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in over 120 cities



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Research

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with human touch

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**Best Retail Brokerage In India**

**Two Years in a Row!**

(Based on Asiamoney Brokers Poll 2022)

Asiamoney Broker's Poll 2022 - India Rankings



## Trading & Demat Account Opening Form

NSDL DPID IN301983

CDSL DPID 12043000

Client Name

Back Office Code

UCC  
Code

Branch

Family  
Code

Demat Scheme

DP Client  
ID

#HelpingIndiansInvest

## CENTRAL KYC REGISTRY | instructions / Check list / Guidelines for filling Individual KYC Application Form

### **A Clarification / Guidelines on filling 'Personal Details' section**

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: Mother's name, Spouse's name, Father's name.

### **B Clarification/Guidelines on filling 'Current Address details' section**

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted PoA does not have current address or address as per PoA is invalid or not in force.
- 3 State/U.T Code and Pin/Post Code will not be mandatory for Overseas addresses.
4. In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
5. In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
6. List of documents for 'Deemed Proof of Address': Document Code Description

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

7. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

### **C Clarification/Guidelines on filling 'Contact details' section**

- 1 Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

### **D Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person, if available.

### **E Clarification on Minor**

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

## FOR OFFICE PURPOSE ONLY

RISK CATEGORISATION	<input type="checkbox"/> LOW RISK	<input type="checkbox"/> MEDIUM RISK	<input type="checkbox"/> HIGH RISK	
KRA REGISTRATION DETAILS (If client is already registered with RKA)	<input type="checkbox"/> CVL	<input type="checkbox"/> NDML	<input type="checkbox"/> CAMS	<input type="checkbox"/> DOTEX
	STATUS :			
FORM CHECKED BY				
FORM CAPTURED BY				
FORM AUTHORISED BY				
DATE OF ACCOUNT OPENING				

### **ADDITIONAL INSTRUCTION**

1. Minor Can Open Trading Account for Limited Purpose Allow only sell of shares Received on account of IPO & Stock Received through Gift, Normal/Intraday trading will not allow
2. Joint Demat A/c is not permitted with Minor. PAN and Proof of address of both Minor and Guardian to be submitted.
3. NRI cannot deal in Currency Derivative Segment.
4. Trading A/c cannot opened in joint names.
5. All corrections on the form should be countersigned by the client.
6. In case of an employee of another member, NOC from employer is required.

# INDEX

S. No.	Name of the Document	Brief Significance of the Documents	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	Account Opening Form	A. KYC Form (Individual) Document Capture the basic information about the Client and additional information relevant to trading and demat account. B. Form For Nomination/Opting out of Nomination C. Tariff Sheet- Details of Charges for Demat services, rates of brokerage and other charges for trading and account. D. KYC Form (Non-Individual) Document Capture the basic information about the Client and additional information relevant to trading and demat account.	2-8 9-10 11 12-19
2	Policies and Procedures	Document describing significant policies and procedure for equity, derivatives and Commodity Derivatives.	20-23
3	Right and Obligations Documents of BO & DP	Rights & obligations documents of BO & DP for a Person seeking to open a beneficial owner's account (for opening of Demat Account)	SEPARATE COPY FOR CLIENT
	Right and Obligations of Member Authorized person and Clients	Document stating the Rights & Obligations of Member/ Authorised person/ Sub broker and Client for trading on Exchanges (Including addition rights & obligations in case of internet/wireless technology based trading)	
	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities / commodities market.	
	Guidance Note- Do and Don'ts	Document detailing do's and don'ts for trading on Exchange for the education of the investors.	
<b>VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
4	Internet & Wireless Technology based trading facility	Document relating to Securities Trading using Internet / Wireless Technology	24
5	Running Account Authorization and ECN Declaration	Letter of Authorization for maintaining a Running Account with Arihant and Client consent to received documents in electronic form.	25
6	Additional Terms and conditions	Contains additional terms and condition for operational convenient / maintenance of account between client and broker.	26-27
7	Authority Letter and consent for trading in Commodity options along with Category	Authority Letter and consent for trading in Commodity options	28
8	DDPI (Demat debit and Pledge instruction)	To effect transfer of securities from Investor Demat Account to clearing house / Stock brokers account for settlement obligation / Margin obligation / Tender offers as per SEBI circular no. SEBI/HO/MIRSD/MIRSD-POD-1/P/CIR/2022/137 dated 06 <sup>th</sup> October 2022.	29
9	Application form for Mutual Fund Investment and Terms and condition.	Document for availing of Mutual fund Services for BSE star MF and Terms and conditions for Mutual Fund Investment.	30-32
10	Terms & Condition-Cum Registration	Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts From CDSL [SMS Alerts will be sent by CDSL to BOS for all debits]	33-34
11	IPV Declaration		35
12	MITC		36
13	BSDA		37-38
Name of Stock Broker		Arihant Capital Markets Limited	
Name of Stock Exchanges and Segment		07839-NSE/0313-BSE Cash, F&O, Currency, SLB	
		56565-MCX / 01274 - NCDEX Commodity Derivatives	
Depository		NSDL-IN301983 AND CDSL-12043000	
SEBI Registration No.		Stock Broker INZO00180939, Depository Participant IN-DP-127-2015	
Registered and Correspondence Office		6, Lad Colony, Y.N. Road, Indore -452001 Ph. No.0731-4217100,101 Fax: 0731-4217199	
COO Details: PRANEET MAHESHWARI Phone: 0731 -4217100, Email ID: praneet.maheshwari@arihantcapital.com Compliance officer (Exchange) :- Sudeep Jain Phone: (0731)4217100, Email ID: compliance@arihantcapital.com Compliance officer (DP):- Lokesh Soni Phone: 0731-4217100, lokesh.soni@arihantcapital.com			
For any grievance / dispute please contact Arihant Capital Markets Limited at the above address or email id : <a href="mailto:complaint@arihantcapital.com">complaint@arihantcapital.com</a> and Phone no. 0731-4217100			
<b>In case not satisfied with the response, please contact the concerned exchange at:</b> Exchange / Depository Name, Email id & Phone No.: NSE - ignse@nse.co.in (022) 265981 90, BSE - is@bseindia.com (022) 22728097, MCX - grievance@mcxindia.com (022) 66494000/67318888, NCDEX - ig@ncdex.com (022) 66406789 NSDL - info@nsdl.co.in (022) 24994200.			
You can also lodge your grievances with SEBI at <a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a> For any queries, feedback or assistance, please contact SEBI office or toll free			

Helpline at 1800-22-7575 / 1800-266-7575

**Filing of complaints on SCORES Easy & quick**

- a. Register on SCORES 2.0 portal.
- b. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, Email ID,
- c. Benefits: Effective communication and Speedy redressal of the grievances

SCORES website: <https://scores.sebi.gov.in/>

**Know Your Client (KYC)****Application Form (For Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters  
Fields marked \* are mandatory

Fields marked \* are pertaining to CKYC and mandatory only if  
processing CKYC also



**ArihantCapital**  
Generating Wealth

Application Number:

CKYC Number:

Application Type\*:  New KYC  Modification KYC

**KYC Mode\***: (Please Tick ())

Normal  EKYC OTP  EKYC Biometric  Online KYC  Offline EKYC  Digilocker  KRA

**1. Identity Details** (please refer guidelines overleaf)

PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

Name\* (same as Id proof) \_\_\_\_\_

Mother Maiden Name (If any) \_\_\_\_\_

Fathers/Husband Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Gender\*  Male  Female  Transgender

Marital Status\*  Single  Married

Nationality\*  Indian  Other \_\_\_\_\_

Residential Status\*  Resident Individual  Non Resident Indian

(Please Tick ()  Foreign National  Person of Indian Origin<sup>+</sup>

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC.  
Select NRI or Foreign National based on Nationality of the individual)

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

Recent passport size  
Applicant Photo

Cross Signature across photograph

**GROSS ANNUAL INCOME DETAILS**

Income Range per annum (Please tick (✓)any one :  Below ₹ 1 Lac  ₹ 1 - 5 Lacs  ₹ 5 - 10 Lacs  ₹ 10 - 25 Lacs  More than ₹ 25 Lacs

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

<input type="checkbox"/> A Aadhaar Card	XXXX XXXX _____
<input type="checkbox"/> B Passport Number	_____ (Expiry Date)
<input type="checkbox"/> C Voter ID Card	_____
<input type="checkbox"/> D Driving License	_____ (Expiry Date)
<input type="checkbox"/> E NREGA Job Card	_____
<input type="checkbox"/> F NPR	_____
<input type="checkbox"/> Z Others	_____ (any document notified by Central Government)
<input type="checkbox"/> Identification Number	_____

**2. Address Details\*** (please refer guidelines overleaf)**A. Correspondence/ Local Address\***

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

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

Applicant SIGN



**B. Permanent residence address of applicant, if different from above A / Overseas Address\* (Mandatory for NRI Applicant)**

