



Suresh Rath

Wealth Creator thru Systematic Investment

Account Opening Form

☐ Only Trading ☐ Only Demat ☐ Both | ☐ Individual ☐ Minor ☐ HUF

Name	BO ID 1 2 0 1 2 1 0 0
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SB CODE	CLIENT CODE	FOR HEAD OFFICE USE ONLY	Serial No.
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File No.	
A/c Ref.No.	

Authorised by (At Head Office):	
Name :	
Signature :	
Date of Enrolment:	/ / 20

CHECK-LIST	DATE	SIGNATURE
Received By		
CRF Checking		
Discrepancy Clear		
Data Feeding		
Data Checking		
BO Uploading		
CRF Filling		
KYC / CKYC		
Final Checking		

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CHECK LIST OF DOCUMENTS REQUIRED

1. Proof of Address (Self attested copy of any one of following)

- ☐ Aadhar Card / Passport / Voters Identity Card / Driving Licence / Narega Job Card / National Population Register (NPR) Letter

2. Proof of Bank details (Self attested copy of any one of following)

- ☐ Photocopy of the cancelled cheque having pre-printed name of the account holder
- ☐ Photocopy of the Bank Statement having name and address of the BO #
- ☐ Photocopy of the Passbook having name and address of the BO (or)
- ☐ Letter from the Bank #

#IFSC Code & MICR Code of the branch should be present / mentioned on the document.

3. For Minor's :

- ☐ Birth certificate of minor / photocopy of the school leaving certificate / Mark sheet issued by higher secondary board. / passport of minor
- ☐ KYC form minor and guardian
- ☐ Guardian's details in Annexure B1
- ☐ FATCA Declaration of Guardian

4. For NRI

- ☐ Proof of identity (copy of passport / driving license)
- ☐ Proof of foreign address and Indian address (if any) (in the case of an NRI a/c without repatriation, proof of Indian address has to be given)
- ☐ Bank Account details (PIS Account with HDFC Bank)
- ☐ A declaration duly signed by the NRI that he/she has complied with, and will continue to comply with, FEMA regulations and other applicable laws.
- ☐ For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport / PIO Card/ OCI Card and overseas address proof is mandatory.

5. Document Required (for Derivative Segment)

- ☐ Self attested copy of Bank Statement for latest 6 months.
- ☐ Self attested copy of ITR/Form 16/ Salary Slip
- ☐ Copy of Annual Accounts/Networth Certificate
- ☐ Any other relevant document substantiating ownership of Assets.

Notes

- **PAN Card is Compulsory Required for KYC**
- **Aadhar Card is required for validation of name, address, Date of Birth Gender of Client**
- **PAN must be linked with Aadhar**
- **Name on PAN must be exactly same as on Income Tax PAN Site**
- **E-mail & Mobile No. must be valid. If family person's mobile no. / email id is being used by client then family means self, spouse, dependent parents & dependent children only.**
- **In case Joint holders, separate KYC is required for each holder**
- **All proof should be on separate page & should be clear and visible**
- **All documents must be self attested by client**
- **Client Name should be exactly same in all documents submitted**
- **In case permanent & correspondence address are different, Required address proof of both (Required Annexure A1)**
- **In case nominee, address proof of Nominee will be required**

PLEASE READ SRSPS AS SURESH RATHI SECURITIES PVT. LTD. WHERE WRITTEN

Name of stock Broker : SURESH RATHI SECURITIES PVT. LTD.

