DL2000PTC106893

Registered Office : 302, 3rd Floor, 5, Pusa Road, Karol Bagh, New Delhi - 110005

• Tel.: 011-4250 3330/31/32, Fax: 011-2875 5260 E-mail: helpdesk@hotlinecapital.co.in | Website : www.hotlinecapital.co.in

Acknowledgement No.

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS													
<input type="checkbox"/>	1.	Name of the Applicant											
<input type="checkbox"/>	2.	Date of Incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation		
<input type="checkbox"/>	3.	Date of commencement of business	D	D	M	M	Y	Y	Y	Y			
<input type="checkbox"/>	4.	a) PAN									b) Registration No. (e.g. CIN)		
<input type="checkbox"/>	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													
<input type="checkbox"/>	1.	Address for Correspondence											
				City/Town/Village				PIN Code					
		State						Country					
<input type="checkbox"/>	2.	Contact Details		Tel. (Off.)				Tel. (Res.)					
				Fax No.				E-mail ID					
<input type="checkbox"/>	3.	Specify the proof of address submitted for correspondence address											
<input type="checkbox"/>	4.	Registered Address (if different from above)											
				City/Town/Village				PIN Code					
		State						Country					
<input type="checkbox"/>	5.	Specify the proof of address submitted for Registered address											
C. OTHER DETAILS													
<input type="checkbox"/>	1.	Name, PAN, Residential Address and Photographs of Promoters/ Partners/Karta/Trustees and whole time directors:				As per Seperate Sheet Enclosed							
<input type="checkbox"/>	2.	a. DIN of whole time directors											
		b. Aadhaar Number of Promoters/Partners/Karta											
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 the Applicant		(6)	
										Date		D D M M Y Y Y Y	
FOR OFFICE USE ONLY													
<input type="checkbox"/> Originals verified & Self-Attested documents copies received													
Name of the person doing IPV* & Interview								Designation					
Date of IPV* D D M M Y Y Y Y				SEBI Regn. No. #				Signature of the person doing IPV*					
Name of the Organization													
Signature of the Authorised Signatory of Hotline Capital Services Pvt. Ltd.. with Seal & Stamp								Date D D M M Y Y Y Y					

* IPV - stands for In Person Verification # Member Broker / Sub-Broker/ Authorised Person

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading Account)

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/Unique Identification Number (UID) (Aadhaar Letter).
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 :

Type 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. • Photograph, POI, POA, PAN of Partners. <ul style="list-style-type: none"> • Authorised signatories list with specimen signatures.
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. • Photograph, POI, POA, PAN of Trustees. <ul style="list-style-type: none"> • List of trustees certified by managing trustees/CA.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Bank pass-book/bank statement in the name of HUF. <ul style="list-style-type: none"> • Deed of declaration of HUF/List of coparceners. • 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.

Note : (1)* For corporate: 25% or more ownership & for other entities 15% and above implies "controlling ownership from UBO perspective".

(2)** For Trusts, the trustees and settlors / protectors are also to be given as UBOs

(3) Individual having controlling stake /UBO shall submit KYC-Part-I, separately, alongwith the copy of their aadhaar card/other proof of identity /address.

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant	
--------------------------	--

PAN of the Applicant																			
-----------------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

1.	Name																		<p align="center">Photograph</p> <p>Please affix your recent passport size photograph & Sign Across it.</p>			
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN																				DIN	
	AADHAAR																					
	MOBILE NO.																					
	E-MAIL ID																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
		State											Country									
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																				

2.	Name																		<p align="center">Photograph</p> <p>Please affix your recent passport size photograph & Sign Across it.</p>			
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN																				DIN	
	AADHAAR																					
	MOBILE NO.																					
	E-MAIL ID																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
		State											Country									
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																				

3.	Name																		<p align="center">Photograph</p> <p>Please affix your recent passport size photograph & Sign Across it.</p>			
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN																				DIN	
	AADHAAR																					
	MOBILE NO.																					
	E-MAIL ID																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
		State											Country									
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																				

Name & Signature of the Authorised Signatory(ies)	
	 (7)

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

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant	
--------------------------	--

PAN of the Applicant																				
-----------------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

4.	Name																			<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN																					DIN
	AADHAAR																					
	MOBILE NO.																					
	E-MAIL ID																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
State												Country										
Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																					

5.	Name																			<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN																					DIN
	AADHAAR																					
	MOBILE NO.																					
	E-MAIL ID																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
State												Country										
Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																					

6.	Name																			<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN																					DIN
	AADHAAR																					
	MOBILE NO.																					
	E-MAIL ID																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
State												Country										
Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																					

Name & Signature of the Authorised Signatory(ies) 

Date

D	D	M	M	Y	Y	Y	Y
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PART-II TRADING & DEPOSITORY ACCOUNT RELATED DETAILS

FOR INDIVIDUALS & NON-INDIVIDUALS



HOTLINE CAPITAL SERVICES PVT. LTD.

CIN : U74140DL2000PTCI06893

Registered Office : 302, 3rd Floor, 5, Pusa Road, Karol Bagh, New Delhi - 110005

Tel.: 011-4250 3330/31/32, Fax: 011-2875 5260 E-mail: helpdesk@hotlinecapital.co.in | Website : www.hotlinecapital.co.in

FOR OFFICE USE ONLY

CLIENT ID

Unique Client Code (UCC)

I/We request you to open a Trading account in my/our name as per the below mentioned details and request you to map my/our Client Id so allotted for depository account provide alongwith my/our trading account as my/our primary depository account and other depository account, if any, mentioned below as my/our additional depository account.

DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
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"/> Student <input type="checkbox"/> X-Not Catgorised <input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Professional	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> X-Not Catgorised <input type="checkbox"/> Others (Please specify; _____)
Brief details			
Please Tick (✓) if Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)

For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

Name		PAN							
------	--	-----	--	--	--	--	--	--	--

TYPE OF ACCOUNT

FOR INDIVIDUAL

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Promoter	<input type="checkbox"/> Margin	<input type="checkbox"/> Others _____
--	--	--	---	---	-----------------------------------	---------------------------------	---------------------------------------

TYPE OF ACCOUNT

FOR NON-INDIVIDUAL

<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> Others _____
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STANDING INSTRUCTIONS

I/We authorise you to receive credits automatically into my/our account (If you do not wish to authorise for credit kindly tick at 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Demat Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No
SMS Alert Facility [Mandatory if you are giving PoA. Ensure that the mobile no. is provided in the KYC application form]	
First/Sole Holder <input type="checkbox"/> YES <input type="checkbox"/> NO	Second Holder <input type="checkbox"/> YES <input type="checkbox"/> NO
Third Holder <input type="checkbox"/> YES <input type="checkbox"/> NO	
Address for communication / Corporate Benefits (Default option is Local Address) <input type="checkbox"/> Local / Permanent Address <input type="checkbox"/> Correspondence Address / Foreign Address	

ANNUAL INCOME DETAILS (Please Specify)

Income Range per annum <input type="checkbox"/> Below ₹ 1Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> More than ₹ 25 Lac	FOR INDIVIDUAL
OR Networth Amount (₹) _____ as on DDMMYYYY (Networth should not be older than 1 year)	

Income Range per annum <input type="checkbox"/> Below ₹ 1Lac <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"/> More than ₹ 1 Crore	FOR NON-INDIVIDUAL
Networth Amount (₹) _____ as on DDMMYYYY (Networth should not be older than 1 year)	

Copy of ITR/Networth certificate is required in case income is 10 Lac & above / Networth is 30 Lac & above.

INTRODUCER DETAILS (Optional)

Name of the Introducer													
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 Introducer													
		City/Town/Village								PIN Code			
		State					Country						
Phone No.						Signature of the Introducer							
Client Code/Client ID (if Existing Client)													

NOMINATION FORM

<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]	<input type="checkbox"/> I/We do not wish to nominate or cancel the nomination made by me/ us earlier and consequently all rights and liabilities in respect of beneficiary ownership in the securities held by me / us in the said account shall vest in me/ us. [Strike off the nomination details below]
---	---

NOMINATION DETAILS

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




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

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																																									
8	Date of Birth {in case of minor nominee(s)}	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y																
9	Name of Guardian (Mr./Mrs.) {in case of minor nominee(s)}																																								
10	Address of Nominee(s)																																								
		PIN Code																																							
11	Mobile/Telephone No. of Guardian																																								
12	Email ID of Guardian																																								
13	Relationship of Guardian with Nominee																																								
14	Guardian Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature	Photograph of 1st Guardian								Photograph of 2nd Guardian								Photograph of 3rd Guardian																							
		Signature of Guardian across photograph								Signature of Guardian across photograph								Signature of Guardian across photograph																							
	Signature																																								
	<input type="checkbox"/> PAN																																								
	<input type="checkbox"/> Aadhaar																																								
	<input type="checkbox"/> Saving Bank Account No.																																								
	<input type="checkbox"/> Proof of Identity																																								
	<input type="checkbox"/> Demat Account ID																																								
Signature of Witness for Nomination																																									
Name of the Witness														Address														Signature of Witness													
Date																																									
		D	D	M	M	Y	Y	Y	Y																																

NOTES :

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

SIGNATURES OF ALL HOLDERS

Signature of Sole/ First Holder/ Guardian/Karta/ Auth. Signatory	 (11)
Signature of Second Holder / Auth. Signatory	
Signature of Third Holder / Auth. Signatory	

DECLARATION

- I/We hereby declare that the Rules, Regulations and By-laws of the SEBI, Stock Exchanges & Stock Broker pertaining to an account which are in force now have been read by me / us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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/We am/are aware that I/we may be held liable for it.
- I/We confirm having read explained and understood the contents of the document on policy and procedures of the Stock Broker and the tariff sheet. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) (Trading) and 'Risk Disclosure Document' (Trading). I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/We hereby acknowledge the receipt of Rights and Obligations of Stock Brokers, Sub-Brokers and Clients (Trading) and also Rights and Obligations of the Beneficial Owner and Depository Participant. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

Place : _____

Date _____

FOR OFFICE USE ONLY

UCC Code allotted to the Client	Client ID
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, for the information of the clients.	
Date :	Signature of the Authorised Signatory of Hotline Capital Services Pvt. Ltd.. with Seal & Stamp

INSTRUCTIONS / CHECK LIST

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 I6	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

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

Bank Proof: 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 Proof: Demat or recent holding statement issued by DP bearing name of the client.

- 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.

In-person Verification:

- 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.

NOTES :

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

TARIFF SHEET

NSE

BROKERAGE

Contract Description	Capital Market (Cash) Segment				Equity Derivatives Segment				Currency Derivatives Segment			
	Delivery		Square up		Futures		Options		Futures		Options	
	%	Min (Rs.)	%	Min (Rs.)	%	Min (Rs.)	%	(Rs./Lot)	%	Min (Rs.)	%	(Rs./Lot)
Stocks					N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.
Future Contracts	N.A.	N.A.	N.A.	N.A.			N.A.	N.A.			N.A.	N.A.
Stock/Currency/Sensex Options Contracts	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.			N.A.	N.A.		
Nifty Options Contracts	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.			N.A.	N.A.	N.A.	N.A.
Bank Nifty Options Contracts	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.			N.A.	N.A.	N.A.	N.A.