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_

Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified**Proof of Address\*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted) A Aadhaar Card XXXX XXXX \_\_\_\_\_ B Passport Number \_\_\_\_\_

(Expiry Date) \_\_\_\_\_

 C Voter ID Card \_\_\_\_\_ D Driving License \_\_\_\_\_

(Expiry Date) \_\_\_\_\_

 E NREGA Job Card \_\_\_\_\_ F NPR \_\_\_\_\_ Z Others \_\_\_\_\_

(any document notified by Central Government)

 Identification Number \_\_\_\_\_**3. Contact Details (in CAPITAL)**

Email ID\* \_\_\_\_\_

Mobile No.\* \_\_\_\_\_

Tel (Off) \_\_\_\_\_ Tel (Resi) \_\_\_\_\_

**4. Application Declaration**

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

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

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Date \_\_\_\_ (DD-MM-YYYY)

PLACE :

Applicant e-SIGN

Applicant Wet Signature

**5. For Office use Only****In Person Verification (IPV) Carried Out By\*****Intermediary Details\***

IPV Date \_\_\_\_\_

 Self certified document copies received (OVD)

Emp. Name \_\_\_\_\_

 True Copies of documents received (Attested)

Emp. Code \_\_\_\_\_

AMC/ Intermediary Name :

Emp. Designation \_\_\_\_\_

ARIHANT CAPITAL MARKETS LTD

**Employee Signature and Stamp****Institution Name and Stamp**

**ADDITIONAL INFORMATION FOR TRADING ACCOUNT** (Please fill this form in ENGLISH and in BLOCK(CAPITAL) LETTERS)

**A. IDENTITY DETAILS**

Name of Applicant/ Corporate /  
HUF / Firm

**B. DEPOSITORY ACCOUNT DETAILS : [Please enclose, Demat Master or Recent Holding Statement issued by DP bearing name of the client]**

Depository Name  NSDL  CDSL

Name of DP

DP ID

Client ID

**TRADING PREFERENCES-** Please sign in the relevant boxes where you wish to trade.

**STOCK EXCHANGES**

**C. NATIONAL STOCK EXCHANGE (NSE) AND BOMBAY STOCK EXCHANGE (BSE)**

ALL SEGMENT	CASH / MUTUAL FUND	SLBM	F&O	Currency

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

1. \_\_\_\_\_  
2. \_\_\_\_\_



**COMMODITY EXCHANGES**

S.r No.	Name of the national Commodity Exchange	Date of Consent for trading on concerned Exchange	Client Signature
1.	Multi Commodity Exchange of India Ltd. (MCX)		
2.	National Commodity & Derivatives Exchange Ltd. (NCDEX)		

\* If client wants to trade in Currency Derivative, sign also required in boxes mentioned along with copy of 6 month bank statement.

**D. PAST ACTIONS**

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / any authority against the applicant / constituent or its partner / promoters / Wholetime Director / authorised person in charge of dealing in securities during the last three years.

**E. DEALING THROUGH AP & OTHER STOCK BROKERS**

If client is dealing through the AP provide the following details

AP Name

Exchange Reg. No. : NSE

BSE

Regd. Office Address

Tel.No.:

Fax:

Website :

Whether dealing with any other stock broker (in case dealing with multiple stock brokers provide details of all)

Stock Broker Name

Client Code

Exchange

Details of disputes / dues pending from / to such stock broker / sub0broker

**F. INTRODUCER'S DETAILS**

Status of the introducer	Authorised Person <input type="checkbox"/>	Employee <input type="checkbox"/>	Remiser <input type="checkbox"/>	Existing Client <input type="checkbox"/>	Other Please Specify .....
Address (With City & State)	First Name		Middle Name		Surname
	Contact Number			PIN	
Introducer's ID Proof No. (Enclose copy)	Introducer's Signature				

**G) GROSS ANNUAL INCOME DETAILS**

 Income Range per annum (Please tick (✓) any one :  Below ₹ 1 Lac  ₹ 1 - 5 Lacs  ₹ 5 - 10 Lacs  ₹ 10 - 25 Lacs  More than ₹ 10 - 25 Lacs

**H) IN CASE OF NRIS / FOREIGN NATIONALS**

RBI Approval Reference Number

 RBI Approval Date 

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

**I) BANK DETAILS**

1. Bank Account Type	<input type="checkbox"/> Savings Account	<input type="checkbox"/> Current Account	<input type="checkbox"/> Other (Please specify) _____
2. Bank Account Number			
3. Bank Name			
4. Branch Address			
City/Town/Village	PIN Code		
State	Country		
5. MICR Code	6. IFSC		

**J) ADDITIONAL DETAILS**

 (Please tick (✓) any one :  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP))

 I/We want to receive transaction alerts in SMS/E-mail from ACML 

 I/We want to receive research call/alerts in SMS/E-mail from ACML 

Request for updation of same mobile number / email id [Please tick (✓) wherever applicable]

	Mobile	I hereby declare that below mobile number belongs to				Relation	
1 <sup>st</sup> Holder		<input type="checkbox"/> Me	<input type="checkbox"/> My Family-	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent parent	<input type="checkbox"/> Dependent Children	
2 <sup>nd</sup> Holder		<input type="checkbox"/> Me	<input type="checkbox"/> My Family-	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent parent	<input type="checkbox"/> Dependent Children	
3 <sup>rd</sup> Holder		<input type="checkbox"/> Me	<input type="checkbox"/> My Family-	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent parent	<input type="checkbox"/> Dependent Children	
	Email Id	I hereby declare that below Email Id belongs to				Relation	
1 <sup>st</sup> Holder		<input type="checkbox"/> Me	<input type="checkbox"/> My Family-	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent parent	<input type="checkbox"/> Dependent Children	
2 <sup>nd</sup> Holder		<input type="checkbox"/> Me	<input type="checkbox"/> My Family-	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent parent	<input type="checkbox"/> Dependent Children	
3 <sup>rd</sup> Holder		<input type="checkbox"/> Me	<input type="checkbox"/> My Family-	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent parent	<input type="checkbox"/> Dependent Children	

**FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL**

Client Name

	First / Sole Holder	Second Holder (if any)	Third Holder (if any)
1.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other
3.	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other

**Note:** If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA/ CRS. This declaration form can be downloaded from <http://www.arihantcapital.com> or call at centralized nearest Arihant office or write to us at [feedback@arihantcapital.com](mailto:feedback@arihantcapital.com)

**DECLARATION**

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



1) \_\_\_\_\_

Sole / First Holder

2) \_\_\_\_\_

Second Holder

3) \_\_\_\_\_

Third Holder

 Date : 

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

 Place : \_\_\_\_\_

**PART-II - ACCOUNT OPENING FORM (FOR INDIVIDUALS)**

**ADDITIONAL INFORMATION FOR DEMAT ACCOUNT (Please fill all the details in CAPITAL LETTERS only)**

**Annexure - J**

NSDL  CDSL

DP ID:

Client - ID

Date:  D  D  M  M  Y  Y  Y

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

**A) DETAILS OF ACCOUNT HOLDER(S):**

Name Sole / First Holder	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"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify)	
Name Second Holder	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"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify)	
Name Third Holder	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"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify)	

**B) For 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 Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below**

a) Name	b) PAN
---------	--------

**C) TYPE OF ACCOUNT**

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI - Repatriable	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Margin
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Promoter	<input type="checkbox"/> Others (Please specify) .....

**D) STANDING INSTRUCTIONS**

1	I/We hereby authorise you to receive credits automatically into my/our account.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Account to be operated through Power of Attorney (POA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3	SMS Alert facility: [Mandatory if you are giving Power of Attorney (POA). Ensure that the mobile number is provided in the KYC Application Form]		
Sr. No.	Holder	Yes	No
	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>
	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>
4	Mode of receiving Statement of Account [Tick any one]	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].	

**E) GUARDIAN DETAILS (Where sole holder is a minor) :**

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]		
Guardian Name	PAN	
Relationship of Guardian with minor		

**F) DECLARATION**

The rules and regulations of the Depository and Depository Participants 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. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Name(s) holder(s)		Signature(s) of holder(s)
Sole/First Holder / Guardian (in case sole holder is minor) (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

**G) OPTION FORM FOR ISSUE OF DIS BOOKLET**

 Date              

DP ID								Client ID						
First Holder Name														
Second Holder Name														
Third Holder Name														

(Select one of the options given below)

I / We hereby state that:

**OPTION 01** 

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL/NSDL account though I / we have issued a Power of Attorney (POA) /DDPI registered for eDIS/executed PMS agreement in favour of / with Arihant Capital Markets Ltd. (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder Clearing Member/by PMS manager/for executing delivery instructions through eDIS.

Yours faithfully

DP ID	First/Sole Holder	Second Jiont Holder	Third Jiont Holder
Name			
Signature			

OR

**OPTION 02** 

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/ DDPI registered for eDIS /executed PMS agreement in favour of / with Arihant Capital Markets Ltd. (name of the Attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet to me/ us immediately on my / our request at any later date.