Name of Exchange & the Segments	BSE - Capital, Equity Derivatives, Currency Derivative NSE - Capital, Equity Derivatives, Currency Derivative	SEBI Registration Number	INZ000165734
Depository	CDSL - IN-DP-709-2022		

Clearing Members of BSE - Capital, Equity Derivatives, Currency Derivative and NSE - Capital, Equity Derivatives, Currency Derivative

Compliance officer name, phone no. & email id: **Neelam S. Ingle**, Tel. No.: 022-40148531 , e-mail : neelam@sureshrathi.in

CEO name, phone no. & email id: **Lalit Mundra**, Tel. No.: 022-40148531 , e-mail : lalit@sureshrathi.in

For any grievance/dispute please contact Suresh Rathi Securities Pvt. Ltd at the above address or email id - **grievance@sureshrathi.in**

In case not satisfied with the response, please contact the concerned exchanges at:

For BSE : is@bseindia.com and Tel No : 022-2272 8097 For NSE : ignse@nse.co.in and Tel. No.: 022-2659 8190

You can also lodge your grievances with SEBI at **<https://scores.sebi.gov.in>** for any query, 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**

Register on **SCORES** Portal,

Mandatory details for filing complaints on SCORES portal:

Name, PAN, Address, Mobile Number, Email ID

Benefits: Effective Communication, Speedy redress of grievances.

SCORES Website: **<https://scores.sebi.gov.in>**

CLIENT BASIC DETAILS

(Please fill in capital Letters)

TRADING CODE			
NAME			
DATE OF BIRTH			
PAN			
ADDRESS	CITY	PINCODE	
MOBILE NO.			
EMAIL ID			
BANK NAME			
BANK ACCOUNT NO.			
IFSC		MICR	
OCCUPATION			
INCOME RANGE	<input type="checkbox"/> Below Rs 1 LAC <input type="checkbox"/> Rs 1-5 LAC <input type="checkbox"/> Rs 5-10 LAC <input type="checkbox"/> Rs 10-25 LAC <input type="checkbox"/> Above Rs 25 LAC		
NOMINEE NAME			
NOMINEE RELATION			



Important Instructions:

- A) Fields marked with "*" are mandatory fields.
B) Please fill the form in English and in BLOCK letters.
C) Please fill the date in DD-MM-YYYY format.
D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
F) List of two character ISO 3166 country codes is available at the end.
G) KYC number of applicant is mandatory for update application.
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only (To be filled by financial institution)	Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update	
	KYC Number	(Mandatory for KYC update request)		
	Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers)	<input type="checkbox"/> Small

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

Prefix	First Name	Middle Name	Last Name	
<input type="checkbox"/> Name* (Same as ID proof)				
Maiden Name (If any*)				
Father Name*				
Mother Name*				
Date of Birth*	DD - MM - YYYY			
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code)			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			
				<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">Applicant Signature / Thumb Impression</div>
<div style="border: 1px solid black; padding: 10px; width: fit-content; margin: 0 auto;"> </div>				
Gross Annual Income (Range) <input type="checkbox"/> Below Rs 1 LAC <input type="checkbox"/> Rs 1-5 LAC <input type="checkbox"/> Rs 5-10 LAC <input type="checkbox"/> Rs 10-25 LAC <input type="checkbox"/> Above Rs 25 LAC <input type="checkbox"/>				

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

ADDITIONAL DETAILS REQUIRED * (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*	
Tax Identification Number or equivalent (If issued by jurisdiction)*	
Place / City of Birth*	ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end) (Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

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

4. PROOF OF ADDRESS (PoA)*

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

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

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

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

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

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

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

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

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

Line 1*																								
Line 2																								
Line 3																								
State*									ZIP / Post Code*					ISO 3166 Country Code*										

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

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

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

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

Related Person Type*	<input type="checkbox"/> Guardian of Minor		<input type="checkbox"/> Assignee		<input type="checkbox"/> Authorized Representative	
Name*	Prefix	First Name	Middle Name	Last Name		

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

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

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

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

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

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

Date : DD-MM-YYYY Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date								
Emp. Name								
Emp. Code								
Emp. Designation								
Emp. Branch								

[Employee Signature]

INSTITUTION DETAILS

Name	SURESH RATHI SECURITIES PVT. LTD.															
Code																

[Institution Stamp]