Brokerage-MFSS

Equity Mutual Fund	Debt Mutual Fund
STT, Stamp Duty, GST and Other Charges etc., as applicable from time to time will be charged extra	

OTHER CHARGES

Charges	Capital Market (Cash) Segment		Equity Derivatives Segment		Currency Derivatives Segment	
	Delivery	Jobbing	Futures	Options	Futures	Options
Other Charges						

Note:

- Other charges represents a consolidated charge towards providing various value-added services such as Trade Confirmation SMS, electronic account access, portfolio tracker, access to research reports, market news SMS and towards defraying Member's Statutory/Regulatory liability for the clients' trades.
- STT, GST & Other taxes shall be charged as per provisions of applicable laws and as amended from time to time.
- Physical documents, including contract notes shall be charged Rs. 25/- per document + GST & postal charges, in case of duplicate copies required by the client.

I hereby agree with the charges and Brokerage Terms & Conditions mentioned above.

Signed for and on behalf of Client

Signature of Client

 (12)

Name of the Client

Date : _____

REQUEST LETTER FOR STATEMENTS

To,

Date : ____ / ____ / ____

Hotline Capital Services Pvt. Ltd..

Regd. Office : 302, 3rd Floor, 5, Pusa Road,

Karol Bagh, New Delhi-110005

Tel.: 011-4250 3330/32/32, Fax: 011-2875 5260

Dear Sirs,

SUB: REQUEST TO PROVIDE THE STATEMENTS THROUGH E-MAIL AND/OR WEBSITE.

Client id.: _____ E-mail id. _____

You are hereby requested to provide me/us transaction statement(s)/bills or any other document(s) required to be sent to me under my specific request or as per the statutory requirement(s) through e-mail and/or website.

I/We am/are aware and understand the following: -

1. I/We am/are aware that I/we will not receive the transaction statements/bills etc. in paper form. If you want to send documents in physical form including bouncing of email. I/we here by permit you to send the same in physical mode and charges, if applicable, shall be debited to my/our account.
2. I/We understand that website(s) would mean www.hotlinecapital.co.in and or any of it's pages/links/applets or any other website that Hotline Capital Services Pvt. Ltd. may inform from time to time.
3. I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the back office /email account.
4. I/We am/are aware that the transaction statement/bills etc. may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.
5. I/We shall immediately inform Hotline Capital Services Pvt. Ltd. about change in email address, if any.
6. I/we agree that till the time the change in email address is not updated in the records of Hotline Capital Services Pvt. Ltd., the statements/bills etc. sent to the original email address shall deem to be a valid delivery and I/we shall keep Hotline Capital Services Pvt. Ltd. and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/us on this account.
7. I/We shall log off from website back office/e-mail service, whenever I/we am/are not accessing or using the service. Any liability incurred to the me/ us as a consequence of the not logging off the service shall be borne solely by me/us.
8. I/we agree that Hotline Capital Services Pvt. Ltd. shall not take cognizance of out-of-office/out-of-station auto replies and I/we am/are deemed to have received above referred documents. Non-receipt of bounced mail notification by Hotline Capital Services Pvt. Ltd. shall amount to delivery of the above referred documents at the email id provided by me/us.
9. I/we agree that I/we shall immediately notify Hotline Capital Services Pvt. Ltd. in writing with full details if I/we discover or suspect, unauthorized access through my/our back office password or Notice discrepancies that might be attributable to unauthorized access, Forget back office password or Discover a security flaw.
10. I/we understand that I/we am/are responsible for installing, operating and maintaining the communication equipment (including but not limited to personal computers and modems), software, tools, telephone or alternative service required at the my/our end and connectivity required for using and accessing the website(s), back office, email account(s), any above referred documents or any other related services at my/our own cost.
11. Hotline Capital Services Pvt. Ltd. will not (and shall not be under any obligation to) assist me/us in operating, installing and / or maintaining any such communication equipment/infrastructure or obtaining any permits, clearances etc for establishing connectivity or linkages to the website(s) of the participant.
12. Hotline Capital Services Pvt. Ltd.'s own records of the transactions/holdings/bills etc. mentioned through computer systems or otherwise shall be accepted as conclusive and binding on me/us for all purposes.
13. I/we understand and agree that the initial password sent by Hotline Capital Services Pvt. Ltd. of back office should only be used for the first login. I/we agree to immediately reset my/our password(s) upon the first login. I/we understand and agree that If I/we do not change the password(s) after the first login, I/we shall keep the Hotline Capital Services Pvt. Ltd. and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/us on this account.
14. I/we understand and agree that the records of the Hotline Capital Services Pvt. Ltd. with respect to delivery of above referred documents shall be conclusive evidence of any such documents delivered.
15. Hotline Capital Services Pvt. Ltd.. and I/we shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.
16. I/We shall approach Hotline Capital Services Pvt. Ltd. within 7 days from the delivery/display of the above data/documents etc. intimating any inability to access or download of the above data, document, data etc. failing which it shall be deemed to be the due delivery and acceptance of the data, document, data etc. sent to me/us via electronic mail/displayed by Hotline Capital Services Pvt. Ltd./on the website of Hotline Capital Services Pvt. Ltd..

Thanking you

Your truly,

 (13)

Signature of First Holder



Signature of Second Holder



Signature of Third Holder

* Please stamp & Sign in case of Non-Individual Account. ** In case of Joint holding, all joint holders must sign.



FATCA & CRS DECLARATION (FOR INDIVIDUAL)

Particulars	Sole/First Holder/Guardian	Second Holder	Third Holder
A. Country of Birth is any country other than India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
B. Citizen of any country other than India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
C. Tax resident of any country/ies other than India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
D. Are you a US Specified Person	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If any of the above answer is "Yes", please fill the below mentioned details also.

Particulars	Sole/First Holder/Guardian		Second Holder		Third Holder	
Place & Country of Birth						
Country of Citizenship/ Nationality						
Sr. No.	Country of Tax Residency* (Other Than India)	Taxpayer Identification No.	Country of Tax Residency* (Other Than India)	Taxpayer Identification No.	Country of Tax Residency* (Other Than India)	Taxpayer Identification No.
1.						
2.						
3.						
Address						

*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Hotline Capital Services Pvt. Ltd.. for any modification to this information promptly.

For Investor convenience, Hotline Capital Services Pvt. Ltd.. (HCSPL) collecting this mandatory information for updating across all Group Companies of HCSPL whether you are already an investor or would become an investor in future.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

(14)

.....
Sole/First Holder Signature

.....
Second Holder Signature

.....
Third Holder Signature

*For Detail Terms & Conditions please visit www.hotlinecapital.co.in-Download Section

FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

I. Is "Entity" a tax resident of any country other than India Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

* In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

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

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

I. We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN <input style="width: 80%;" type="text"/> Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____ <input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input style="width: 20px;" type="text"/> (Refer 1 A of Part C)
GIIN not available (please tick as applicable)	

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

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3. Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input style="width: 20px;" type="text"/> (Mention code – refer 2c of Part C)
4. Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business _____

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category):

<input type="checkbox"/> Unincorporated association / body of individuals	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership Company
<input type="checkbox"/> Others (please specify _____)	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust	<input type="checkbox"/> Private Trust

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

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID [®]			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) [§]			

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

If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

[®] In case Tax Identification Number is not available, kindly provide functional equivalent

[§] Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Hotline Capital Services Pvt. Ltd.. for any modification to this information promptly.

For Investor convenience, Hotline Capital Services Pvt. Ltd.. (HCSPL) collecting this mandatory information for updating across all Group Companies of HCSPL whether you are already an investor or would become an investor in future.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	

 (15)

.....
Sole/First Authorised Signatory

Place _____



.....
Second Authorised Signatory



.....
Third Authorised Signatory

Date ____/____/____

*For Detail Terms & Conditions please visit www.hotlinecapital.co.in-Download Section

RIGHTS AND 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).

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.
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 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

Signature of Client

 (16)

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.

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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 whatsoever 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 derivatives 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:-

I. BASIC RISKS:

I.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.

I.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.

I.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.

I.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.

I.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.

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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:

- I. 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:

- I. 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:

- I. 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.

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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, www.msei.in 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 gives 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 & PROCEDURE

1. Refusal of orders for penny /illiquid stock Penny stocks are defined as the stocks appearing in the list of illiquid securities issued by the exchange(s) every month. The Member Broker may from time to time limit (quantity/value)/refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) limit ,if any, defined by the exchange either clientwise or memberwise, the order being for securities which are not in the permitted list of the Member Broker/exchange(s)/SEBI, provided further that Member Broker may require compulsory settlement/advance payment of expected settlement value/delivery of securities for settlement prior to acceptance/placement of orders as well. The client agrees that the losses, if any, on account of such refusal shall be borne exclusively by the client alone. The Member Broker may require reconfirmation of orders, which are larger than that specified by the Member Broker's risk management, and the Client is also aware that the Member Broker has the discretion to reject the execution of such orders based on its risk perception.
2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing positions of a client

The Member Broker may from time to time impose and vary limits on the orders (including but not limited to exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.), which the Client can place through the Member Broker. The Client is aware and agrees that the Member Broker may need to vary or reduce the limits or impose new limits urgently on the basis of Member Broker's risk perception and or other relevant factors including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.) and the Member Broker may be unable to inform the Client of such variations, reductions or impositions in advance. The Client understands & further agrees that the Member Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the clients ability to place orders or trade in securities through the Member Broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by Member Broker/exchange /SEBI and any other reasons which the Member Broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone and further agrees that Member Broker shall not be liable for or responsible for such variations, reductions or impositions or the Client's inability to route any order through Member Broker on account of any reason but not limited to any such variations, reductions or impositions of limits.

The Member broker shall have the prerogative to allow differential purchase/sell limits and or exposures varying from client to client, depending upon credit worthiness, integrity and past conduct of each client.

The member broker may close the existing position of the client without any

prior notice wherein the outstanding position of the client is increased in the scrip wherein the scrip is in ban period, due to increase in open interest exceeding stipulated marketwide limit of that scrip or for any other reason, in Future & Option/Currency Derivatives Segment. The exchange(s) may cancel the trade suo-moto without giving any reason thereof. The Member Broker shall be entitled to cancel such relative contract with the Client. The Member Broker shall not be liable for any losses, damage or claims on account of such rejection or cancellation of any trade for any reason whatsoever. The Member Broker is required only to communicate /devise the parameters for the calculation of the margin /security requirements as rate(s) /percentage(s) of the dealings, through any one or more means or methods such as post/speed post/courier/ registered post/registered A.D./facsimile /telegram/cable/ email/voice mails/telephone(telephone includes such devices as mobile phone etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the clients computer; by informing the client through employees /agents of the Member Broker; by publishing/displaying it on the website of the Member Broker /making it available as a download from the website of the Member Broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/ newspaper advertisement etc; or any other suitable or applicable mode or manner. The client agrees that the postal department /the courier company /newspaper company and the email /voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department/the courier company /the email /voice mail service provider, etc. by the Member Broker and the client agrees never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever and once parameters for margin/security requirements are so communicated, the client shall monitor his/her its position(dealings/trades and valuation of security) on his/her /its own and provide the required /deficit margin/security forthwith as required from time to time whether or not any margin call or such other separate communication to the effect is sent by the Member Broker to client and /or whether or not such communication to that effect is sent by the Member Broker to the client and/or whether or not such communication is received by the client.