Yours faithfully

DP ID	First/Sole Holder	Second Jiont Holder	Third Jiont Holder
Name			
Signature			

**Additional Information for Demat Account Opening form in case Joint Account Holder**

Sole / First Holder Name			
Second Holder Name			
Third Holder Name			
For Joint account, communication to be sent to (see Note)	<input type="checkbox"/> First Holder	<input type="checkbox"/> All Joint Account Holder	
Mode of Operations for Joint Accounts	<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the holder or survivor(s)	<input type="checkbox"/> Only First holder

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze / unfreeze of account and / or securities and / or specific number of securities will be permitted.

Name(s) holder(s)	Signature(s) of holder(s)
Sole/First Holder / Guardian (in case sole holder is minor) (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

Note:-

1. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
2. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at above. In case 'All joint account holder's is opted, communication to first holder will be sent as per the preference mentioned at above and communication to other holders will be in electronic mode. The default will be communication to 'first holder', if no option selected.
3. Strike off whichever is not applicable.

## ADDITIONAL INFORMATION

Type of Account (Please tick whichever is applicable)			
Status	Sub - Status		
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Directors Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Individual Director <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (Specify) _____	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (Specify) _____	
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National Depository Receipts	<input type="checkbox"/> Others (Specify) _____
STANDING INSTRUCTIONS			
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account Statement Required		<input type="checkbox"/> As per SEBI Regulation	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction cum-Holding statement at the email id		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We would like to share the email id with the RTA		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We Would like to receive the Annual Report (Tick the applicable box, if not marked the default option would be in Electronics)		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We wish to receive dividend / Interest directly in my bank account as per bank details through ECS (if not marked, the default option would be Yes ) [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We instruct the DP to receive each and every credit in my / our account		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We wish to receive debit/credit information in my / our demat account directly form depository at my Email ID & Mobile number as mentioned in the KYC Form		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We with to receive Consolidated Account Statement (CAS) from the Depository		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Confirmation to opt this demat account for BSDA (Basic Services Demat Account)		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Demat Debit and Pledge Instruction (DDPI) Contract note		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Contract note		<input type="checkbox"/> Electronics	<input type="checkbox"/> Physical <small>In case of Physical please check Tariff sheet</small>
Nomination Option:-			
<input type="checkbox"/> I/We wish to make a nomination. (Details are provided in Nomination Form Prescribed by SEBI) <input type="checkbox"/> I/We wish to Opt out a nomination. (Declaration Form opting out of nomination as prescribed by SEBI)			
SMS Alert Facility Refer Terms & Condition given as <b>Annexure 2.4</b>		MOBILE NO. +91 <small>[(Mandatory, if you are giving DDPI (If POA is not granted &amp; you do not wish to avail of this facility, cancel this option).</small>	
I have read and understood the Terms and Conditions for SMS Alert and TRUST Facility as prescribed by CDSL. Refer - <a href="https://www.cdslindia.com/downloads/Operating%20Instruction/DP%20Annexures -as-of-June-2019.pdf">https://www.cdslindia.com/downloads/Operating%20Instruction/DP%20Annexures -as-of-June-2019.pdf</a>			
Easi	To register for easi, please Visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, trans actions and value of the portfolio online.		
DECLARATION			
I/We have received and read the Rights & obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and under take to intimate the DP any change(s) in the details/particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material any information will render my account liable for termination and suitable action.			
Name(s) of the holder(s)		Signature(s) of the holder(s)	
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

**FORM FOR NOMINATION**  
*(To be filled in by individual applying singly or jointly)*

Date D D M M Y Y Y Y UCC/DP ID I N Client ID

I/We wish to make a nomination. [As per details given below]

Nomination Details		Nomination Registration No.		
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all assets held in my/our account in the event of my/our death.				
Nomination can be made upto three nominees in the account.		Details of 1 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee	Equally [If not equally, <input type="checkbox"/> 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			
6	Email ID of Nominee			
7	Nominee Identification details -  [Please tick any one of following and provide details of same]  <input type="checkbox"/> 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			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:				
8	Date of Birth (in case of minor nominee(s))			
9	Name of Guardian (Mr./Ms.) (in case of minor nominee(s))			
10	Address of Guardian(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 <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			
Name(s) of holder(s)			Signature(s) of holder	
Sole/ First Holder / Guardian (in case sole holder is minor) (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

**Notes:**

1. 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.
2. 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.
3. 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.
4. 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.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
6. 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.
7. 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).
8. 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.
9. 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 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. 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.
11. Savings bank account details shall only be considered if the account is maintained with the same participant.
12. DP ID and client ID shall be provided where demat details is required to be provided.

 ARIHANT Capital Markets Ltd.	<b>Declaration Form for opting out of nomination</b>																	
Date <input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/>	<input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	UCC/DP ID <input type="text" value="I"/>	<input type="text" value="N"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Client ID <input type="text"/>			
Sole/ First Holder Name																		
Second Holder Name																		
Third Holder Name																		
I / We hereby confirm that I/We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.																		
<b>Name(s) of holder(s)</b>													<b>Signature(s) of holder</b>					
Sole/ First Holder / Guardian (in case sole holder is minor) (Mr./Ms.)																		
Second Holder (Mr./Ms.)																		
Third Holder (Mr./Ms.)																		

# TARIFF SHEET

<b>Demat Services and charges Schedule (Schedule A)</b>								
S.No.	Services	BSDA	Investor/POA	(ELT)	(MLT)	Freedom 3K	Freedom 7K	
1	Account Opening Charges	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Annual Maintenance Charge	Nil-If Value of holding is below Rs. 400000/-, Rs.100/- If value of holding between Rs. 400001 and Rs. 100000/-	First Year Free AMC and next year Scheme will converted to 352/- (Individual) and Rs. 800/- (Corporate) Annually.	1900/- (One Time for Life Time AMC free)	725/- (One time for 5 Year AMC charges free)	Nil	Nil	
3	Interest free Refundable Security Deposit							
4	Dematerialization Charges							
5	Rematerialization Charges							
6	Off-Market/TDT transfer in Arihant							
7	Off-Market/TDT transfer other than Arihant							
8	DIS Slip book issuance charges	100/-						
9	Market Sale in Arihant	Subject to minimum 30/- or 0.04% of value whichever is higher	Subject to minimum 30/- or 0.04% of value whichever is higher	15/-	10/-	10/-	Nil	
10	Market Sale other than Arihant							
11	Redemption fo MF units					Subject to minimum 100/- or 0.04% of value whichever is higher	Subject to minimum 100/- or 0.05% of value whichever is higher + NSDL/CDSL Charges	
12	Reconversion of MF units into SOA						Subject to minimum 100/- or 0.05% of value whichever is higher + NSDL/CDSL Charges	
13	Conversion of units represented by SOA							
14	Demat Rejection/Cancellation Charges							
15	A NSDL Settlement fee							
16	Hold/NDU Request							
17	Margin Pledge Creation							
18	Margin Pledge Closure/MTF Pledge Closure/Invocation							
19	MTF Margin Pledge Creation							
20	Pledge Creation							
21	CUSPA Pledge/Unpledge/Invocation charges							

**Notes:** ▶ Cheque returned charges will be levied @ Rs. 250/- per instrument.

▶ Standard Trading and Demat modification charges 100+GST per modification.  
Interest @ 13% per annum shall be charged, if bill is not paid by due date.

▶ Cheques/Pay Order/DD issued towards any of the above-mentioned services, should be in favor of Arihant Capital Markets Ltd. payable at the branch where the form is submitted.

▶ The Client authorizes ACML to recover the D/P charges on various transactions from time to time from the regular shares dealing/deposit account with ACML.

▶ Charges schedule is based on depository charges and is subject to change at the sole discretion of ACML with one month's notice.

▶ We accept the above schedule of charges with all terms and conditions mentioned above.

**Trading Account Charges :** DDPI charges 150/- KRA & Processing Charges Cash (where customer opted KRA/BSE/NSE) 150+GST, KRA & Processing Charges-Cash & Commodities (where customer opted KRA/BSE/NSE/NCDEX /MCX) 350+GST. Value added services (SMS) 35 Paise per SMS, Physical Contract Note charges 100+GST per contract note.