BANK ACCOUNT(S) DETAILS						
No.	Bank Name	Branch Address & Tel. No.	A/c. Type	Account No.	MICR No.	IFSC Code
1.						
2.						
Saving / Current / Others in case of NRI/NRE/NRO				Please provide Cancelled Cheque leaf for MICR & IFSC Code		






DEPOSITORY ACCOUNT(S) DETAILS				
Sr. No.	Depository Participant Name	DP ID No.	DP Account No.	Depository Name
1.*				CDSL/NSDL
2.				CDSL/NSDL
* Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1				

GST REGISTRATION DETAILS (As applicable, State wise)

GST Registration No.		Validity Date		State	
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TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE	
SEGMENTS	Cash (CM) <input type="checkbox"/> 	Currency Derivatives <input type="checkbox"/> 
	Equity Derivatives (FO) <input type="checkbox"/> 	Mutual Fund <input type="checkbox"/> 
NSE SLBM SEGMENT	<input type="checkbox"/> 	

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

In case of Trade in Equity Derivatives & Currency Derivatives, it is mandatory to provide six month Bank Statement in every financial year.

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

CONSENT FOR OPT- OUT

This has reference to SEBI circular no. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/95 dated June 21, 2023 and subsequent circulars/FAQs issued by BSE/NSE.

At present, you have already opted/registered with us and having access to the following Exchanges/segments as a default mode:

BSE CM	BSE FNO	BSE CDS	BSE Mutual Fund	NSE CM	NSE FNO	NSE CDS	NSE Mutual Fund
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You are requested to inform us whether you wish to opt-out in of any of the above mentioned Exchange/Segment.

You can provide your negative consent for opt- out in any of the above segments in writing/ through registered email id/ or through web portal / app through secured access by way of client specific user ID and password (in case of internet clients).

PAST ACTIONS

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

☐ Yes ☐ No

DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS

If client is dealing through Authorised Person, provide the following details :

Name		Exchange	AP Regd. No
Regd. Off. Address			
Signature			

Whether dealing with any other stock broker/ AP (if case dealing with multiple stock brokers/ AP, provide details of all)

Name of Other Stock Broker		Name of Auth. Person If any		Client Code		Exchange	
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Details of disputes/dues pending from/to such Authorised Person

ADDITIONAL DETAILS

Gross Annual Income Details (Individual) (Please tick (✓): ☐ Below 1 lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs

Gross Annual Income Details (HUF) ☐ Below 1 lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs-1 Cr. ☐ > 1 Cr.

Net-worth in ₹. (*Net worth should not be older than 1 year) as on (date) / /

(Please tick(✓) any one and give brief details):

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired
☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify) _____

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):

☐ Physical Contract Note
☐ Electronic Contract Note

Specify your Email id, if applicable:

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): ☐ Yes ☐ No

Whether you wish to avail of the facility of Margin Trading Funding (MTF) (please specify): ☐ Yes ☐ No

Wish to avail Fund Settlement : ☐ Bill to Bill ☐ Running Account

Number of years of Investment/Trading Experience:

Please tick, if applicable: ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person


For definition of PEP, please refer guideline overleaf

Any other information

INTRODUCER DETAILS (Optional)

Name Add./Tel.		Signature of the Introducer	
Status of the Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Other		

NOMINATION DETAILS (FOR INDIVIDUAL ONLY)			
<input type="checkbox"/> I / We wish to nominate		<input type="checkbox"/> I / We do not wish to nominate	
Name of Nominee		Relation with Client	
Address		PAN No.	
		Tel. No.	
If Nominee is a minor, details of Guardian		Date of Birth	
Name of Guardian			
Address & Tel No.		Signature of Guardian	
Witnesses (Only applicable in case the account holder has made nomination)			
Name		Name	
Address		Address	
Signature		Signature	

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

FOR OFFICE USE ONLY	
UCC Code allotted to the Client:	
Documents verified with Originals / In person verification done by	Client Interviewed / Approved by
Name	
Signature	
Designation	
Employee Code	
Date	

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

Date _____

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

OPERATIONAL BUSINESS POLICIES AND PROCEDURE

Suresh Rathi Securites Pvt. Ltd. (SRSPL)

1. Refusal of orders for penny Stocks :-

The client is aware and agrees that the stock broker may refuse or restrict a client in placing the order in certain securities depending on various conditions like volume/value/part of illiquid scrip/Z group of securities / 100% VAR securities or sufficient margin in the trading account. However, stock broker under exceptional circumstances may execute client's order. The stock broker has the discretion to reject execution of such orders based on its risk perception.