The Client is not entitled to trade without adequate margin, however, the Client is responsible for all orders, including any orders that may be executed without the required Margin in the Client's account. The Client shall also be responsible for any claims/loss/damage arising out of the non availability/shortage of margin/security required by the Member Broker and or exchange(s) and or SEBI or any other regulatory authority. Further, it shall be his/her/its responsibility to ascertain before hand the margin/security requirements of his/her/its orders/trades/deals and to ensure that the required margin is made available to the Member Broker in such form and manner as may be required by the Member Broker. If the Client's order is executed despite a shortfall in the available Margin, the

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Client shall, whether or not the Member Broker intimates such shortfall in margin to the Client, instantaneously make up the shortfall either through delivery of securities in the event of a sale or credit the required funds in the bank account via EFT (Electronic Fund transfer) including Electronic Payment Gateway or personal cheque or Banker's cheque or draft. The client agrees to have disclaimed and waived off any right to disown the transactions /orders executed by the Member Broker under the plea that same were executed without adequate margin.

The Member Broker may at its sole discretion prescribe the payment of margin in the form of funds and/or securities and or any other asset acceptable to Member Broker. The Client accepts to comply with the Member Broker's requirement of payment of Margin in the form of funds and or securities and or any other asset acceptable to Member Broker immediately failing which the Member Broker may sell, dispose, transfer or deal in any other manner the securities and or any other asset already placed with the Member Broker on any account or square off all or some of the positions of the Client as it deems fit in its discretion without further reference to the Client and any resultant or associated losses that may occur due to such square off / sale shall be borne by the Client, and the Member Broker is hereby fully indemnified and held harmless by the Client in this behalf.

The margin/security/funds deposited/due by/to the client with the Member Broker shall not be eligible for any interest

The client agrees that all securities and or monies and or assets belonging to the client which are deposited and or submitted and or under the control or possession of the Member Broker shall be subject to a general lien and /or set off, for discharge of any obligation or indebtedness, in any exchange/segment, in which client is / will be dealing. The Client authorize the Member Broker to inter-se transfer or hold funds, securities, debits, credits etc. amongst the exchanges/segments for which the Client has been dealing and or shall be dealing with the Member Broker. In enforcing the right of lien and /or set off, the Member Broker shall have the sole discretion of determining the manner and time in which the securities and or monies and or assets are to be appropriated/liquidated.

The Member Broker is entitled to include/appropriate any/all payout of funds and or securities towards margin/security without requiring specific authorizations for each payout.

The Member Broker is entitled to disable/freeze the account and or trading facility or any other services/facilities, if, in the opinion of the Member Broker, the Client has committed a crime/fraud or has acted in contradiction of the agreement/contract or is likely to evade/violate any laws, rules, regulations, directions of a lawful authority whether Indian or Foreign or if the Member Broker so apprehends.

3. Applicable brokerage rate

Brokerage shall be applied as per the rates agreed upon with the client. The rate of brokerage shall not exceed the maximum brokerage permissible under exchange rules, regulations byelaws, notices and circulars issued by exchange from time to time.

4. Imposition of Penalty/delayed payment charges:

Any amounts which are overdue from the Client on account of any reason, including margin obligations, to the Member Broker without prejudice to the other rights of the Member Brokers the client will be charged with

delayed payment charges at the rate of 1.5% per month or any other rates as may be mutually agreed between the client and the Member Broker. The Client hereby authorizes the Member Broker to directly debit the same to the account of the Client on daily product basis.

The Client undertakes to indemnify the Member Broker for any penalty/charges/fines which might be levied by any regulatory authority i.e. SEBI/Exchange for non-adherence by the Client with any rules/regulations/circulars/instructions etc. issued by such regulatory authority. The Client agrees that Member Broker reserves the right to recover from the client any penalty/charges/fines imposed by the exchanges/depositories/SEBI/other authority on the Member Broker for any orders/trades/deals/actions of the Client which are contrary to rules/ regulations/bye laws of the exchange/law for the time being in force.

The Client shall, at all time, be liable to pay Member Broker all relevant charges, fees, levies, duties apart from brokerage, exchange related charges, commissions, statutory charges such as GST and other taxes and transaction expenses as may be agreed between the Client and the Member Broker from time to time and or imposed by any regulatory authority including but not limited to the stock exchanges (including any amount on account of reassessment or backlogs etc.) and or notified by Member Broker on the website(s) and or sent by electronic communication(s) and or sent by any other mode from time to time and in the event of default of payment of any of the above mentioned charges, without prejudice to the other rights of the MEMBER BROKER.

The client understands that Member Broker is committed to provide the high quality services to clients. Since Member Broker incurs expenditure to provide requisite customized services e.g. Home service to collect delivery instruction slips(DIS), home delivery of payment of cheques, reminder of delivery shortages, updation of balances of clients on their mobile, back office access on internet to clients, transfer of payment to clients account, organizing seminars, arranging meetings with analysts and other allied services etc. The client agrees and authorizes Member Broker to recover such cost from clients by levying other charges as maybe agreed between the Client and the Member Broker from time to time and or notified by Member Broker on the website(s) and or sent by electronic communication and or sent by any other mode from time to time and in the event of default of payment of any of the above mentioned charges, without prejudice to the other rights of the Member Broker.

5. 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 shall ensure timely availability of funds/securities in designated form & manner at designated time & in designated bank(s) & depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The Member Broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the Member Broker for meeting the pay in obligation of either funds or securities. If the client gives orders/trade in anticipation of the required securities/funds being available subsequently for pay in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason

whatsoever including but not limited to any delays/shortage at the exchange or Member Broker level/non release of margin by the Member Broker etc., the losses which may occur to the client as a consequence of such shortage in any manner such as on account of auctions/square off/close outs etc., shall be solely to the account of the client and the client agrees not to hold the Member Broker responsible for the same in any form or manner whatsoever.

In case the payment is made by the Client through a bank instrument, the Member Broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the Member Broker.

When the margin is made available in form of securities or any other property by the Client, the Member Broker is empowered to decline its acceptance as margin. The Client agrees and authorizes the Member Broker to determine the market value of securities placed as Margin after applying a haircut that the Member Broker may deem appropriate or by marking it mark to market or by any other method as the Member Broker may deem appropriate. The Client's positions are valued at the latest market price available ('mark to market') on a continuous basis by the Member Broker. The Client undertakes to monitor the adequacy of the collateral and the Market value of such securities on a continuous basis. If due to any reason but not limited to price fluctuations, there is erosion/shortfall in the value of the margins, the Client agrees to replenish any shortfall in the value of the margins immediately, whether or not the Member Broker intimates such shortfall.

The Client hereby authorizes the Member Broker to square up/sell/liquidate all his/her/its outstanding positions/ securities/shares and to cancel all pending orders at the discretion of the Member Broker, for any reason including the following (a) which are not marked for delivery 15 minutes before the closing time of the relevant segment (s) of the exchanges or any other time which the Member Broker may notify through electronic communication or otherwise from time to time; or (b) when mark to market (MTM) percentage reaches or crosses stipulated percentage mentioned on the website or any other percentage which the Member Broker may notify through electronic communication or otherwise. The Member Broker will have the sole discretion to decide above referred stipulated percentage/time depending upon the market condition. Any direct or indirect loss arising out of square off/cancellation shall be at the risk of and shall be borne by the Client.

In case any open position (i.e. short or long) gets converted into delivery due to non-square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal closeouts. In addition to this the Client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the Client is liable for all and any penalties/charges/fees/fines levied by the exchange(s).

Without prejudice to the Member Broker's other rights including the right to refer the matter to Arbitration, if payment / securities towards the Margin and or shortfall in Margin and or any other payment obligation of the Client towards the MEMBER BROKER is not received instantaneously to enable restoration of sufficient Margin/balances in the Client's account

with the MEMBER BROKER, without any reference or prior notice or communication to the Client, the Member Broker has the right but not the obligation to take one or more of the following steps:

- (i) All or some of the positions/securities/shares of the Client as well as the securities placed as Margin or otherwise including but not limited to securities which are pending delivery/receipt with Member Broker may be liquidated/closed by the Member Broker at its sole discretion and at such rate and time as the Member Broker may deem fit.
- (ii) To withhold any payout of funds/securities.
- (iii) To withhold/disable the trading/dealing facility to the client.
- (iv) To cancel all pending orders.
- (v) To take any other steps which in the given circumstances, the Member Broker may deem fit.

The resultant or associated losses that may occur due to such squaring off/cancellations and or sale of securities/positions shall be borne by the Client and the Member Broker is hereby fully indemnified and held harmless by the Client in this regard. Such liquidation and or close out or cancellations of such securities/positions shall apply to any segment/exchange in which the Client does business with the Member Broker.

The Member Broker is entitled to prescribe the date and time by which margin/security is to be made available and the Member Broker may refuse to accept any payment in any form after such deadline for margin/security expires.

Any reference to sale or transfer of securities and or any other asset by the Member Broker shall be deemed to include sale or transfer of all the securities and or any other asset lying with MEMBER BROKER for any reason/account including which form the part of the Margin maintained by the Client with the Member Broker. In exercise of the Member Broker's right to sell or transfer securities and or any other asset, the Client agrees that the choice of specific securities and or any other asset to be sold or transferred shall be solely at the Member Broker's discretion.

The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) shall be settled as under:

- i) The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the payment is made/credit balance is available, in full on or before pay in day shall be transferred to beneficiary demat a/c of the client from Pool a/c within 24 hours of pay out.
- ii) The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the full credit balance is not available in the account of the client or the payment is not/partially made by the client, shall be transferred to Client Unpaid Securities Account (CUSA)
- iii) The securities lying in the CUSA shall be transferred to the beneficiary demat account of the client only on the receipt/availability of full amount from the client
- iv) The securities lying in the CUSA shall be liquidated to the extent of debit balance within 5 trading days from the pay-out date of such securities

Signature of Client

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without further notice to the client and the securities so liquidated shall be transferred to Pool Account for meeting payin obligation. No securities shall be kept in CUSA for more than 5 trading days from the pay-out date of such securities.

- v) The choice of selection of securities to be liquidated against debit balance from CUSA will be at the sole discretion of the Member Broker depending upon the liquidity of the scrip, volatility in the market or any other factor as the Member Broker deem fit in each case.
 - vi) The securities of the client can be transferred in the beneficiary demat account of the client without/partial receipt of the payment at the sole discretion of the Member Broker in those cases where the said Beneficiary Demat Account is opened with Member Broker DP and the client has executed Power Of Attorney (POA) in favour of Hotline Capital Services Pvt. Ltd..
6. Shortage in obligations arising out of internal netting of trades

The Client agrees that the Member Broker shall not be obliged to deliver any security or pay any money to the Client unless and until the same has been received by the Member Broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and or liable to deliver the security and after the Client has fulfilled his / her / its obligations first. Any short delivery of the security shall be dealt with as per the policy of the Member Broker as amended from time to time.