## Brokerage Rates for NSE/BSE/MCX/NCDEX

CASH SEGMENT	EQUITY DERIVATIVES				CURRENCY DERIVATIVES				COMMODITY FUTURES AND OPTIONS			
	Particulars	Minimum Paise	Normal %	Particulars	Minimum Paise	Normal %	Particulars	Minimum Paise	Normal %	Particulars	Minimum Paise	Normal %
Square Up				Square Up			Square Up			Square Up		
Delivery				Delivery			Delivery			Delivery		
							Per Lot			Per Lot		

**Notes:** Transaction charges and all statutory levies including but not limited to Securities transaction tax, GST, Stamp Duty, education cess, SEBI turnover fee shall be levied as per the rates applicable from time to time. Any statutory liability that may arise on account of trading, past and present, shall be charged as per rates applicable.  
Arihant Capital Markets Limited reserve the right to levy additional charges for duplicate contract note issued, duplicate/sauda summary, physical statement, and bounced cheque/stop payment of cheque and other services.  
Minimum processing charges per contract note Rs.30/-, Other Physical Report (like Holding, ledger, cap gain and P&L etc) Minimum ₹ 50/- or ₹ 5/- Per page whichever is higher + GST.

1) 

Sole/ First Holder

2) 

Second Holder

3) 

Third Holder

## **POLICIES AND PROCEDURES**

### **(Equity & Derivatives Segment)**

#### **(1) Policy for Penny Stock**

Penny stocks are stocks that trade at a relatively low price and market capitalization. These type of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depending on the market condition and Risk Management System (RMS) policy of the company the RMS department reserves the right to refuse to provide the limit in penny stocks and losses, if any, on account of such refusal shall be borne by client only.

#### **(2) Setting up client's exposure limits**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker 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 stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any 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 stock broker / exchange / SEBI and any other reasons which the stock 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.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

#### **(3) Applicable brokerage rate**

Brokerage will be charged within the limits prescribed by SEBI / Exchange.

#### **(4) Imposition of penalty/delayed payment charges**

Clients will be liable to pay late Pay-in / delayed payment charges for not making payment of their pay-in / margin obligation on time as per the exchange requirement / schedule at the rate of 2% per month.

The client agrees that the stock broker may impose fines/penalties for any orders/trades / deals / actions of the client which are contrary to this agreement/rules/regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of /in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client.

#### **(5) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues "Limited to the extent of settlement/margin obligation."**

Without prejudice to the stock brokers other right (including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's position without giving notice to the client for non-payment of margins or other amounts including the pay-in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations.

The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay-in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like bonus, stock split, right issue etc, for margin or other purpose the benefit of shares due to received under bonus, stock split, right issue etc will be given when the shares is actually received in the stock brokers designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock 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 stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities / shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

## **(6) Shortages in obligations arising out of internal netting of trades**

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- A) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Payin/ Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- B) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- C) 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 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

## **(7) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin / non making of payment for their payin obligation/lawful outstanding debts.

## **(8) Temporarily suspending or closing a client's account at the client's request**

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares / ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

## **(9) Deregistering a client**

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement 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 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 the client being a partnership firm, has any steps taken by the Client and / or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) 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;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) 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;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

## **(10) Inactive Client account**

Client account will be considered as inactive if the client does not trade for period of two year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares / credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive.

The client has to make written request for reactivation of their account.

### **Client's Acceptance of Policies and Procedures stated here in above:**

These Policies and Procedures may be amended /changed unilaterally by the broker, provided the change is informed to me/us with through approved methods.

These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/us and stock Broker before any court of Law/judicial / adjudicating authority including arbitrator/mediator etc.



Signature of the client

## POLICIES AND PROCEDURES

### (Commodity Segment)

#### 1. Refusal of orders for penny/illiquid Commodity

The Commodities Broker shall have the absolute discretion, from time to time, to refuse/partially refuse/accept orders in one or more commodities due to various reasons including trading in penny commodities, market liquidity, value of commodity(ies), illiquid options, far month options, writing of options, market capitalization of the commodities and such commodity (ies) not in demat form, commodities which are not in the permitted list of the Commodities Broker / exchange(s) / SEBI and/or appear under illiquid commodities declared by the exchange(s). It is also provided further that Commodities Broker may ask for compulsory settlement/ advance payment of expected settlement value/delivery of commodities for settlement prior to acceptance / placement of order(s) as well. Losses, if any, on account of such refusal by the Commodities Broker or due to delay caused by such limits, shall be borne exclusively by the client alone.

The Commodities Broker shall not be responsible for any financial or other implications due to such execution, delay in execution or non-execution of any such orders. The Commodities Broker shall have the prerogative to place such restrictions, notwithstanding that the client has sufficient credit or margin available in his account.

The Commodities Broker, may however, allow for acceptance of such orders, for certain commodities on its own discretion, through its specific internal process, instead of allowing such orders through the standard process like online trading platform or its branches.

#### 2. Setting up client's exposure limits

The Commodities Broker, may from time to time, vary limits or impose new limits for the orders that the client can place through the Commodities Broker's trading platforms. The Commodities Broker would have the sole discretion on setting these limits based on its risk perception of the client, Margin received from the client, Market conditions and other factors, but not limited to, limits on account of exchange/ SEBI directions/ limits (such as Commodities Broker level/ market level limits in commodity specific/volume specific exposures etc.). This would include exposure limits, turnover limits, limits as to the number, value and/or kind of commodities in respect of which orders can be placed etc.). The client is aware that the Commodities Broker may be unable to inform the client of such variation, reduction or imposition in advance. The Commodities Broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Commodities Broker's trading system on account of any such variation, reduction or imposition of limits.

The Commodities Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in commodities through the Commodities 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 / commodities or the order being outside the limits set by the Commodities Broker / exchange / SEBI and any other reasons which the Commodities Broker may deem appropriate in the circumstances. Losses, if any, incurred by the client on account of such refusal or delay, shall be borne exclusively by the client alone.

The Commodities Broker shall have the prerogative to allow differential buy and sell limits for its clients depending upon credit worthiness, integrity and past conduct of each client.

#### 3. Applicable brokerage rate

The Commodities Broker is entitled to charge brokerage within the limits imposed by exchange.

#### 4. Imposition of penalty/delayed payment charges/other charges

The Commodities Broker would be entitled to levy or charge delayed payment charges not exceeding 24% per annum on any amounts which are overdue from the client towards trading or on account of any other reasons. The client shall pay to the Commodities Broker brokerage, all taxes, duties, levies to the commodities exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, F&O charges, delayed payment charges, short delivery charges, auction charges, cheque stop payment charges, cheque bounce charges, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account /transactions / services that the client avails from the Commodities Broker.

The Commodities Broker may impose penalties / fines for any orders/trades / deals/ actions of the client which are contrary to Commodities Broker Client Agreement/rules/regulations / Bye-Laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the Commodities Broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client.

#### 5. The right to sell client's commodities or close client's positions, without giving notice to the client, on account of non-payment of client's dues.

The Commodities Broker shall have the right and the prerogative to sell client's commodities, both unpaid commodities as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is either a delay or failure of the client to meet the pay-in/settlement obligations and / or there is delay /failure of the client to bring additional margins to cover the increase in risk in dynamic and volatile market conditions.

The client would be responsible for monitoring his/her/its position (dealings/trades and valuation of commodity(ies)) on his/her/its own and provide the required/deficit margin / commodity(ies) forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the Commodities 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 and that it shall be client's own responsibility to ascertain beforehand the margin requirements for its orders/traders/deals and to ensure that the required margin is made available to the Commodities Broker in such form and manner as may be required by the Commodities Broker. The client shall ensure that funds/commodities are made available in time and in designated form at designated bank(s) and depository account(s) of the Commodities Broker, for meeting his/her/its pay-in/settlement obligation of funds and commodities. The Commodities Broker shall not be responsible for any claim/loss/damage arising out of non-availability/short availability/delayed availability of funds/commodities by the client in the designated account(s) of the Commodities Broker for meeting the pay-in/settlement obligation of either funds or commodities. If the client gives orders/trades in the anticipation of the required commodities being available subsequently for pay-in/settlement 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 commodities/funds for pay-in/settlement for any reason whatsoever including but not limited to any delays/shortages at the exchange or Commodities Broker level/non-release of margin by the Commodities Broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square-off / closing outs etc., shall be solely to the account of the client and the Commodities Broker shall not be responsible for the same in any form or manner whatsoever.

In case the payment of the margin/commodity is made by the client through a bank instrument, the Commodities 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 & subsequent updation in records as per Commodities Broker's process. Where the margin/ commodity is made available by way of commodities, it is upto the Commodities Broker's discretion to decline its acceptance as margin &/or to accept it at such reduced value as the Commodities Broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the Commodities Broker may deem fit in its absolute discretion.

In the event of client failing to maintain or provide the required margin/fund/ commodity(ies) or to meet the funds/ margins/commodities pay-in obligations on immediate basis for the orders/trades/deals of the client and the Commodities Broker shall have the right, without any further notice or communication to the client, to withhold pay-out of funds/commodities, to liquidate commodity(ies), to disable trading facility to the client. Losses, if any, on account of any one or more steps, as enumerated herein above, being taken by the Commodities Broker, shall be borne exclusively by the client alone.