2. Setting Up client's Exposure Limit

The client is aware and agrees that the stock broker may set the Exposure limit on the basis of available base capital which may comprise of ledger and applicable collateral (after suitable margin hair cut). The limits may be allowed on a multiplier basis to the available capital or actual VAR margin basis or a specified margin depending on the market condition. Client agrees that the said parameter is a dynamic process that is allowed at the discretion of the stock broker based on the Market conditions and their risk perception about the market. However on exceptional situations broker may use its own discretion in providing the limits and may change for a client or for all depending on market condition. The exposure limit given to any client may be revoked or reduced with or without any information to the client. The exposure limit shall be subject to and within the prevailing limit prescribed by the exchange/SEBI from time to time. It shall be an obligation of the client to declare and observe the compliance with regard to any such exposure limit applicable on across the market exposure, if client is dealing with more than one broker member of one or more than one exchange.

3. Applicable Brokerage Rate for Equity & Derivatives

- a) The stock broker is eligible to charge brokerage with respect to Transactions effected by it in various segment as mentioned herein below-
 - > For Capital Market Segment-The maximum brokerage in relation to trades effected in the securities admitted to dealings on the Capital Market Segment of the Exchange shall be 2.5% of the contract price exclusive of statutory levies. It is further clarified that where the sale/purchase price value of share is Rs. 10/- or less, a maximum brokerage of 25 paise per share may be charged.
 - > For Option Contracts of Equity / Currency Derivative- Brokerage for options contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. The brokerage on option contracts shall not exceed 2.5% of the premium amount or Rs.100 (per lot) whichever is higher.
- b) The client is aware that any request for change in the brokerage rate has to send in writing to the Branch / AP office, who in turn will forward the request to Head

Office of the stock broker. Acceptance/rejection of such request is at the discretion of stock broker.

All the above charges and levies debited to client would be mentioned in the Contract Note sent to client.

4. Imposition of Penalties / Interest on outstanding debits & margins

The client is required to pay all amounts due to the stock broker on its due date. The amount due to broker shall include all type of Margin and Pay-in-obligation/Settlement Obligation on account of any other reason.

In case the client does not pay the amount due on time, the stock broker shall charge Interest on outstanding debits & margins up to the rate of 18% per annum on daily outstanding value or at such rates as may be determined from time to time by the stock broker at its sole discretion without assigning any reason thereof with a view to ensure orderly conduct of the account. Such interest shall be debited directly to the client's account at the end of every month. Interest will be charged from the time it become due till the time obligation is cleared by the client, on the basis of clear credit available in the account. The objective of charging such interest is to force a client to clear their dues on time.

The client hereby agrees that he/they will be charged Interest on outstanding debits & margins which shall be levied by the Stock Broker as SRSPL has accepted securities with appropriate hair cut for margin purpose, but has to deploy his own funds/securities (approved) for meeting his/their all type of margin requirements to Exchange(s) as per the applicable norms of the exchange.

Clearing Corporations are reviewing the list of such approved securities on periodic basis and are making the changes from time to time. Hence, clients are requested to refer such list and place such approved securities as collateral to avoid interest charges.

The client agrees that the stock broker may impose fines/penalties for any orders/trades of the client which are contrary to this agreement/rules/regulations of the Exchanges and is imposed by the Exchanges/Regulators. Further, under the instances where the stock broker has been penalized from any authority on account of/as a consequence of orders/trades of the client, the same shall be borne by the client.