In case the Client buys securities in one settlement, and sells the same in a subsequent settlement, without having received the payout of the securities, any resulting auction / losses will be the sole responsibility of the Client.

Client agrees that in case he/she/it has made any purchase of securities and the delivery of the same falls short inter-client at the Member Broker level, Client hereby authorizes Member Broker to make purchases of the same in the market to make available the delivery of the said securities to Client or close out the transaction at rate which is higher of auction day closing rate + 3% or any other rate communicated by the Member Broker from time to time or selling rate or buyer's rate or at a price Member Broker deems fit for close out of said securities. Client further agrees that if he/she/it has made any sale of securities and due to any exigencies he/she/it is/are unable to make available the delivery of the same in the designated account within the designated time and it is an inter client delivery at Member Broker level, Client authorize Member Broker to make purchases of the same in the market on behalf of the Client to make available the delivery of the said securities to the opposite client or close out the transaction at rate which is higher of auction day closing rate + 3% (or any other rate communicated by the Member Broker from time to time) or selling rate or buyer's rate or at a price Member Broker deems fit for close out of said securities and debit the closeout amount to the account of client along with penalty amount, for the delivery, as Member Broker deems fit. Client will not dispute the penalty so imposed on him/her/it by the Member Broker under any circumstances. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of auction day closing rate + 3% (or any other rate communicated by the Member

Broker from time to time) or selling rate or buyer's rate or at a price Member Broker deems fit for close out of said securities.

7. Policy for Inactive Clients (Dormant Account)

Client status is observed on weekly basis & clients who have not traded during the last Three (3) Years are marked "inactive" as "Dormant" in the backoffice & funds payable to the client and securities, if any, lying in the client margin account will be returned after deducting demat or any other charges due from the clients. The files uploaded on the trading servers on daily basis update the current status on the terminals. Whenever a client who is marked inactive as dormant intends to trade, the details of the client viz. Address, Contact No., Demat & Bank account etc. will be confirmed & a written request for re-activation of the account will be taken before executing any trade in that particular client code. In case of any change, the updation form along with the supporting documents will be taken. In case of very old dormant a/c, the entire KYC Form will required to be taken along with the other supporting documents.

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

- i. The client may request the Member Broker to temporarily suspend his/her/its account, Member Broker may do so subject to client accepting/adhering to conditions imposed by Member Broker including but not limited to settlement of account and/or other obligation.
 - ii. The Member Broker can with hold the payout of client and suspend his/her/its trading account due to his/her/its surveillance action or judicial or/and regulatory order/action requiring client suspension.
 - iii. Temporarily suspending or closing a client's account at the Member's discretion "The Member Broker may suspend the account of the Client in following circumstances:
 - a. Where the client is inactive for the past Three (3) Years with observation period being the month end.
 - b. Based on recommendations made by the Branch Head due to any reason including but not limited to excessive speculations, uncleared balances etc.
 - c. Physical Contract notes are received back undelivered due to reasons like "no such person", "addressee left", refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion, after close out of open positions, selling/liquidation of client collaterals/ securities/shares or square off due to any reason whatsoever.
 - d. Bounced emails on more than 3 instances until the client submits and registers new email id
 - e. Non delivery of periodic statement of accounts sent on periodic basis
 - f. Non updation of communication details viz. email id, mobile number, land line phone number or if it is found to be belonging to some third person.
 - g. Client places a complaint either directly to the Member Broker or the exchange(s) relating to alleged unauthorised trades being executed in his/her/its account
9. De-registering a client

Notwithstanding anything to the contrary stated in the agreement / contract, the Member Broker shall be entitled to terminate the agreement/contract with immediate effect in any of the following

circumstances:

- i. If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal /proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force.
- iii. On the death /lunacy or other disability of the client.
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client.
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the Client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- vii. If the Client has taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the client has made any material misrepresentation of facts, including (without limitation) in relation to the security;
- ix. If there is reasonable apprehension that the Clients is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement/contract with the Member Broker;
- xi. If the Client is in breach of any term, condition or covenant of the agreement/contract;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

Client Acceptance of Policies and Procedure stated hereinabove:

I/We have fully understood the same and do hereby sign the same. These Policies and Procedure may be amended/changes unilaterally by the Member Broker, provided the change is informed to me/us through any one or more means or methods such as post/speed post/courier/registered post/registered A.D/Facsimile/email/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employee /agents of the Member Broker; by publishing/displaying it on the website of the Member Broker/making it available as a download from the website of the branch /office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast /newspaper advertisements etc; or any other suitable or applicable mode of manner. These Policies and Procedure shall always be read along with the agreement/contract and shall be referred to while deciding any dispute /difference or claim between me/us and Member Broker before any court of law/judicial adjudicating authority including arbitrator /mediator etc.

If any of the term(s)/ clause(s) or part of any term/ clause of the Policies &

Procedures, is/are held to be contravention of /in conflict with any of the provision(s)/clause(s) in mandatory documents, as also the Rules, Regulations, Articles, Byelaws, circulars, directives, notices and guidelines and issued by the Regulator and Exchange(s) or held invalid or unenforceable by reason of any law, rule, administrative order or judicial decisions by any court, or regulatory or self-regulatory agency or body, such contravening term(s)/clause(s) or part of term/clause of the Policies & Procedures shall be null & void. The validity of the remaining term(s)/clause(s), however, shall not be affected thereby and these term(s)/clause(s) shall be carried out as if any such contravening/invalid/unenforceable terms(s)/ clause(s) or part of such term/clause were not contained herein.

10. ADDENDUM TO POLICIES AND PROCEDURES AS PER SEBI CIRCULAR CIR / HO / MIRSD / DOP / CIR / P / 2019 / 75 dated 20th JUNE 2019 AND SUBSEQUENT FAQ'S ISSUED BY RESPECTIVE EXCHANGES

The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) shall be settled as under:

- a) The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the payment is made/credit balance is available, in full on or before pay in day shall be transferred to beneficiary demat a/c of the client from Pool a/c within 24 hours of pay out.
- b) The securities purchased by the client in CM Segment and/or F&O segment (under physical settlement) for which the full credit balance is not available in the account of the client or the payment is not/partially made by the client, shall be transferred to Client Unpaid Securities Account (CUSA)
- c) The securities lying in the CUSA shall be transferred to the beneficiary demat account of the client only on the receipt/availability of full amount from the client
- d) The securities lying in the CUSA shall be liquidated to the extent of debit balance within 5 trading days from the pay-out date of such securities without further notice to the client and the securities so liquidated shall be transferred to Pool Account for meeting payin obligation. No securities shall be kept in CUSA for more than 5 trading days from the pay-out date of such securities.
- e) The choice of selection of securities to be liquidated against debit balance from CUSA will be at the sole discretion of the Member Broker depending upon the liquidity of the scrip, volatility in the market or any other factor as the Member Broker deem fit in each case.
- f) The securities of the client can be transferred in the beneficiary demat account of the client without/partial receipt of the payment at the sole discretion of the Member Broker in those cases where the said Beneficiary Demat Account is opened with Member Broker DP and the client has executed Power Of Attorney (POA) in favour of Hotline Capital Services Pvt. Ltd.

Signature of Client

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MUTUAL FUND FACILITY

Date : _____

To,

Hotline Capital Services Pvt. Ltd..

Regd. Office : 302, 3rd Floor, 5, Pusa Road, Karol Bagh, New Delhi-110005 • Tel.: 011-4250 3330/32/32, Fax: 011-2875 5260

Sub : Mutual Fund Service System (MFSS) Facility/ BSE StAR Mutual Fund Facility & other MF approved platform.

Sir,

I/We _____ am/are registered as your client with UCC No. _____ for the purpose of trading in the Capital Market segment and/or Derivatives segment. I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and/or BSE StAR MF and/or other MF. For the purpose of availing these facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of this facility and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated November 24, 2009, BSE circular dated December 2, 2009 and as may be specified by the Exchanges from time to time in this regard. I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. I/we agree and authorize you to issue payment on my behalf by debiting my account with the value of my/our transactions along with charges.

I/we therefore request you to register me/us as your client for participating in mutual fund trading facility of exchanges.

Details of terms & conditions for the Investor / Client for using MFSS facility BSE StAR MF & other MF Platform

- I. Pre-requisites for becoming Investor / Client for the MFSS facility/ BSE StAR MF /other MF platform.
 - I.1. The client who is desirous of investing in units of mutual fund schemes through the MFSS /BSE StAR /other MF platform.
 - I.2. The Client intends to execute his instruction for the subscription/ redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the MFSS /BSE StAR /other MF platform
 - I.3. The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transacting through the MFI.
 - I.4. The Client has approached to the MFI with the application for availing the MFSS facility/BSE StAR/other MF platform
 - I.5. The client has submitted relevant KYC (Know Your Client) details to the MFIs
2. Terms and Conditions
 - 2.1. The client shall be bound by circulars/ notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL/BSE and rules, regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
 - 2.2. The client shall notify the MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the MFSS / BSE STAR/other MF platform or at any time thereafter.
 - 2.3. The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI
 - 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
 - 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
 - 2.6. The client shall ensure continuous compliance with the requirements of the Exchanges, SEBI and AMFI.
 - 2.7. The Client shall pay to the MFI fees 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 MFI renders to the Client.
 - 2.8. The client will furnish information to the MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
 - 2.9. In the event of non-performance of the obligation by the MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL), other exchanges/Clearing Corporation.
 - 2.10. In case of any dispute between the MFIs and the investors arising out of the MFSS facility/ BSE StAR/other MF platform, exchanges and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Signature of Client

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Client Name _____

CONTRACT BETWEEN MEMBER BROKER & CLIENT

NSE

This agreement is made at the place specified as place of execution & on the date as specified as date of agreement by and between :

M/s Hotline Capital Services Pvt. Ltd., a body corporate, incorporated under the provisions of the Companies Act, 2013, being a Member of the National Stock Exchange of India Ltd.(NSE) Equity Derivatives & Currency Derivatives Segment, having SEBI Registration Number – INZ000288933 and having its Registered Office at 302, 3rd Floor, 5, Pusa Road, Karol Bagh, New Delhi - 110005, (**unless the context requires otherwise, hereinafter called the “MEMBER BROKER” and called “HCSPL”**) which expressions shall, unless repugnant to the context or meaning thereof, be deemed to mean and include executors, administrators and legal representatives, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the **One Part**;

And

Mr./Ms/M/s. _____

an individual / a sole proprietary concern / a partnership firm / a LLP / a body corporate, registered / incorporated, under the provisions of the Indian Partnership Act, 1932 / LLP Act, 2008 / the Companies Act, 1956 or 2013, having his/her/its Residence/Registered/Corporate Office at _____

_____ (hereinafter called “the client”) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them, the member or members for the time being of the Hindu Undivided Family (HUF) and their respective heirs, executors, administrators and legal representatives/its successors/assigns, as the case may be, of the **Other Part**;

National Stock Exchange of India Limited, Bombay Stock Exchange Limited & Metropolitan Stock Exchange of India Ltd. are hereinafter referred as “Exchange”, collectively or individually, as the context requires.