## **6. Conditions under which a client may not be allowed to take further position or the Commodities Broker may close the existing position of a client**

The Commodities Broker may refuse to execute order of a client or may close the existing position of the client due to lack of margin / commodities or the order being outside the limits set by Commodities Broker/exchange/ SEBI. Other reasons for not allowing further positions or closing out of existing positions could be as:

- a) Client has not met his pay-in obligations in cash by the scheduled date of pay-in for purchases done in CM segment.
- b) Non-payment or erosion of margins or other amounts, outstanding debts, etc.
- c) Client is dealing in illiquid scrips or contracts/penny commodity.
- d) Cheque submitted by the client has bounced or clear funds not received with the Commodities Broker for the cheque submitted by the client.
- e) If in the opinion of the Commodities Broker, the client has committed a fraud, crime, or acted in contravention to the agreement.
- f) Non-Payment of Marked to Market loss in Cash.
- g) Open positions in a contract exceed or are close to market wide cut-off limits.
- h) Client's position is close to client-wise permissible open positions.
- i) Intraday orders after the cut-off time would not be allowed.

## **7. Temporarily suspending or closing a client's account**

The Commodities Broker can suspend/close the client account and also withhold the pay-outs of client if there is any judicial or/and regulatory order/action requiring suspension/closure of client's account. The Commodities Broker can also suspend/close the client account if the Commodities Broker observes any abnormal or suspicious activity in the client account through its monitoring and surveillance of the client account. The Commodities Broker may also temporarily suspend/close the client account if there is no activity in the client account for a period, as deemed fit by the Commodities Broker from time to time. The client's account can also be put under temporary suspension/closure if the client has not cleared the uncovered debit in its account or if the client has not submitted Know Your Client (KYC) details sought by the Commodities Broker to fulfil its own surveillance or exchange related requirements. In the event of information/reports reaching the Commodities Broker of the client's death, the account can also be put under temporary suspension/closure. The Commodities Broker can also put the client's account under temporary suspension/closure if the client has failed to provide or update its communication details like correspondence address, Mobile number, landline numbers or E-mail ID. The client may also request the Commodities Broker to temporarily suspend/close his account, Commodities Broker may do so subject to client accepting/adhering to conditions imposed by Commodities Broker including but not limited to settlement of account and/or other obligation.

## **8. De-registering a client**

The client has the option to De-register his account after settling his account with the Commodities Broker. The client would be liable to pay all dues in his account before the De-registration. The Commodities Broker shall have the right to terminate the agreement with immediate effect in any of the following circumstances:

- a) The client account figures in the list of debarred entities published by SEBI.
- b) The actions of the Client are *prima facie* illegal / improper or such as to manipulate the price of any commodities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- c) If there is any legal /regulatory proceeding against the client under any law in force.
- d) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- e) If the Client is in breach of any term, condition or covenant of this Agreement;
- f) When the Commodities Broker is informed or ascertains that the client has deceased / become insolvent / not able to act in the market due to lunacy/disability etc.
- g) The Commodities Broker shall have the right to close out the existing positions, sell the collaterals to recover any dues with or without consent of the client before the de-registration of the client.
- h) Either party will be entitled to terminate the agreement without assigning any reason, after giving notice in writing of not less than 30 days to the other party.

Not with standing any such termination/deregistering, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination/deregistering, shall continue to subsist and vest in/ be binding on the respective parties or his/its respective heirs/executors/administrators/legal representatives/ successors as the case may be.

## **9. INACTIVE CLIENT ACCOUNT**

A client account will be considered as inactive if the client account does not record any trade for 6 months. The trading activity of the client account shall be tracked and a client's account, where no trading is observed for a period of 6 months shall be categorized as inactive (dormant) and put under temporary suspension. ARIHANT CAPITAL MARKETS LIMITED would be placing such accounts under temporary suspension. Once the account is under temporary suspension, the client would not be allowed to login to his account or trade (place orders) either through online mode or by calling/visiting its service branch.

**REACTIVATION:** the client can get such account(s) reactivated by placing a reactivation request. The client needs to submit the Commodities Account Reactivation Form in hard copy directly to our Head office or through signed scan copy on designated email of ARIHANT HEAD OFFICE. Alternatively, the client can submit the same at the nearest service branch as well ARIHANT CAPITAL MARKETS LIMITED shall also have the discretion to reactivate a trading account, after doing adequate due diligence, as the company may consider fit and proper.

## **CLIENT ACCEPTANCE AND ACKNOWLEDGEMENT**

These policies and procedures may be amended/changed by ARIHANT CAPITAL MARKETS LIMITED, provided the change is informed to the client through any one of the means or method like posting on the website of ARIHANT CAPITAL MARKETS LIMITED or sending by speed post / courier/registered AD/ e-mail. These policies and procedures are to be read along with the document executed and shall be compulsorily referred to while deciding any dispute / difference in claims in between client and ARIHANT CAPITAL MARKETS LIMITED in any court of law, judicial / adjudicating authority, including arbitrator, mediator etc.



Signature of the 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 datacard, 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 website 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 is 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 responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a 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.
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 Stockbroker on account of any suspension, interruption, no 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 stockbroker/Exchanges. (All the clauses mentioned in the Rights and Obligations document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.

#### 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.

I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.



Signature of the client

**To,**  
**Arihant Capital Markets Ltd.**  
**6, Lad Colony, Y.N. Road,**  
**Indore - 452001 (M.P.)**

**Date:** \_\_\_\_\_

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/ or Interest Rate Future Segment and / or commodity Segment in order to facilitate ease of operations and upfront requirement of margin for trade, I/we authorize you as under:

I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/ Clearing corporation.

I/We request you to retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange (s)/Clearing corporation, unless I/we instruct you to transfer the same to my/our account. I/We request you to settle my fund account except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt as below:

Quarterly  Monthly

In case I/we have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

I/We confirm you that I can revoke the above mentioned authority at any time by giving written notice to your registered office.



### Electronic Contract Note (ECN) - Declaration

**To,**  
**Arihant Capital Markets Ltd.**  
**6, Lad Colony, Y.N. Road, Indore - 452001 (M.P.)**

I, \_\_\_\_\_ a client with M/s. Arihant Capital Markets Limited, member of National Stock Exchange Limited (NSE), Bombay Stock Exchange Limited, National Commodity and Derivatives Exchange Ltd. (NCDEX) and Multi Commodity Exchange Ltd. (MCX) undertake as follows:

I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want in the electronic form.

I am aware that the Member has to provide electronic contract note for my convenience on my request only.

Though the member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ordered by me.

I have access to a computer and am a regular internet user, having sufficient knowledge of handling email operations.

My email id is\* \_\_\_\_\_. This has been created by me and not by someone else.

I am aware that this declaration form should be in English or in any other language known to me.

I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above email ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me, I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same \*(The email id must be written by own handwriting of the client.)



## **THE CLIENT HEREBY AGREE TO THE BELOW MENTIONED**

- 1.1 The Stock Broker may from time to time impose and vary limits on the orders that the Client can place through the Stock broker's Website (including exposure limits, turnover limits, as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.,). The Client is aware and agrees that the Stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the Stock broker's risk perception and other factors considered relevant by the Stock broker and the Stock broker may be unable to inform the Client of such variation, reduction or imposition in advance. The Client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the Client's inability to route any order through the Stock broker's Website on account of any such variation, reduction or imposition of limits. The Client understands and agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities through the stock broker.
- 1.2 The client shall bring any errors in any report, confirmation or contract note on executed trades (including execution prices, scripts or quantities) to the Stock Broker's notice in writing by an electronic mail or fax within seven working days of receipt of the concerned report, confirmation or contract note. Any other discrepancy in the confirmation or account shall be notified by the client to the Stock Broker in writing via electronic mail or fax within seven working days of receipt of the concerned report, confirmation or contract note. Any other discrepancy in the confirmation or account shall be notified by the client to the Stock Broker in writing via electronic mail or fax within seven working days from the time of the receipt of the first notice. In all cases the Stock Broker shall have a right to accept or reject the client's objection.
- 1.3 The Stock broker may allow/disallow client from trading in any security or cases of securities or derivatives contracts and impose such conditions for trading as it may deem fit from time to time.

### **2. MARGINS**

#### 2.1 Payment through Cheque :

In case where the payment by the Client towards the margin is made through a cheque issued in favour of the Member, any trade(s) would be executed by the Member only upon the realisation of the funds of the said cheque or at the discretion of the Member.

#### 2.2 Margin in form of Securities:

The Client may place margin with the Member in form of securities as approved by the Member. Such securities may at the discretion of the Member be marked as lien in favour of the Member from the depository account of the Client or such securities may be placed in a separate depository account titled "Arihant Capital Markets Ltd." To be earmarked as margin from the Client. The Client agrees and authorise the Member to determine the market value of securities placed as Margin after applying a haircut that the Member deems appropriate. The Client's positions are valued at the latest market price available C marked to market') on a continuous basis by the Member. The Client undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the margins, the Client agrees to replenish any shortfall in the value of the Margins immediately, whether or not the Member intimates such shortfall.