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

The Client shall provide timely funds / securities for the purchase/sale of securities to the stock broker for meeting his obligation to the Exchange.

The securities so purchased under capital market segment and/or resulted in compulsory delivery under F&O, securities so purchased / received shall be

treated as unpaid client securities, if the outstanding payment is not cleared within 2 days of purchase (T+2 day) as per Exchange regulations. Such unpaid securities shall be liquidated anytime within 5 trading days from the date of payout if debit balance / outstanding dues are not cleared by the client by providing funds to the extent of debit balances

Also, depending on brokers discretion and its RMS policy, on case to case basis, we may transfer the securities purchased by client in clients demat account and / or also liquidate the same in case of any margin requirement / to settle the dues arising from time to time.

In case of client falling short of providing fund/securities, the stock broker has the right to close the positions. The Stock Broker has the right to sell client's securities, liquidate cash equivalent (Fixed deposits or Bank Guarantee) or close client's position with or without giving prior notice to client on account of non-payment of dues to the extent of ledger debit and/or to the extent of Margin obligation(s). The broker can liquidate the securities bought or collaterals given or any other securities given in any other form for clearing the clients obligations. The loss, if any, incurred in this regard, shall be borne by the client only and will be met from the margin /deposit of the client lying with SRSPL.

SRSPL may in its sole discretion, determine the time of sell and securities that was to be disposed off and/or which open position is / are to be liquidated / closed and /or which cash equivalent is/are to liquidate as per RMS policy applicable from time to time. To avoid selling of shares / closing of positions etc, we request you to maintain sufficient margin in your trading account.

6. Shortage in obligation arising out of internal netting of trades for equities:-

The client agrees to the laid down policy and procedure followed for handling shortages arising out of internal netting of trades, as mentioned herein below:

Close out price will be the Highest intraday price of last 2 days.

(Above defined parameters are subject to change from time to time)

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:-

SRSPL is entitled in its sole discretion to restrict or refuse execution of any orders for transaction in any scrip if transaction in such scrip is not in accordance with its internal surveillance / risk management policy and/or in accordance with the directives and guidelines in respect of the Exchanges and/or the Regulator issued from time to time. SRSPL may at its sole discretion decline to carry out the instructions for any reason whatsoever.

In case overall position of client / clubbed position of client as per the SEBI guidelines, and/or on the basis of criteria set by Exchanges, in a scrip / derivatives contracts has reached the Regulators prescribed Exchange limit / Market Wide Open Interest limit, then client may not be allowed to take further position, till

such time Regulator prescribed limits comes down to create a new position.

Further in Exchange / Segments where client positions are monitored at group level (i.e. entities are clubbed by Exchanges as per their guidelines), those set / group of customers together have to abide by position limits as mentioned above.

Further, the stock broker may close the existing position of a client to the extent of debit balances to revoke the margin from the exchange. In case if the stock broker has sufficient Margin cover on behalf of its client, it may still decide based on the market conditions and risk perception not to allow further position or may close the existing position of a client.

Under some abnormal and/or special circumstances, the client may not be allowed to take further position or the position of the client may be squared off regardless of availability of funds and margin. Such circumstances may be include:-

- a) Abnormal price movement in the market triggering index circuit or halting of the market.
- b) Any situation beyond the control of SRSPL.
- c) If there is any order to that effect from any regulatory/statutory authority.
- d) If there is any enquiry/investigation by any regulatory/statutory authority in to the affairs of the client.
- e) Non receipt of funds and/or bouncing of cheque received from the client towards the obligation/margin /ledger balances.
- f) Any other situation when SRSPL is not comfortable with the behaviour of client with its staff persons.

8. Temporary Suspension/Closure of Accounts

The client may request the stock broker for temporary suspension/closure of his trading account by sending a written request to Branch / AP office. This request will be in turn sent by Branch/AP office to Head Office for further processing where after verification of the client details, the trading account of the client will be suspended.