Whereas, MEMBER BROKER and Client enter into this agreement voluntarily for smooth functioning of the services offered by the MEMBER BROKER on the above referred Exchanges Now, in view of the foregoing

1. The Client agrees and acknowledges that it is recommended by the MEMBER BROKER to give orders/instructions in writing and to take acknowledgement of the same in writing from the MEMBER BROKER/sub broker/Authorised Person simultaneously, to avoid any disputes or differences and if the client chooses to give orders/instructions in a mode other than in writing or if the client does not take acknowledgement of order/instruction given in writing, the client shall be deemed to have disclaimed and waived any right to dispute regarding as to whether or not the orders/instruction were correctly received and/or entered into the trading system, including the plea that the orders/instruction were entered without express directions/authorization of the client. It is agreed and understood by the client that if the client is unable to produce the acceptance of order/instruction by the MEMBER BROKER in writing, it shall be deemed that such order/instruction was in fact given verbally/orally as entered into the trading system and the waiver as stated

herein above shall apply. The Client agrees that it shall be his/her/its sole responsibility to ascertain the status/results/trade of any orders given by him/her/it and no separate confirmation of the rejection of the order would be sent to the client either physically or electronically

2. The Client understands that placing an order with the MEMBER BROKER including a market order, does not guarantee execution of the order. The Client agrees that he/she/it will receive the price at which his/her/its 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/her/its order is entered into the Member Broker's systems. The MEMBER BROKER has the absolute right to reject any order that may be made by the Client for any reason whatsoever including for the breach of the requirement of maintaining the prescribed Margin in the Client Account.
3. If any transaction(s) under this Agreement or otherwise with the MEMBER BROKER, has/ have been executed by the Client and/or on behalf of the CLIENT by any other person, and the same has/have been accepted by Client from time to time on the basis of the contract note(s)/bills/any other communication dispatched/communicated to the CLIENT by the MEMBER BROKER and/or by part or full settlement of the said transaction(s) by the client then such transaction(s) shall be deemed to be executed by the Client and/or the person authorized by the CLIENT and the CLIENT hereby agrees to ratify and accept all such or other actions of such persons and undertakes to meet all obligations arising from these transactions.
4. The client further accepts and acknowledges that he/she/it would observe proper caution and due diligence while giving orders to the dealers/entering orders into trading platform provided by MEMBER BROKER under Internet Based Trading (IBT) services. The Client agrees and undertakes to ensure that there will not be any attempt at price distortion and/or price rigging made through any means. The client hereby will keep indemnified the MEMBER BROKER for any loss, claim, expenses, liability in this respect. The client acknowledges that MEMBER BROKER reserves the right to keep in abeyance the funds/securities/other collateral as may be deemed fit by MEMBER BROKER depending upon the gravity of the violation or /and through trades done by/on behalf of the client considered as inappropriate/ unacceptable by MEMBER BROKER/the relevant exchange(s)/ regulator(s). The client further understands and accepts that MEMBER BROKER also reserves the right to levy any penalty for such trades done by/on behalf of the client considered as inappropriate /unacceptable by MEMBER BROKER/the relevant exchange(s)/ regulator(s), as may be deemed fit by MEMBER BROKER/the relevant exchange(s)/ regulator(s).
5. Client shall enter into all trades on his/her/its own account and shall not do any sub broking activity/unregistered intermediary and/or shall not do any activity which may constitute indulging in sub-broking/ unregistered intermediary activities. In case Client is found to be indulged in any such activity he/she/it shall be immediately debarred from trading.
6. The Client agrees that any securities and or funds placed/deposited by

Signature of Client

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him/her/it on any account with the MEMBER BROKER including as collateral/margin/ permitted by the Client to be retained in running account etc. may in turn be placed/ pledged/ deposited by the MEMBER BROKER with the Exchanges or Banks or such other institutions as the MEMBER BROKER may deem fit for the purposes of raising funds, bank guarantees, FDR etc. or towards margin/collateral as also to meet shortfall in his/her/it's funds/securities/pay in obligation/auction or assignment of contracts or any other liability arising out of his/her/it's dealings with/through the MEMBER BROKER. The Client authorizes the MEMBER BROKER to do all such acts, deeds and things as may be necessary and expedient for placing such securities/funds with the Exchanges/Banks/ Institutions. The Client specifically agrees that no interest shall be payable on such amount or any other credit balance as maintained/lying with MEMBER BROKER even if the same is placed as bank deposit, FDR or in liquid funds. The Client further authorizes MEMBER BROKER to sell/liquidate these securities/funds at the time and manner of MEMBER BROKER's convenience, as and when deemed fit by MEMBER BROKER in its absolute discretion to meet any shortfalls in the Client's account or any other liability of Client.

- 7.1 The Client hereby agrees that it is the sole responsibility of the client to know the status/declaration of all corporate benefits including but not limited to rights issue, bonus issue, dividends, offer for sale and stock split of shares/buy back etc. announced by issuer company from time to time, for securities of company(ies) in which client intends to trade and/or those which are kept by client with MEMBER BROKER for ease of dealing/margin /collateral etc. and make appropriate trading/dealing decisions by appropriately considering the impact of any corporate action(s). MEMBER BROKER shall not be liable for any losses suffered by client, if client fails to apply, due to any reason, to such corporate benefits for the shares held by MEMBER BROKER in beneficiary account on behalf of client.
- 7.2 The client understands that some corporate benefits will require some action for obtaining the same, such as for rights issue etc. It is understood and agreed that client shall free the securities from any margin/collateral / pay in obligations etc. and get them moved (through a written request given well in advance) to client's own beneficiary account and take necessary action for applying and /or receiving corporate benefits. The MEMBER BROKER may upon (written request given well in advance) take actions for and on behalf of client to apply and /or receive such corporate benefits such as for Right Issue/Open Offer /Buy Back for the shares held by MEMBER BROKER on behalf of client (subject to client making available free funds etc. for the same well in advance). However, MEMBER BROKER shall not be liable for any loss/claim whatsoever for any reason including in the event such application is rejected by Registrar/Company/ Manager to the issue for any reason.
- 7.3 The Client agrees and undertakes to return back any excess securities/funds etc. ever transferred to his/her/its depository account(s)/Bank account(s) registered with the MEMBER BROKER and or other depository participant/Banks alongwith all corporate benefits, if any. Such excess transfer may take place on account of any reason including operational and technical errors.
8. The Client agrees that he/she/it shall make all the payment and or deliver the securities only in the name of MEMBER BROKER and the payment shall

be by way of account payee bank instruments like cheque / draft/ RTGS/NEFT etc. The client further agrees and undertakes that he / she / it shall not make any cash payment to the Member Broker and or any person for and on behalf of the Member Broker. The client indemnifies and shall keep indemnified the MEMBER BROKER from any claim / action / expenses/ penalties / proceedings / losses/ damages etc. brought or commenced against MEMBER BROKER for any act of the client being contrary to this clause.

9. The Client shall ensure that all the payments including towards pay- in obligations/ margin obligation etc. in favour of MEMBER BROKER are issued from the bank account of the Clients and no third party cheques are issued or lodged into bank account of MEMBER BROKER. For all purposes including for the purpose of this Agreement and/or Rights & Obligations and/or Policies & Procedures and/or other relevant document(s), "Cheque(s)/Draft/RTGS/NEFT would mean and include cheques, drafts, banker's cheques and or bank transfers/RTGS/NEFT in any other mode". In case of any such third party cheque is received/lodged and or used for the obligation of the Client, and the Client does not inform the same to the MEMBER BROKER in writing to registered office and/or via electronic mail to helpdesk@hotlinecapital.co.in within 7 days from the delivery/display of the statements of accounts, data etc. to the client's by electronic communication or otherwise, then it shall be presumed that the Client has made the payments to the MEMBER BROKER by way of a cheque from third party with the full authority and consent of the third party and Third party payment is not acceptable in case any dispute and liability arises because of third party cheque/credit having been used by the Client, he/she/it shall be solely liable for all the consequences thereof including any criminal liability. The Client hereby indemnifies and shall keep indemnified MEMBER BROKER for and against any loss/claim, liability, action etc. including any criminal liability arising out of such act/negligence of Client directly or indirectly.
10. Notwithstanding anything stated above all the communications including relating to orders, margin, maintenance calls and other similar matters by the MEMBER BROKER to the Client may be communicated orally or by the usual business practices generally followed and or as agreed between the parties, either expressly or impliedly.
11. The Client authorizes the MEMBER BROKER to deliver/adjust collaterals, securities deposited with the MEMBER BROKER on any account including in Margin account against his/her/its sale directly to the MEMBER BROKER's Pool/Beneficiary Owner account for pay-in of securities to the Exchange on his/her/its behalf.
12. 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 closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
13. The Client is aware that the Member Broker may tape-record the conversations between the Client and the Member Broker, either personally or over the telephone, and hereby specifically permits the Member Broker to do so. Such recordings may be relied upon by the Member Broker as and when required to resolve disputes in connection with all matter but not limited to the trading transactions.
14. The Client authorizes the MEMBER BROKER to debit charges for services, bank charges on account of dishonor of cheques, stop payment instruction

charges, demand draft/pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement/professional charges (as may be applicable to NRIs), research service /message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, right issues, fixed deposits, money market instruments, etc. generally various investment avenues/products, processing fees/charges towards contract note/settlement of account etc. and any other such or similar fees/charges which are due/may become due to MEMBER BROKER.

15. It is clearly understood and agreed to by Client that no service/facility in the nature of portfolio management/ advisory services etc. are contemplated under the agreement(s) between the Client and MEMBER BROKER. No person working for or under MEMBER BROKER including dealer, relationship manager, sub broker or authorized person is permitted to provide any services, facilities except that of order placement in trading system(subject to limitations stated above) upon directions of client. If the client accepts any portfolio management services/advises/discretionary trading arrangements/ facility from any person including but not limited to dealer, relationship manager, sub broker or authorized person then in that event MEMBER BROKER shall in no way be responsible for the outcome of such services/facilities accepted by client, and such arrangement if nay between the client and any person including the dealer , the relationship manager, sub broker or authorized person etc. shall be personal , mutual and private relationship between the client and such person(s) including dealer, relationship manager, sub broker or authorized person and client shall have no recourse/right against MEMBER BROKER what so ever either in law or equity.

16.1 The Client agrees and authorizes MEMBER BROKER to issue the contract notes, trade confirmations, order status, bills, margin statements, margin calls, settlement cycles/holidays, delivery/payment cycles/obligations, and account statements or such other data, documents, notices, circulars, any amendments in this Agreement and/or Right & Obligations, and/or Policy & Procedure and/or other relevant document(s), including obligatory statements/documents to be sent to the Client related to his/her/its trading account with the MEMBER BROKER, in digital format by electronic communications, with the possible exception of graphic insertions. For all purposes including for the purpose of this Agreement and or any other document, such electronic communication shall be in the form of email and or email attachment including auto replies from the system of MEMBER BROKER and/or posted only on the relevant section of the website(s) and/or in the form of download available on the websites www.hotlinecapital.co.in (and/or any other website as may be intimated by the member broker from time to time as part of the back office services) or SMS on the registered mobile number or messaging on the trading software or otherwise.