#### 2.3 Type of Margin:

The Member may at its sole discretion prescribe the payment of Margin in the form of cash instead of securities. The Client accepts to comply with the Member's requirement of payment of Margin in the form of cash immediately falling which the Member may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion 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 is hereby fully indemnified and held harmless by the Client in this behalf.

#### 2.4 Margin

The client agrees that any securities placed by client as Margin or for any other purpose with the Member, at the discretion of Member may be placed with Exchanges / Clearing Houses and clearing corporations / Banks / other financial Institutions for the purpose of availing facilities for my/our trades/positions in a manner as permitted by the exchanges /SEBI. The above authorization is for my/own trades/positions and not for any other client.

### **3. REPRESENTATIONS AND WARRANTIES**

- 3.1 The client is aware and acknowledges that the trading over the internet. through computers involve many uncertain factors and complex hardware. software, systems, communication lines peripherals etc., which are susceptible to interruption and dislocation and the Stock Broker's services may at any time be unavailable without further notice. The Stock Broker and the Exchanges do not make any representation or warranty that the Stock Brokers's services will be available to the client at all times without any interruption. The client agrees that he shall not have any claim against the Exchanges or the Stock broker on account of any suspension interruption, non availability or malfunctioning of the Stock Broker's system or service or Exchange's system or service for any reason what so ever.
- 3.2 The client warrants that all or any securities deposited by him with the Stock Broker in respect of margin requirements or otherwise, are owned by him and that the title thereof is clear and free of encumbrances.

### **4. FEES AND BROKERAGES, DEFAULT BY THE CLIENT, TERMINATION AND ARBITRATION, etc. TERMS OF CONSIDERATION**

- 4.1 COMMISSIONS AND BROKERAGE: All commissions and charges to be levied on transactions in securities pursuant to this Agreement shall be payable as mentioned below;
- 4.2 The Client agrees to pay the stock Brokerage, commission, fees, services tax and other taxes and transaction expenses as they exist from time to time and as they apply to the Client's account and transactions, and the services that he receives from the Stock Broker The Stock Broker shall charge brokerage to the Client at a rate as mentioned on the web-site or otherwise intimated and as may be mutually agreed and modified from time to time.
- 4.3 A schedule of brokerage, fees and commissions, applicable service and other taxes and other transaction expenses shall be provided by the Stock broker to the Client in the contract note (including a digital contract note)
- 4.4 USER FEES/OTHER CHARGES: The client agrees that the Stock Broker may charge user fees for the use of any other service including but not restricted to the E-Broking services and dial up services, at a rate mentioned on the web-site or otherwise intimated and as may be modified from time to time.
- 4.5 Other Charges: The Stock Broker may charge any other relevant charge in the manner intimated on the web-site or in any other manner from time to time including but not limited to Trade Commissions, Service Tax, Turnover Charges, Tax Expenses incurred, Stamp Duty, etc., as applicable.

4.6 The Client also agrees and authorizes the Stock Broker, upon receipt of intimation from the designated depository participant, to debit the trading account of the client towards depository charges payable by the client to the designated depository participants and make onward payment to the designated Depository Participant.

#### **5. DEFAULT AND CONSEQUENCES THEREOF**

5.1 The client agrees that he shall be deemed to have defaulted the terms of this Agreement in circumstances including but not restricted to the following:

5.1.1 Any delay in payment of margins, charges or delivery in respect of this agreement for transactions executed on behalf of the client.

5.1.2 Any contravention of the terms contained in this Agreement or on the web site.

5.1.3 Any misrepresentation or false statement or omission, or misleading information supplied by the client to the Stock Broker.

5.2 In the event of default under this agreement by the client, the Stock Broker shall be entitled to any or all of the following courses of action.

5.2.1 Immediate termination of this agreement and terminations of provision of services in terms of this agreement.

5.2.2 Other remedies as may be available in terms of law in force, at that point of time.

5.2.3 Arbitration in terms of this agreement.

5.2.4 Charge an amount that shall not exceed the actual losses incurred by the Stock Broker consequent to the default along with the interest at market rates.

5.2.5 The Client agrees, that without prejudice to any other remedy, the or right prescribed in the presents, the Stock Broker may charge daily interest at the rate of 2% per month or such other rate as may be communicated from time to time for any delay in the payment of charges, margin or any other sum due to the stock broker as the case may be.

#### **6. LIEN/SET-OFF**

6.1 Notwithstanding anything contrary contained in this-agreement, the Stock broker shall have the unrestricted right of lien and set-off as provided in this agreement.

6.2 All the funds of the client in the bank account (for on-line clients) shall be subject to lien for the discharge of any or all payments due to the Stock Broker from the client, or in respect of any other obligation that client may have to the Stock Broker.

6.3 All securities in the demat account opened in terms of this agreement with the depository participant, shall be subject to lien for the discharge of any or all payments due to the Stock Broker or to the depository participant for the client or any other obligation that the client may have to the Stock Broker or to the depository participant, and may be held by the Stock Broker as a security against default, by the client in respect of the services already availed of by the client.

6.4 The enforcement of the lien aforementioned in this clause shall be at the sole and complete discretion of the Stock Broker and the Stock Broker alone may decide the securities to be sold, if any.

6.5 The client authorizes the Stock Broker to block securities against pending order or pledge securities in favour of the Stock Broker against any of his dues, provided that this requirement may be waived by the Stock Broker; at its discretion, by suitable modification to the terms and conditions.

6.6 The client agrees that the Stock Broker shall have the right of setoff amongst all trading account maintained by the client with the Stock Broker.

#### **7. INVESTMENT OR ANY OTHER ADVICE**

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

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

#### **8. TERMINATION**

8.1 Unless specified otherwise, both parties shall be entitled to terminate this agreement at will and without giving any reasons to the other party but not without giving a notice in writing of not less than one month that shall be dispatched to the address mentioned in this agreement. However, such cancellation or termination shall not have any effect on any transaction(s) executed prior to the date of such notice of termination and the rights and obligations in respect of such transactions shall continue to subsist in terms of this agreement, and/ or the terms and conditions as prescribed.

8.2 This agreement shall become effective on the date first written above or the commencement of first transaction, whichever is earlier and shall remain in full force unless and until terminated.

#### **9. JURISDICTION**

The stock broker and the client declare that the transactions executed on the Exchange (NSE/BSE/MCX-SX) are Subject to rules, byelaws and regulations and circulars issued there under of the Exchange (NSE/BSE/MCX-SX) and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the byelaws and regulation of the Exchange for the purpose of giving effect to the provisions of the Rules, byelaws and regulations and circulars issued there under. Subject to this Courts in Indore shall have exclusive jurisdiction for the purpose of giving effect to these provision.

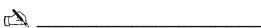
#### **10. PROPRIETARY TRADING**

The Member discloses herewith that it undertakes Proprietary trading in addition to Client based trading.

#### **11. COMPLAINT OR GRIEVANCES**

For any complaint or grievances please email us at : [complaint@arihantcapital.com](mailto:complaint@arihantcapital.com)

**I hereby accept to the terms and conditions as mentioned herein above.**



## CATEGORY DECLARATION

**VOLUNTARY**

(For Commodity Segment)

Pursuant to SEBI circular SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated 04th January 2019, I/we declare and confirm that I/we fall under following categories for my/our trades on various commodity exchanges like MCX, NCDEX, NSE, BSE etc. - commodity wise.

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

Category Particular	FPOS/ Farmers	Value Chain Participants / Hedgers 2	Proprietary traders	Domestic financial institutional investors	Foreign participants	Other:
Category Code	1	2	3	4	5	6
<b>A. Bullion</b>	Gold		Silver		Diamond	Other: _____
<b>B. Base Metal</b>	Copper	Zink	Aluminum	Nickel	Other: _____	
<b>C. Energy</b>	Crude Oil		Natural Gas		Other: _____	
<b>D. Agriculture Commodities</b>	Guar Gum	Kapas	Castor	Soyabean	Maize Rabi	Black Pepper
	Cardamom	Cotton	Chana	Barly	Corriander	Cotton Seed Oil Cake
	Jeera	Copra	Jute	Palm	Moong	Maize Kharif / South
	Sugar	Guar Seed	Turmeric	Rubber	Pepper	Refined Soya Oil
	Wheat	Mustard Seed	Paddy	Crude Palm Oil	Mentha Oil	Other: _____

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

\_\_\_\_\_  
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## AUTHORITY LETTER

**VOLUNTARY**

Authority to place orders / instructions with ACML on my behalf. I hereby authorize the following persons, whose specimen signature is appended hereunder.

1. To place orders/give instructions to ACML for buying/selling of securities/contract on the Stock Exchanges.
2. Sign, Execute and/or acknowledge any papers including contract notes, delivery letters and such documents as may be necessary from time to time for the purpose of my/our secondary market transactions.