The client would be required to clear all his dues/settlement of obligations before his account is temporarily suspended. The client may also be required to fulfil other conditions, on a case to case basis.

The stock broker can withhold the pay-outs of client and suspend/close his trading account due to any internal / regulatory action.

The Customer will be intimated upon Suspension / closure of trading account within 15 days of suspension.

Notwithstanding any such suspension/closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered in to prior to such suspension/closure shall continue to subsist and binding on the client.

The client's account shall be reactivated only at the specific written request and re KYC of the client as per rules and regulation of exchange/SEBI required time to time.

9. Deregistering a client

In addition to what the client has agreed in the agreement, the stock broker may terminate a client with

immediate effect, but not limited to the following reasons

If the client is debarred by SEBI or any other regulatory authority.

As a part of surveillance measure, if a client appears to be indulging in manipulative practices.

Under the circumstances when there is a reasonable ground to believe that the client is unable to clear its dues or has admitted its inability to pay its debt.

If the client violates any of the terms of the agreement.

10. Treatment of Inactive Clients

SRSPL identifies such client codes / trading accounts that are inoperative for a minimum period of preceding 24 months. Accordingly, such trading accounts are made inactive in the Trading System and an email/letter/SMS or by way of any other mode the client is informed about the status of his trading account maintained with us.

Further, if the client has any dues/obligation to SRSPL, then any securities bought or collaterals given or any other securities given by the client in any other form for clearing his obligation; will be adjusted and the balance would be returned to the client.

For re-activation of such trading account, the client shall be required to make a request to reactivate the account and submit all necessary information with regard to updating of his / their KYC requirement. SRSPL upon verifying at its end may reactivate client's trading code in the Trading System and an email/letter/SMS or by way of any other mode the client is informed about the status of his trading account. Upon reactivation the stock broker may execute the order on behalf of its client.

Further, after reactivation, transactions on the basis of certain parameters are confirmed over telephone with clients, if such transactions are executed after a gap of such period of 12 months. In addition to above, as a

part of surveillance if any delivery based sell trades are executed in any account which is inactive for more than six months, there is a proactive calling from head office to check the authenticity of the client and trade.

11. Miscellaneous Operational Policies

- i. SRSPL neither accept nor does any transaction in exchange of Cash Money. Therefore, client should not deal / exchange money in cash with any sub-intermediaries and/or any of the employees of SRSPL.
- ii. SRSPL shall not accept or recognize and give credit of any payment made by clients to SRSPL other than in 'Crossed Account Payee' Cheque in favour of SRSPL or direct credit in the designated banking accounts of SRSPL. Payments to client by SRSPL shall also be made through 'Crossed Account Payee Cheque' in the registered name of Client and/or through direct credit to the registered banking account of the client.
- iii. SRSPL shall not give/receive any securities other than to/from the registered demat account of client and shall not recognize any claim by the client for securities and/or its value for the securities delivered to any demat account other than the various designated demat accounts of SRSPL.
- iv. The sub-intermediaries and the employees of SRSPL are not authorized to make independent decision and buy / sell for the client and the client should promptly report to the SRSPL head office if unauthorized trades in his accounts are found.
- v. SRSPL and / or its group concerns do not accept DDPI in favour of company, its directors, employees or sub intermediaries for the exclusive operations of clients trading and/or bank/demat account except the limited DDPI in favour of SRSPL for auto pay-in of client's sales obligations, public issues of securities, rights, offer for sale, tendering shares in open offers and mutual funds with SRSPL from the demat account of client, if it is required and requested by the client.

Client Acceptance of Policies and Procedures stated here in above:

I/We have fully understood the same and do hereby sign the same and has the right of enforcement. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us through any one or more means of methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read 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.



(Client Signature)

Date :/...../.....