16.2 The Client understands and agrees that it is his /her/ it's responsibility/obligation to review regularly and or upon first receipt, all confirmations, statements, notices, contract notes, bills and other communications sent by electronic communication or in physical mode via post/courier etc. or otherwise. All information contained therein shall be binding upon the Client, if the Client does not object, either in writing by registered A.D. addressed & sent to the MEMBER BROKER's Integrated Registered Office at 302, 3rd Floor,5, Pusa Road, Karol Bagh, New Delhi-

110005 or via electronic mail to helpdesk@hotlinecapital.co.in, from his/her/its registered email id within 7 days after any such document is sent to the Client by the MEMBER BROKER. The Client also agrees that MEMBER BROKER shall not take cognizance of out-of-office/out-of-station auto replies. The Client shall deemed to have received such electronic communications immediately upon the Member's sending/display of the electronic communications, non receipt of bounced mail notification from any one of the email addresses of the Client as referred in this clause hereinafter with the MEMBER BROKER, shall amount to valid delivery.

16.3. The email id(s) provided by the Client in the KYC form and or in the authority letter for the Electronic Contract Note ECN shall be deemed to be the designated email id(s) of the Client for all the communications to be sent by the MEMBER BROKER to the Client. The delivery of the above referred ECN, data, documents etc. to any of the designated email id(s) as referred to above shall be deemed to be a valid delivery.

16.4 The Client further agrees not to hold the MEMBER BROKER responsible for late/non-receipt of above referred documents etc. sent in electronic form and/or any other communication for any reason but not limited to failure of servers, loss of connectivity, email in transit etc. The Client agrees that the log reports of MEMBER BROKER's dispatching software shall be conclusive proof of dispatch of contract notes and /or all the above referred documents etc. to him/her/it and such dispatch shall be deemed to mean receipt by him/her/it and shall not be disputed by him/her/it on account of any non-receipt/delayed receipt for any reason whatsoever, non-receipt of bounced mail notification shall amount to valid delivery.

16.5 Not withstanding anything stated above, the member broker shall send Electronic Contract Note (ECN) on designated email address(s) of the Client, MEMBER BROKER shall also make available ECN downloadable at the Member's website(s) through the back office login. This would enable the Clients to view their contract notes, data, documents etc. through back office software for which the login and password is issued to the Client by the MEMBER BROKER.

16.6. The Client accepts full responsibility for the monitoring and safeguarding of his/her/it's account. The Client shall notify MEMBER BROKER in writing, delivered via- designated e mail address and Registered post within 24 hours of him/her/it becoming aware of any inaccurate /erroneous information/entry in the account balances, documents, transaction history etc. If the Client fails to notify MEMBER BROKER immediately upon the receipt by him/her/its when any of the above occur, neither MEMBER BROKER nor any of its officers, directors, employees, agents affiliates or subsidiaries can or will have any responsibility or obligation towards the Client or to any other person whose claim may arise for any reason including but not limited to claims arising with respect to the handling, mishandling or any loss including of any order/payment. The Client hereby indemnifies and shall keep indemnified the MEMBER BROKER for and against any loss/claim/liability/cost etc arising out of such inaccurate/erroneous information/entry in the account balances, documents etc.

16.7 The MEMBER BROKER shall provide initial password and login for the back

Signature of Client

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
office services for the purposes as stated above. The Member Broker shall deliver to the Client password and login through registered post/courier, which may form a part of the welcome letter or any other communication including but not limited to email/voice mail/SMS/Fax sent by MEMBER BROKER to the Client. 'Back office' or 'Back office Service' for this purpose shall mean and include access provided on MEMBER BROKER's above referred website(s) from time to time to the Client to access the above referred documents, data etc. The initial password sent by MEMBER BROKER should only be used for the first login. The Client agrees and undertakes to immediately reset his/her/it's password(s) upon the first login. In case the password is lost, the Client will have to make a request for creating a new password or reset the password himself/herself/itself on the website or use other means of communication(s) such as SMS from registered mobile phone which allows authenticated password resets. The Client shall, within 24 hours on his/her/it becoming aware, notify MEMBER BROKER in writing with full details if he/she/it discovers or suspects, unauthorized access through his/her/its password or notice discrepancies that might be attributable to unauthorized access or discovers any flaw in the back-office service.

In any of the above events specified, the Client shall immediately change his/her/its password. However, if the Client is unable to change his/her/it's password due to any reason including of his/her/its having forgotten his/her/its password or his/her/its password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request MEMBER BROKER in writing and follow the instructions given by MEMBER BROKER. MEMBER BROKER shall not be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the password at any point of time by any person

17. The MEMBER BROKER's record of the trades/ transactions etc. shall be accepted as conclusive and binding on the Client for all purposes.
18. Quotes, research information, historical information and other content on the website(s) is provided by various third party service providers from time to time. Daily updates are subject to receipt from the respective third party data contributors. The latest quotes are subject to market fluctuations and will be subject to a delay. Market quotes and other information on the website(s), as well as reference materials or links to other sites, are for general informational purposes only, and are not intended to be relied upon for transactional or other purposes. Neither the MEMBER BROKER nor any of its data or content providers shall be liable for any errors or delays in the content, or for any actions taken or omitted to be taken in reliance thereon. Opinions expressed in any information contained on the website(s) are not indication of prospective rating/grading. Any rating awarded by the content providers, Affiliate Partners, Service Providers, the MEMBER BROKER or website(s), should not be treated as a recommendation to buy/sell hold any Security. The client shall rely exclusively on his/her/its best judgment in respect thereof. Stock quotes and mutual fund Net Asset Values (NAVs) and news stories, which are accessed, may be delayed.
19. The Client hereby authorizes the MEMBER BROKER in its absolute discretion to maintain records/ books of accounts for the Client separately or collectively for different exchanges / segments of the exchanges &/or any other service which the Client may be availing such as

Advisory Services/ Depository Services etc. It shall be the sole responsibility of the Client to ascertain the balance of securities and or funds in all the accounts separately and the Client shall be required to pay/make available necessary monies/funds and or securities into any one or more such segregated/aggregated account(s) notwithstanding the fact that an aggregation of the accounts may not require from the Client either any securities and or monies/funds and the Client hereby agrees not to hold the MEMBER BROKER responsible for considering shortage of margin/security and or shortage of pay in obligations in any account, without aggregating/summing such accounts with other accounts.

20. The Client understands that the MEMBER BROKER may produce fundamental and trading research/ notes, particularly on companies, industry, stock markets, commodity markets and economy from time to time (collectively hereinafter referred to as "material"). The Client hereby requests the MEMBER BROKER to provide him/her/it with the material through email or by access to the website(s) of MEMBER BROKER or through SMS or any other mode on a voluntary basis. By agreeing to receive such material, the Client is aware that this material provided to him/her/it is only for his/her/its personal information. The Client understands that this material is not an offer or the solicitation of an offer to buy/sell any security. The Client alone shall be fully responsible/liable for his/her/its investments/ trading decisions on the basis of this material. The Client agrees that the MEMBER BROKER would have no responsibility to update any information provided to the Client nor does it represent that the information provided in the material is complete/accurate. Further by providing such material MEMBER BROKER is not acting as his/her/its portfolio or financial adviser nor does it assume any fiduciary duties. By sending this material on his/her/its request, MEMBER BROKER or any of its officers, directors, personnel and employees shall not be liable for any loss, damage of any nature, including but not limited to direct, indirect, punitive, special, exemplary, consequential, as also any loss of profit in any way arising from the use of this material in any manner.
21. The Client understands that the closing of the account of the Client will not affect the rights and /or obligations of either the MEMBER BROKER or the Client incurred prior to the date the account is closed.
22. The CLIENT undertakes to read all the relevant offer documents and terms and conditions of all schemes of all mutual funds, other securities including but not limited to Initial Public Offerings, Rights Issue, Buy Back Offers, and other investment products which the MEMBER BROKER and or Hotline Capital Services Pvt. Ltd. may offers through its website(s)/trading software/trading system before entering into any transactions through its website(s)/trading software/trading system. Neither the MEMBER BROKER/Hotline Capital Services Pvt. Ltd. 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. In case of Mutual Fund, the units of schemes shall be allotted, redeemed or switched, as the case may be, as per the terms and conditions of the relevant schemes/register of the scheme. The MEMBER BROKER shall not be liable for any kind of loss including but not limited to that may arise to the CLIENT as a result of the correct NAV not being allotted to the CLIENT'S transactions on the web site/trading software. In case of securities, the order for purchase, sale, offer under buy back etc. shall be accepted by the MEMBER BROKER only if the same is received by the cut off