### Name of Authorised Person(s)

1.	2.
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I hereby agree and understand that, ACML reserve the right to refuse to execute any instruction given by the Authorized person. If details of the Authorised Person matches or apparently resembles with the details appearing in the list of debarred entities published by the SEBI/Exchanges/any regulatory authority.

This authority shall remain in force until otherwise notified by me in writing.

\_\_\_\_\_  
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## CONSENT FOR TRADING IN COMMODITY OPTION

**VOLUNTARY**

To,  
Arihant Capital Markets Limited,  
6, Lad Colony, Y.N. Road,  
Indore -452001 (M.P.)

I/We intend to trade in Commodity Options subject to regulatory requirement of the Exchange and SEBI from time to time.

I/We hereby agree & give consent to enable my trading account for trading in Commodity Options Segment subject to the rules & regulations of the company and all other regulators.

\_\_\_\_\_  
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**Demat Debit and Pledge Instruction (DDPI)**

Date			UCC Code							
DP ID	NSDL: IN301983	CDSL: 12043000	Client Id							
Name										
S. No.	<b>Purpose</b>							<b>Signature of Client</b>		
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.							Sole / First Holder		
								Second Holder		
								Third Holder		
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.							Sole/First Holder		
								Second Holder		
								Third Holder		
3	Mutual Fund transactions being executed on stock exchange order entry platforms and which shall be in compliance with SEBI circulars SEBI/HO/IMD/IMD-I DOF5/P/CIR/2021/634 dated October 04, 2021, SEBI/HO/IMD/IMD-I DOF5/P/CIR/2021/635 dated October 04, 2021 and SEBI/HO/IMD/IMD-I DOF5/P/CIR/2022/29 dated March 15, 2022 or any other circular which may be issued in this regard.							Sole / First Holder		
								Second Holder		
								Third Holder		
4	Tendering shares in open offers which shall be in compliance with SEBI circular SEBI/HO/CFD/DCR-III/CIR/P/2021/615 dated August 13, 2021 or any other circular which may be issued in this regard.							Sole/First Holder		
								Second Holder		
								Third Holder		

**SCHEDULE A - LIST OF DEMAT ACCOUNTS**

DP NAME	NSDL DEMAT ID /CM BP ID	CDSL DEMAT ID /CM ID	PURPOSE
Arihant Capital Markets Ltd.	IN558703	1204300000000065	NSE Pool Account (CM ID- M50590)
		120430000000261	NSE SLB (CM ID-M50590)
	IN603131	1204300000000099	BSE CM Principal (CM ID-313)
		1100001000015394	BSE (ICCL) Early Payin Account I
	IN301983-11319671	1204300000015430	TM/CM-Client Securities Margin Pledge A/c
	IN301983-11319698	1204300000015426	TM-Client Securities Margin Pledge A/c
	IN301983-11323362	-	TM/CM-Client Securities Margin Pledge A/c - Commodity Segment
	IN301983-11319680		TM-Client Securities Margin Funding A/C
ICCL	IN620031		TM/CM Client Securities Margin Pledge A/C
			MF Redemption BSE (CM Id - 313)

Note:- This Authorisation will continue to remain valid until revoke in writing by me/us. (As per SEBI Circular No.

SEBI/HO/MIRSD/DOP/P/CIR/2022/44 dated April 04, 2022.

Note: In Case of HUF Account Co-Parteners Signature will be Required

**I/We accept (For Arihant Capital Markets Ltd.)**



**(Authorised Signatory)**

**Date:-**

**Place:-**

**To,  
Arihant Capital Markets Ltd.  
6, Lad Colony, Y.N. Road,  
Indore - 452001 (M.P.)**

## Sub: Acknowledgment

This is to acknowledge the receipt to following documents, I further state and confirm that I have read and understood all the clauses of aforesaid documents.

S.No.	Brief Description of the Documents
1	Duly Executed Copy the KYC
2	Right and Obligations (Trading & Demat)
3	Risk Disclosure document (RDD) for Capital, Derivatives, Currencies and Commodity Segments
4	Guidance Note - Do's and Dont's for trading on the Exchange(s) and depository Services for investors
5	Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009
6	General Terms & Conditions governing securities trading and broking services of Arihant
7	Running account authorization
8	DDPI Documents
9	Tariff Sheet
10	Investor Charter for Stock Broker and Depository

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Arihant.

<b>NACH/ECS/AUTO DEBIT MANDATE INSTRUCTION FORM</b>		UMRN							Date	D	D	M	M	Y	Y	Y				
								Sponsor Bank Code					Utility Code							
TICK(✓)																				
CREATE		I/We hereby authorize						ICCL				to debit (tick✓)					SB/CA/CC/SB-NRE/SB-NRO/Other			
MODIFY																				
CANCEL		Bank a/c number																		
with Bank								IFSC								or MICR				
an amount of Rupees																₹				
FREQUENCY		<input type="checkbox"/> Mthly		<input type="checkbox"/> Qtrly		<input type="checkbox"/> H-Yrly		<input type="checkbox"/> Yrly		<input checked="" type="checkbox"/> As & when presented		DEBIT TYPE		<input type="checkbox"/> Fixed Amount		<input checked="" type="checkbox"/> Maximum Amount				
Reference 1 (Mandate Reference No.)												Phone No.								
Reference 2 (Unique Client Code-UCC)												Email ID								

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

<b>PERIOD</b>											
<b>From</b>	<input type="text" value="D"/>	<input type="text" value="D"/>	<input type="text" value="M"/>	<input type="text" value="M"/>	<input type="text" value="Y"/>						
<b>To</b>	<input type="text" value="D"/>	<input type="text" value="D"/>	<input type="text" value="M"/>	<input type="text" value="M"/>	<input type="text" value="Y"/>						
<b>Or</b>	<input type="checkbox"/> Until Cancelled										

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.
- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit

Broker/Agent Code ARN:			SUB-BROKER:		EUIN:	
<b>Unit Holder Information</b>						
<b>Name of the First Applicant :</b>						
PAN Number:		KYC:		Date of Birth :		
Father Name :				Mother Name :		
Name of Guardian :				PAN :		
<b>Contact Address :</b>						
City:		Pincode:		State :		Country :
Tel.(Off):		Tel. (Res):		Email :		
Fax (Off):		Fax (Res) :		Mobile :		
Income Tax Slab/Networth :				Occupation Details		
Place of Birth :		Country of Tax Residence :				
<b>Tax Id No.:</b>						
Politically exposed person / Related to Politically exposed person etc.?				Yes	No	
<b>Mode of Holding:</b>						
<b>Name of Second Applicant :</b>						
PAN Number:		KYC:				
Income Tax Slab/Networth:				Occupation Details		
Place of Birth :		Country of Tax Residence :				
<b>Tax Id No.:</b>						
Politically exposed person / Related to Politically exposed person etc.?				Yes	No	
<b>Name of Third Applicant :</b>						
PAN Number:		KYC:		Date of Birth :		
Income Tax Slab/Networth :				Occupation Details		
Place of Birth :		Country of Tax Residence :				
<b>Tax Id No.:</b>						
Politically exposed person / Related to Politically exposed person etc.?				Yes	No	
<b>Other Details of Sole/ 1st Applicant</b>						
<b>Overseas Address :</b> (In case of NRI investor)						
City:		Pincode:		Country:		
<b>Bank Mandate Details</b>						
Name of Bank:				Branch:		
A/C No.:		A/c Type:		IFSC Code:		
<b>Bank Address :</b>						
City:		Pincode :		State:		Country :
<b>Nomination Details</b>						
Nominee Name :				Relationship:		
Guardian Name (If Nominee is Minor) :						
<b>Nominee Address :</b>						
City:		Pincode:		State:		
<b>Declaration and Signature</b>						
I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.						
Date :		Place:				
						
1st applicant Signature :		2nd applicant Signature :		3rd applicant Signature:		

## ADDITIONAL CLAUSE FOR MUTUAL FUNDS

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning. The client need not execute this document if he / she does not wish to use that facility. The client has the right to terminate the document, in which eventuality, the trading member may terminate the special facility).

### DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING BSE STAR MF/ NSE NEW MFSS PLATFORM

#### 1. Pre-requisites for becoming Investor / Client for the BSE STAR MF/ NSE New MFSS platform :

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the BSE STAR MF/ NSE New MFSS
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the broker who is a Participant/ Mutual fund Intermediary (MFI) of the BSE STAR MF platform/ NSE New MFSS
- 1.3. The client has satisfied itself of the capacity of the Participant/ MFI to deal in Mutual Fund units and wishes to execute its instruction through the PARTICIPANT/ MFI and the client shall from time to time continue to satisfy itself of such capability of the PARTICIPANT/ MFI before executing transacting through the PARTICIPANT/ MFI.
- 1.4. The Client has approached to the PARTICIPANT/ MFI with the application for availing the BSE STAR MF/ NSE NEW MFSS platform.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the PARTICIPANT/ MFI

#### 2. Terms and Conditions:

- 2.1. The client shall be bound by circulars issued by NSE/ BSE's Rules, Regulations and Notices/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 PARTICIPANT/ MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the PARTICIPANT/ MFI at the time of registering as a client for participating in the BSE STAR MF/ NSE NEW MFSS platform or at any time thereafter.
- 2.3. The client shall submit to the PARTICIPANT/ MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the PARTICIPANT/ 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 BSE, NSE, SEBI and AMFI.
- 2.7. The Client shall pay to the PARTICIPANT/ 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 PARTICIPANT/ MFI renders to the Client.
- 2.8. The client will furnish information to the PARTICIPANT/ 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 PARTICIPANT/MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL) or from any fund of NSEIL or NSCCL
- 2.10. In case of any dispute between the PARTICIPANT/ MFIS and the investors arising out of the BSE STAR MF/ NSE NEW MFSS platform, BSE and / or ICCL and/or NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

I/We am/are/ registered as your client/ applied to be your client and have executed the KYC and other Agreement for the purpose of trading in the Equity Segment of BSE/ NSE I/We am/are interested in availing the trading facility of BSE/ NSE for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF/ NSE New MFSS. For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF/ NSE New MFSS 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 BSE Notice dated December 2, 2009/ NSE circular dated November 24, 2009 and as may be specified by BSE / NSE 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 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 therefore request you to register me/us as your client for participating in BSE StAR MF/ NSE New MFSS.



## **Terms and Conditions-cum-Registration / Modification From for receiving SMS Alerts From CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]**

### **DEFINITIONS:**

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

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

### **AVAILABILITY:**

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

### **RECEIVING ALERTS:**

1. The Depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the Mobile phone is in 'off' mode i.e. unable to receive the alerts then the BO may not get/get after delay any alerts sent during such period.
3. The BO also Acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the Depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The Depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

### **FEES:**

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

### **DISCLAIMER:**

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

## **LIABILITY AND INDEMNITY:**

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

## **AMENDMENTS:**

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

## **GOVERNING LAW AND JURISDICTION:**

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

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

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time.

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

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

## BOID

(Please Write your 8 digit DPID) (Please Write your 8 Client ID)

Sole / First Holder's Name :

Secound Holder's Name

Third Holder's Name

Mobile number on which  
Messages are to be sent

The mobile number is registered in the name of: \_\_\_\_\_

Email ID: \_\_\_\_\_

(Please Write only one valid email ID on which communication, if any, is to be sent)

**Signature**

---

### Sole/Firest Holder

### Second Holder

---

### Third Holder

Place \_\_\_\_\_

Date \_\_\_\_\_

## **Common Info**

1) As per SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12,2024, regarding the Framework for Trading Membersto provide the facility of voluntary freezin/blocking online access to trading accounts, we are pleased to introduce a new feature to help prevent suspicious activities.

You now have the option to temporarily freeze your Arihant Capital Tra ding account, allowing you to instantly block any trading-related activities in your account and prevent unauthorized transactions.

You can choose one of the following options to freeze your account

1. Login Arihant Plus App & Clik on My Account to be redirected to My Profile Section. Go to Menu Bar & select Freeze & Block (Only individual Can use this)
2. Use the Arihant Re-KYC portal to freeze your account digitally. (Only individual canuse this)
3. Call our Support desk: 0731-4217003 (Individual & Non Individual both can use this option on)

**Note**-Your account will be frozen within 15 minutes, Use this option only inthe case of unauthorized trades. This facility is intended solely for the prevention of suspicious activities in the account.

How to freeze Your Account?

You canunfreeze your account by calling our support desk at 0731-4217003, Kindly note that the unfreezing process will take up to 24 working hours.

2) On line trading & demat closer facility is available at our re-KYC portal. [erekyc.arihantcapital.com](http://erekyc.arihantcapital.com)

## **IN PERSON VERIFICATION DECLARATION**

To,

**Arihant Capital Market Limited**

6, Lad Colony, Y N Road,  
Indore-452001

I/We hereby declare that:-

1. Mr./Ms./M/s\_\_\_\_\_ has been Introduce as client of Arihant Capital Markets Limited by me/us.
2. I/we have meet above client personally and make IPV video of the client which is sharing via mail to you.
3. I/we have verified all the documents provided by the above client with Originals and same has been mark on the copy of all the documents of the client.
4. I hereby declare that the details furnished for above client are true and correct to the best of my knowledge and belief. 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.

Thanking You,

Name:- \_\_\_\_\_

(Signature)

Branch/AP/Employee Code:-\_\_\_\_\_

Date:- \_\_\_\_\_

Place:- \_\_\_\_\_

## ANNEXURE-A

### Most Important Terms and Conditions (MITC) (For non-custodial settled trading accounts)

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

I/we hereby read, understood and acknowledged the above Most Important Terms and Conditions (MITC)

Name of the Client:-

Signature:-

Date:-

Place:-

**[For New Accounts]**  
**Declaration for Basic Services Demat Account (BSDA)**

To.

**Arihant Capital Market Limited**  
6, Lad Colony, Y N Road,  
Indore-452001

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

With reference to my / our application for opening a depository account, I/ We request you to open my/our depository account as per the following details:

	Name	PAN							
Sole/First Holder									
Second Holder									
Third Holder									

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

I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.

1 \_\_\_\_\_

2 \_\_\_\_\_

3 \_\_\_\_\_

**Signature(s) of Account Holder(s)**

**Arihant Capital Arihant Capital Markets Ltd.**

DP ID NSDL-IN301983

CDSL-12043000

DP OFFICE:6, Lad Colony, Y.N. Road, Indore-452 001

Phone: (0731) 4217100-01, Fax: 91-731-4217254

E:-satyendra dwivedi@arihantcapital.com, W:- www.arihantcapital.com

**Client ID**

**DEPOSITORY CHARGES-SCHEDULE. 'A'**

**Scheme Name: BSDA**

<b>Charges Description</b>	<b>Charges Details</b>
Account Opening Charges	Nil
Annual Maintenance Charge	NIL-If value of holding is below Rs.4,00,000/-,Rs.100/- If value of holding between Rs.4,00,001 and Rs. 10,00,000/-
Interest free Refundable Security Deposit	N.A.
Dematerialization Charges	20/- per certificate (Subject to minimum 100/- per request)+50/- for postage
Rematerialization Charges	20/- per 100 securities or part thereof (Subject to minimum 50/- per request)
Off-Market/IDT transfer in Arihant	Subject to minimum 100/- or 0.04% of value whichever is higher
Off-Market/IDT transfer other than Arihant	Subject to minimum 100/- or 0.04% of value whichever is higher
DIS Slip book issuance charges	100/-
Market Sale in Arihant	Subject to minimum 30/- or 0.04% of value whichever is higher + NSDL/CDSL Charges
Market Sale other than Arihant	Subject to minimum 30/- or 0.04% of value whichever is higher + NSDL/CDSL Charges
Redemption of MF units	20/-
Reconversion of MF units into SOA	100/-
Conversion of units represented by SOA	50/-
Demat Rejection/Cancellation Charges	100/-
Client KYC Modifications Charges	100/-
Hold/NDU Request	0.02% of the value of securities upon creation of hold subject to a minimum of 50/-
Margin Pledge Creation	15/-
Margin Pledge Closure/MTF Pledge Closure/ Invocation	10/-
MTF Margin Pledge Creation	49/-
Pledge Creation	Subject to minimum 50/- or 0.04% of value whichever is higher

**Notes:**

- Cheque returned charges will be levied @ Rs. 250/- per instrument. Interest @ 13% per annum shall be charged, if bill is not paid by due date.
- Standard Trading and Demat modification charges 100+GST per modification.
- Cheques/Pay Order/DD issued towards any of the above-mentioned services, should be in favor of "Arihant Capital Markets Ltd." payable at the branch where the form is submitted.
- The Client authorizes Arihant Capital Markets Limited to recover the DP charges on various transactions from time to time from the regular shares dealing/deposit account /any other account with Arihant capital markets Ltd. (ACML). Charges schedule is based on NSDL charges and is subject to change at the sole discretion of ACML with one month's notice. GST will be levied on total bill amount at the rates as may be notified by the Govt. from time to time.
- Trading account with ACML, submission of POA and email authorization is compulsory for availing this scheme.
- A NSDL settlement fee at the rate of 4.00 per debit instruction in a Client's account shall be charged to the participant of the Client.

I/We accept the above schedule of charges with all terms and conditions mentioned above.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Place:

Date:







## OUR OFFERINGS

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2021 (Asia)

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SEBI Registration number for NSE & BSE :- INZ000180939; NSDL - IN-DP-127-2015 DP ID-IN301983; CDSL DP ID-43000; NCDEX - 01274;  
AMFI - ARN 15114; SEBI Merchant Banking Regn. No. - MB INM 000011070; SEBI Research Analyst Regn. No. - INH000002764; ISO 9001-

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