Place :

This policy has been adopted by the trading member as on April 01, 2020 and may have been revised over time. Latest version of the policy is available at the trading member's website www.sureshrathi.com

TARIFFSHEET

SEGMENT \ CHARGES	Same day Square Off			Delivery / Any Day	
	Percentage		Minimum Rs.	Percentage	Minimum Rs.
	1st Side	2nd Side			
EQUITY CASH					
EQUITY FUTURE					
EQUITY OPTION					
CURRENCY FUTURE					
CURRENCY OPTION					
IF ANY OTHER SEGMENT					

PARTICULARS	CHARGES
PLEDGE CHARGES	NIL
PLEDGE RELEASE CHARGES *	Rs.15/-
CHEQUE BOUNCE CHARGES *	Minimum 150/- maximum 2% of the cheque amount
PENALTY FOR CHEQUE NOT CLEAR UP TO T+5 *	5% of the Cheque Amount
DELAY PAYMENT CHARGES *	18% Per Annum
STOP PAYMENT CHARGES *	Rs.150/-
DEMAT TRANSACTION CHARGES *	As per given on page No.32
ONE TIME DEMAT TRANSACTION CHARGES *	
LIFE TIME AMC FOR DEMAT A/C *	
ANNUAL MAINTENANCE CHARGE FOR DEMAT A/C *	

* Security Transaction Tax (STT), SEBI Turnover Fees, Exchange Transaction Charges*, IPF Charges*, Stamp Duty, Goods & Service Tax (GST), CM Charges* and other Statutory Charges, Taxes, Duties, Surcharges, CESS etc will be levied separately from brokerage as applicable from time to time.

* Demat Charges* - As per scheme availed page No.32

* All charges levied by Exchanges / Regulators will be recovered from your account as applicable.

* In addition to above, charges levied on account of wrong reporting of cheque*, DP scheme charges for DIS re-issuance*, issue of Duplicate Statement* etc. may be recovered from your account as applicable.

*** GST Applicable**

SR SPL reserves the rights to change the brokerage as well as other tariff from time to time under intimation to client.

Tariff charges are subject to charges by the regulatory, authorities or government agencies.

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Client 's Signature

Authorised Signatory

MANDATORY

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

9 

(Client Signature)

(to be signed by the client only and not his authorised signatory)

Date :/...../.....

Place :

MANDATORY

POLICY FOR HANDLING GOOD TILL DATE ORDERS

Background :

Exchanges vide its circular NSE/INSP/62528 dated June 21, 2024 and 20240622-2 dated June 22, 2024 pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled" / "Good Till Triggered" orders or orders of similar type.

Scope:

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

Details of Good Till Cancelled/Good Till Triggered/orders –

- Suresh Rathi Securities Pvt. Ltd. its clients to place "Good Till Date" (GTDT) orders.
- The period selected by the client shall be within the maximum validity date defined by Suresh Rathi Securities Pvt. Ltd. Since client has the right to define validity date ("order validity date"), this order type is called as Good Till Date (GTDT) order.
- All existing and new clients Suresh Rathi Securities Pvt. Ltd. of who are eligible to trade in Equity Cash product can avail GTDT facility for order placement.
- The facility of placing a GTDT order is available in Equity Cash product & in Delivery product. It is not available for other products like Margin, Spot, etc. As and when, GTDT orders are introduced in new segments the same shall be displayed through the Suresh Rathi Securities Pvt. Ltd. website and subsequently updated in the policy.
- Client can specify disclosed quantity while placing cash orders with GTDT order validity.
- GTDT orders can only be placed by specifying a limit price. GTDT orders cannot be placed at market price.
- If a GTDT order is not executed for the entire quantity, Suresh Rathi Securities Pvt. Ltd. is authorized to place fresh orders for the unexecuted quantity for the client on the subsequent trading days till the entire quantity is executed or till the validity expires, whichever is earlier. This feature permits the client to specify the number of days during which the client intends to place the orders.
- GTDT orders can be placed during the pre-open session for all scrips, however only orders in scrips that are pre-open enabled would be sent to exchange during the pre- open session. Orders in all other scrips not enabled for pre-open session would be treated as overnight orders and sent to exchange during normal trading session.
- Client shall ensure that necessary funds/margins are available to place GTDT orders in their account for the unexecuted quantity of the order.
- "Order Validity Date" means the date entered by the client while placing GTDT orders. This date shall be equal to or less than the maximum validity date defined by Suresh Rathi Securities Pvt. Ltd. which would appear as the default "Order Validity Date". Client can choose the GTDT order validity date as less than or equal to the maximum validity date defined by Suresh Rathi Securities Pvt. Ltd. Client shall not be allowed to place orders with GTDT validity beyond maximum defined validity date.