- date as indicated on the website(s) and consistent with the terms of the offer. The Member Broker may impose its own terms and conditions from time to time in this regards as indicated on the website of the Member Broker. In any case the MEMBER BROKER shall not be liable for any kind of loss for any reason in this respect. It is explicitly stated herein that the mutual funds schemes/offer documents/other schemes offered by the MEMBER BROKER, have not been recommended by the MEMBER BROKER.
23. The MEMBER BROKER shall provide its services and information etc. on the best efforts basis. However the MEMBER BROKER shall not be liable for any direct, incidental, special or consequential loss, damages ,other costs or "lost opportunity" (notional profits/losses) arising in any way out of (but not limited to):
- 23.1 Services which could not be availed like Orders/transactions not executed due to any reason including but not limited to time lag in execution of order, latency in the systems of the Member Broker or the Exchanges , disruption of any kind in the transmission of data, system failure including failure of ancillary or associated systems , fluctuation of power, link failure between the client and the Member Broker or the Member Broker and the Exchanges, virus/malware , delay/non receipt of user name/password for Internet based trading services/backoffice due to postal/email delay; payment gateway delay/downtime, shutting down of systems by the Member Broker or disabling of the Client's access for any reason, any force majeure event or
- 23.2 Any inaccuracy or error or delay or insufficiency for any reason in any information ,false statement, misrepresentation, breach of warranty or fraud committed by any employee/ associates /third parties engaged by the MEMBER BROKER for the purpose of the services offered by it.
- 23.3 Unauthorised use of the username and password of the Client for the internet based trading services.
- 23.4 The Client hereby agrees to hold the MEMBER BROKER continuously harmless and indemnified against any claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned for any reason including but not limited on account of the MEMBER BROKER having entered into the Agreement &/or having dealt with/for the Client and or due to breach of any of the Client's obligation under the Rights & Obligations as defined by Exchanges/SEBI or any other agreement(s).
24. If any of the term(s)/ clause(s) or part of any term/ clause of this agreement, is/are held to be contravention of /in conflict with any of the provision(s)/clause(s) in mandatory documents, as also the Rules, Regulations, Articles, Byelaws, circulars, directives, notices and guidelines and issued by the Regulator and Exchange(s) or held invalid or unenforceable by reason of any law, rule, administrative order or judicial decisions by any court, or regulatory or self-regulatory agency or body, such contravening term(s)/clause(s) or part of term/clause of this agreement shall be null & void. The validity of the remaining term(s)/clause(s), however, shall not be affected thereby and these term(s)/clause(s) shall be carried out as if any such contravening/invalid/ unenforceable terms(s)/ clause(s) or part of such term/clause were not contained herein.
25. The CLIENT hereby agrees and authorizes the MEMBER BROKER and Hotline Capital Services Pvt. Ltd. and their agents to disclose, use, exchange, share or part with all information, data or documents relating to his/her/its account and transaction to other Hotline Capital Services Pvt. Ltd. /Banks/Financial Institution/Credit Bureaus /agencies/ Statutory Bodies/such other persons as the MEMBER BROKER or Hotline Capital Services Pvt. Ltd. may deem necessary and/or appropriate and as may be required for use or processing of the said information/data etc. by such person/s or furnishing of the processed information/data /products etc. thereof to other Hotline Capital Services Pvt. Ltd./ Banks/Financial Institutions/credit providers/agencies/ users registered with such persons and he/she/it shall not hold the MEMBER BROKER/Hotline Capital Services Pvt. Ltd. and other persons to whom such information etc. is disclosed liable for the disclosure or use of such information etc. The "Hotline Capital Services Pvt. Ltd." company may notify from time to time through electronic communication or otherwise.
26. The CLIENT understands and agrees that certain details provided in their trading / back office account etc. would not be on a real time basis. The CLIENT further understands and agrees that such details would be updated by the MEMBER BROKER/ Hotline Capital Services Pvt. Ltd. on best efforts basis within reasonable time and he/she/it shall not hold the MEMBER BROKER and or Hotline Capital Services Pvt. Ltd. responsible for any possible mismatches in the real time data and data as reflecting on the website(s) during the period the updations are not effected.
27. The CLIENT agrees that he/she/it does not have any objection to the MEMBER BROKER, Hotline Capital Services Pvt. Ltd., agents /representative to provide him/her/it information on various products, offers and services provided by the MEMBER BROKER /Hotline Capital Services Pvt. Ltd. through any mode not limited to telephone calls/SMSs/emails and authorize the MEMBER BROKER, Hotline Capital Services Pvt. Ltd., agents representative for the above purpose. The MEMBER BROKER offers the "Internet based Trading" ("IBT") services or Online trading or Order Routing System" ("ITORS") services to the client. The client availing the same for purchasing, selling or otherwise dealing in securities/derivatives/ contracts/other instruments etc., further agrees to the hereinafter mentioned provisions of this clause in addition to all other clauses stated in this Agreement and/or in Rights & Obligations documents or other relevant document(s):-
- 28.1 The Client will be entitled to a username and Password, which would enable him/her/it to access the MEMBER BROKER's IBT for availing such services. MEMBER BROKER's IBT shall mean and include the website hosted by the MEMBER BROKER on the internet and or online trading software through which the MEMBER BROKER offers the online trading including but not limited to the hardware and software used for hosting and supporting the website and or the online trading software.
- 28.2 The Client is aware that the MEMBER BROKER's IBT generates the initial password and the MEMBER BROKER is aware of the same. The Client agrees and undertakes to immediately change his/her/its password upon receipt thereof. The Client acknowledges that subsequent passwords are not known or available to the MEMBER BROKER. The Client indemnifies and holds harmless the Member Broker against any liability, costs or damages arising due to any transaction or otherwise as a result of the Client not changing the password provided to him/her/it initially or at
- Signature of Client  (26)

- anytime later as a reason of password resetting /new issuance or any other reason by the Member Broker .
- 28.3 The Client shall be solely responsible for keeping the user name and passwords confidential and fully secured and the Client shall be fully responsible for all orders entered and transactions done by any person whatsoever through the MEMBER BROKER's ITORS using the Client's User name and/or password whether or not such person was authorized to do so.
- 28.4 The Client acknowledges that he/she/it is fully aware and understands the risks associated with availing the Internet Based Trading facility through the MEMBER BROKER's IBT over the internet including the risk of misuse and unauthorized use of his/her/its username and/or passwords by any third party. Client also acknowledges that he/she/it understands and is aware about the risk of a person hacking into the Client's account on the MEMBER BROKER's IBT or unauthorisedly routing orders on behalf of the Client through the MEMBER BROKER's IBT. The Client agrees that he/she/it shall be fully liable and responsible for any unauthorized use or misuse of his/her/its username and/or password and also for any acts by any person through the MEMBER BROKER's IBT in the Client name in any manner whatsoever.
- 28.5 Online confirmation will be available to the Client upon execution or cancellation of an order placed by him/her/it through the MEMBER BROKER's IBT system.
- 28.6 The Client shall immediately inform the MEMBER BROKER. in writing, delivered via designated email ID to helpdesk@hotlinecapital.co.in and or via registered AD post to integrated Back Office at 302, 3rd Floor,5, Pusa Road, Karol Bagh, New Delhi-110005 of any unauthorized use of the Client's Username and/or password with full details of such unauthorized use
29. The Client Confirms and agrees that he/she/it will be the sole authorized user of the Username(s)/login(s), Password(s), Customer User Identification Number(UIN), Telephone Personal Identification Number (TIN) or any other identification or security code (by whatever name called) to be given to him/her/it by the MEMBER BROKER to access MEMBER BROKER system and or service(s) through MEMBER BROKER's web site, internet, over the telephone, IBT or in such other manner as may be permitted by the MEMBER BROKER for availing of the services. The Client accepts sole responsibility for use, confidentiality and protection of the Username(s)/Login(s), Passwords, UIN, TIN or other security code(s) as may be issued by the MEMBER BROKER to the Client from time to time ("Security Codes") as well as for all orders/transactions and information changes entered into the Client's account using such security code(s). The Client shall ensure that such security code(s) is / are not revealed to any third party . If the Client forgets the security code(s) or has suspicion of unauthorized use, a request for change of such Security Code(s) should be sent to the MEMBER BROKER in writing, delivered via designated email ID to helpdesk@hotlinecapital.co.in and or via registered AD post to integrated Back Office at 302, 3rd Floor,5, Pusa Road, Karol Bagh, New Delhi-110005. On receipt of such a request, the MEMBER BROKER shall discontinue the use of the old security code(s) and shall generate a new Security code(s) for the Client which shall be communicated to the Client. The Member Broker may also provide a webbased security code(s) retrieval system for this purpose. However, the Client shall be responsible and liable for all transactions that are carried out by the use of the old Security code (s). Any order entered using the Client's security code(s) either through the website or internet or through telephone or otherwise is deemed to be that of the Client. If third parties gain access to the Member's services through the use of the Client's security code(s), the Client shall be responsible for the same and hereby indemnifies and holds harmless the Member against any liability, costs or damages arising out of claims or suits by or against such third parties based upon or relating to such access and use, since the primary responsibility for such transaction shall be that of the Client.
30. The Client agrees that for performing the acts contemplated under this relationship /agreement MEMBER BROKER has to use software and hardwares /machines etc. Client understand that as regard to trading the software/programmes of exchanges are used with additional software permitted by exchange such as (without limitation and as illustration) ODIN , NEST etc. While exchanges take all care, have full proof software/programmes and additional software/ programmes such as ODIN , NEST etc. are pre-approved by exchanges, no warranty /guarantee is taken either by the vendors/suppliers of any these softwares/ programmes of their fullproof/glitch/bug free performance always. Their operations can also be effected due to software viruses etc. which may interalia lead to disruption in trading/order entry and /or false /incorrect display of order/trade status including but not limited to display of trade confirmation etc. when actually trade has not occurred or has occurred contrary to display. Therefore the Client agrees that display or printout of any transaction taken out from any system /computer at the time of order entry or instructions entry or thereafter, including but not limited to net banking and/or electronic transfer of securities in depository etc. shall not be construed as the official record of the transactions/orders. Member Broker or service providers' (such as bank's/ exchanges/clearing house/clearing corporation/depository participant/ depository) final official record of transaction maintained in their own books of accounts or electronic system shall only be the acceptable records of transaction and shall be conclusive and binding for all purposes .The Client agrees that this is without prejudice to the right of MEMBER BROKER/service providers to rectify any discrepancy/differences which is due to any inadvertent human error/system /computer error etc. at any time without limitation, at the sole and absolute discretion of MEMBER BROKER and /or any of the service providers.
31. MEMBER BROKER may at any time amend this Agreement by modifying or rescinding any of the existing provisions or conditions or by adding any new provision or condition, by providing notice to client by electronic communication or through postal service or through courier or by personal messenger or by hand delivery or any other method as per discretion of MEMBER BROKER. The continued use of MEMBER BROKER's services after the notice period shall constitute acknowledgement and consent of/to such amendment. However, the Client has right to terminate this Agreement through communication in writing by giving one month notice subject to the meeting of the financial and other obligation under this Agreement and or under Rights & Obligations documents.
32. The Client assures the MEMBER BROKER that he/she/it is eligible to enter into this Agreement under the provisions of applicable laws. The Client shall continuously monitor his/ her / its eligibility to act under this

Agreement under the applicable laws including but not limited to any act / law / rules & regulations for the time being in force and byelaws / Rules / Regulations of relevant exchange(s). If at any time this assurance ceases to be applicable, Client shall refrain from dealing with the MEMBER BROKER. The Client shall ensure that he/she/it shall not deal through the MEMBER BROKER on the exchange of which he / she / it is registered as a broker or sub broker or Authorised Person through any broker except with the permission of the relevant exchange.


33. The Client agrees that the failure of the MEMBER BROKER to enforce at any time any terms contained in this Agreement shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.
34. The client understand and agree the MEMBER BROKER is not under any obligation to inform the client of any exiting and or changes of regulations, bye laws, guidelines etc., of any authority SEBI, Government, Stock Exchanges etc., as may be in force from time to time. The Client shall keep himself/herself/ itself updated regarding the changes in the rules, regulations, bye laws, procedure of any authority, exchange(s) and or MEMBER BROKER through any means including using the website of the relevant entity.
35. The client and the MEMBER BROKER agree to refer any claims and /or disputes to arbitration as per the Rules & Regulations and Bye-laws of the Exchange and circulars issued thereunder as may be in force from time to time.
36. In this Agreement, unless the context otherwise requires:
Word denoting the singular number shall include the plural and vice versa. The pronouns “he” “she” “it” and their cognate variations are used as inter changeable and should be interpreted in accordance with the context. Words denoting a person shall include an individual corporation, company, partnership , trust or other entity; provided however that clauses specifically applicable to a company or body corporate shall not

apply to any other entity. References to the word “include” or “including” shall be construed without limitation. Reference to any party to this agreement or any other agreement or deed or other instrument shall include its successors or permitted assigns. Reference to recitals and clauses shall be deemed to be a reference to the recitals and clauses of this agreement. Reference to any enactment shall be construed as referring also to any amendment or re-enactment thereof and to any rule, bye—law, regulation, business requirement, specification, order, notification, circular or other provision made under it. Heading or bold typeface, if used, are only for convenience and ease of reference and shall be ignored for the purposes of construction or interpretation of any provision of this Agreement;

37. The Client confirms having read and understood the terms & conditions of this Agreement, Rights and Obligations, Risk Disclosure Document, Guidance Note, Policies and Procedures and other relevant document(s) provided to the client as part of the account opening form and accepts and agrees to be bound by the terms and conditions including those excluding /limiting the Member Broker's and Exchange's liabilities.

IN WITNESS thereof the parties of the Agreement have caused these presents to be executed as of the day and year first above written.

Signed and Delivered by			
Hotline Capital Services Pvt. Ltd..			
Authorised Signatory			
Place of execution		Date of execution	
WITNESS :	Name and Signature (on behalf of Member Broker)		
Signature			
Name			
Address			

Signed and Delivered by			
Client- Name and Signature			
Signature  (27)			
Client Name			
Place		Date	
WITNESS :	Name and Signature (on behalf of Client)		
Signature			
Name			
Address			

Note: All references to the specific quantity /rate /fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

STANDING INSTRUCTIONS/AUTHORISATION LETTER

NSE

To

Hotline Capital Services Pvt. Ltd..

Regd. Office : 302, 3rd Floor,5, Pusa Road,
 Karol Bagh, New Delhi-110005
 Tel.: 011-4250 3330/32/32, Fax: 011-2875 5260

SUBJECT: STANDING INSTRUCTIONS/AUTHORISATION LETTER

UCC: _____

I/We have been /shall be dealing through you as my/our Broker on the Equity Exchange(s) such as NSE. As my/our Broker, I/we direct and authorize you to carry out trading / dealing on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my/our verbal directions/authorizations given and carried out by you earlier.

1. I/We understand that you require written instructions for placement/modifying/canceling orders. However, since it is not practical to give written instructions for order, I/We, in terms of the clause 13 of Rights & Obligations of Stock Broker, Sub-broker & Clients, as prescribed by SEBI, hereby authorize you to kindly accept my/our and or my/our authorized person's verbal instructions / orders in person or over phone and execute the same. I/We understand the risk associated with verbal orders and accept the same. I/We agree that I/We shall not be entitled to disown the trades so executed through verbal orders/instructions or ask for proof of placement of orders. However, I/We shall have right to contest discrepancy, if any, within 24hrs of your confirming the trades so executed in my/our said UCC through SMS or ECN, in terms of various clauses, specifically clause 16.6, of the Contract between Member Broker and Client and other documents executed. I/We also understand that the above authorization can be revoked by me/us at any time by giving notice through physical letter by registered A.D. at your above mentioned address
2. I/We specifically agree that no interest, for any reason, shall be payable to me/us on any amount or credit balance lying with MEMBER BROKER.

I/We agree to indemnify you and keep indemnified against all losses, damages and actions which you may suffer or arise as a consequence of your adhering to and carrying out/ my /our directions given above.

I/We have signed/submitted this document at my/our own volition.

Thanking you,

Yours faithfully,

Signature of Client

 (28)

Name:

Date:

RUNNING ACCOUNT AUTHORISATION

NSE

To,

Hotline Capital Services Pvt. Ltd..

Regd. Office : 302, 3rd Floor,5, Pusa Road, Karol Bagh, New Delhi-110005

Tel.: 011-4250 3330/32/32, Fax: 011-2875 5260

SUBJECT: RUNNING ACCOUNT AUTHORISATION

UCC: _____

I/We have been / shall be dealing through you as my/our Broker on the Capital Market and/ or Futures & Options Segments/Currency Derivatives Segments, I / we further authorize you to follow these instructions across exchanges & across segments in which I / we have already opened accounts with you or I/We may open account in future. As my/our Broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I/am/We are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which I/We cannot deal/trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you for the purpose of any other obligations due to me/us and my/our family member(s) due to you and to your group/associate companies. In view of the same it would be proper for you to release the funds and securities due to me/us on my/our specific, either written or verbal instructions. Further, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you. Further I/We understand and agree that any credit amount with you will not attract any interest.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (register of securities) displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I/We agree that I/we shall bring any discrepancy(ies)/dispute in the/arising from the statement of retention of funds or statement of funds/securities or settlement so made to your notice, preferably, within 7 working days from the date of receipt of funds/securities or statement of retention of funds or statement of funds/securities, as the case may be, in writing, through Registered A.D./Speed Post at your corporate office or through email at helpdesk@hotlinecapital.co.in from my/our registered email id. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

I/We understand that Member Broker is not under any obligation to settle an amount upto Rs. 10,000/- payable to me/us in my/our active trading account and I/we hereby give my/our consent to the member broker to retain such dues at the time of settlement of my/our account. Notwithstanding anything contained anywhere in the above authorization signed by me/us, this Running Account Authorisation shall not be applicable in case of any purchases of securities in cash segment or in F&O segment (under physical settlement) and transferred to Client Unpaid Securities Account (CUSA). The securities lying in the CUSA shall be settled as per the rules, regulations & guidelines of the exchanges/SEBI.

Please further note that while I/We am/are entitled to revoke this authorisation at any time, by signing physical letter of revocation at your below mentioned address to allow you to make necessary changes to handle my/our account without running account authorisation.

Hotline Capital Services Pvt. Ltd.**Integrated Back Office : 302, 3rd Floor,5, Pusa Road, Karol Bagh, New Delhi-110005****Tel.: 011-4250 3330/32/32, Fax: 011-2875 5260**

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/monies under this agreement.

My/Our preference for actual settlement of funds and securities is at least:

 Once in a Calender Quarter Once in a Calender Month

Thanking you,

Yours faithfully,

Signature of Client

 (29)

Name :

Date :

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)

NSE

To,

Hotline Capital Services Pvt. Ltd..

Regd. Office : 302, 3rd Floor,5, Pusa Road, Karol Bagh, New Delhi-110005

Tel.: 011-4250 3330/32/32, Fax: 011-2875 5260

SUBJECT: AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)

UCC: _____

I/We have been / shall be dealing through you as my / our Broker on the Capital Market and/ or Futures & Options Segments / Currency Derivatives Segments etc. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you or I/We may open account in future with you. As my / our Broker i.e. agent I/We direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

I/We understand that, I/ we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/ we hereby opt for receipt of contract notes & other documents in electronic form, I /We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account(s) / email id on your record for sending the contract notes to me / us.

1
2

I/ We agree not to hold you responsible for late / non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I/ we agree that the log reports/other communications of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt/delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) /email id(s).

In case, in any of the above segments / exchanges due to any reason, whatsoever, if you want to send contract notes in physical form including bouncing of email, I / we here by permit you to send the same in physical mode and charges, if applicable, shall be debited to my/our account.

I/We understand that I/We am/are required to intimate any change in the email id/ email account mentioned herein above needs to be communicated by me through a duly signed request letter in original to you by registered A.D. at your following address, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Hotline Capital Services Pvt. Ltd.**Integrated Back Office : 302, 3rd Floor,5, Pusa Road, Karol Bagh, New Delhi-110005****Tel.: 011-4250 3330/32/32, Fax: 011-2875 5260**

I/We agree that till the time the change in email address(s) is not updated in your records, the ECN and other documents sent to existing email address (s) with you shall be deemed to be a valid delivery and I/We shall not hold you responsible for any direct or indirect consequences faced by me/us on this account.

I/We have signed/submitted this document on my/our own volition.

Thanking you,

Yours faithfully,

Signature of Client

 (30)

Name:

Date:

Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18,2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23,2006 and ISD/AML/CIR-1/2010 dated Feb. 12, 2010 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

Signature of Client

 (31)

Name :

Date :

Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

To,

Hotline Capital Services Pvt. Ltd..

Regd. Office : 302, 3rd Floor,5, Pusa Road, Karol Bagh, New Delhi-110005

Tel.: 011-4250 3330/32/32, Fax: 011-2875 5260

SUB:- LETTER OF AUTHORITY TO DEAL WITH THE STOCK BROKER.

UCC: _____

I/we have been / shall be dealing through you as my/our Broker on the Capital Market(Cash) Segment and/ or Futures & Options Segment(s) and/or Currency Derivatives Segment. As my / our Broker i.e. agent I/we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below. Please treat these instructions as written ratification of my / our verbal directions/authorizations given and carried out by you earlier

I/we authorize Mr./Mrs./ Ms. _____
S/o, W/o, D/o _____ to deal / transact on my / our behalf and to place orders, give instructions through telephone / voice mail / email / fax / letters or other modes of communication including oral communication make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act (s) on my / our behalf which I/ we can do and I/ we the undersigned do hereby agree and declare and confirm that all the acts and things done by him / her or his/ her substitutes shall be my / our acts, deeds and things validly done by me/ us to all intents and purposes.

I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/ our directions given above. I/We have signed/submitted this document at my/our own volition.

Thanking you,

Yours faithfully

Signature of Client 

Name of Client : _____

Signatures & details of the person Authorized: _____

Signatures _____

Name & Relationship with the client : _____

Address : _____

Dated : _____

- Note :
1. This authority letter shall not be in favour of Employee, Sub-broker or Authorized Person of the Company.
 2. The proof of identity of the person so authorized is also required to be submitted along with this letter.

BOARD RESOLUTIONS

CERTIFIED TRUE COPY OF RESOLUTION PASSED IN THE MEETING OF BOARD OF DIRECTORS OF M/s _____
(Name of the Company) **HELD ON _____ DAY _____ OF _____ 20 _____ AT**
REGISTERED OFFICE OF THE COMPANY

"RESOLVED THAT a Trading and or Demat account in the name of M/s _____ (Name of the Company) be opened with **Hotline Capital Services Pvt. Ltd.**, Member National Stock Exchange of India Ltd (NSE) companies incorporated under the Companies Act, 1956 and having Corporate office at 302, 3rd Floor, 5, Pusa Road, Karol Bagh, New Delhi-110005, for the purpose of operating Demat account, dealing in Capital Market segment, Future and Options segment, Currency Derivatives Segment or any other segment/instrument that may be introduced by the exchanges of which the companies stated herein are member.

"RESOLVED FURHTER THAT Mr. _____, & Mr. _____, Director(s) of the Company whose specimen signatures are attested below be and is hereby Severally/ Jointly authorized on behalf of the company to complete Client Registration form, Agreement and all other documents as may be deemed necessary to open and maintain account with herein mentioned companies. And give effect to this resolution Mr. _____ & Mr. _____, is authorized to operate demat / trading account, sell, purchase, transfer, endorse and/or otherwise deal through companies mentioned herein."

Specimen Signatures of the Authorized persons

Sr. No.	Name	Specimen Signature
1.		
2.		

"RESOLVED FURTHER THAT this resolution be communicated to the Hotline Capital Services Pvt. Ltd., remain in force until notice in writing be given to the Companies mentioned herein."

For M/s _____ (Name of the Company)

Chairman

Form No.: _____



HOTLINE CAPITAL SERVICES PVT. LTD.

Member : NSE (CM, F&O, Currency)

Registered Office :

302, 3rd Floor, 5, Pusa Road, Karol Bagh, New Delhi-110005

Ph.: 011 - 4250 3330 / 31 / 32 • **Fax:** 011-2875 5260

E-mail: helpdesk@hotlinecapital.co.in • **Website:** www.hotlinecapital.co.in