- In case the GTDT order validity date falls on a non- trading day, the order is expired by Suresh Rathi Securities Pvt. Ltd. on the last trading day which falls prior to such order valid date which is a non-trading day. Post the expiry, the status of GTDT order is updated as Expired (Closed).
- Once a client has placed a GTDT order, Suresh Rathi Securities Pvt. Ltd will place orders for the unexecuted quantity of the GTDT order for all the days during the validity period or till the quantity is fully executed or cancelled or rejected due to any reason. Client may login only to check the status of such orders.
- For the unexecuted quantity orders shall be placed daily as overnight orders during the validity period, i.e. until the order validity date is less than or equal to the next trade date provided such GTDT order remains unexecuted and is not cancelled, nor rejected due to any reason. The orders would be placed on these dates provided they are trading days.
- All securities in BSE & NSE except securities in debt segment, NCD, Bonds and illiquid securities are eligible for the placing GTDT order.
- Orders with GTDT validity can be placed both during the market hours as well as post market hours.
- GTDT orders can be placed over Call N Trade.
- Clients can modify the quantity or limit price of a GTDT orders Clients can modify the order only when the order is in 'Ordered status' (during market hours) or 'Requested status' (after market hours). "GTDT Blocked" orders cannot be modified but can only be cancelled.
- All GTDT orders can be cancelled.
- The Brokerage rates and applicable charges are same for normal transactions and GTDT orders. Further, GTDT orders shall be settled in the same manner as normal equity / derivative market transactions.
- Clients can also place GTDT Buy and Sell (sell- Open position only) order under E-Margin Product.
- Stop loss orders can also be placed with GTDT validity.

Handling of GTDT orders in case of corporate actions:

Post Corporate Action, GTDT orders will be validated against DPR (Daily Price Range) sent by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges.

The orders which would get failed in circuit check and daily price range for next day pumping would be kept in system in "GTDT Blocked" status for retry on subsequent trading day.

Updating Clients of upcoming Corporate Actions:

All upcoming corporate actions including dividend, bonus, split, etc. shall be intimated to clients having unexecuted GTDT orders atleast one day prior to the ex-date of the corporate action.

Clients shall review their GTDT orders pro-actively whenever there may be impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

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(Client Signature)

(to be signed by the client only and not his authorised signatory)

Date :/...../.....

Place :

VOLUNTARY

AUTHORIZATION TO RETAIN FUND AS RUNNING ACCOUNT & ADJUSTMENT OF BALANCES

To

SURESH RATHI SECURITIES PVT. LTD.

11/12, Mithila 'A' CHS Ltd.,

JB Nagar, Andheri (E), MUMBAI - 400059

Dear Sir,

Subject : Authority to retain fund towards margin in Cash Segment, F&O Segment, Currency Derivatives & any other Segment.

I/We hereby authorize you to maintain my ledger accounts for funds and securities on a running account basis. The ledger account may be treated as open, mutual and current.

I/We hereby authorize you to maintain running account for transactions executed through SRSPL on any of the stock exchanges / segments and set off / settle / adjust / appropriate any outstanding debits on account of initial margin / mark-to-market and / or other settlement accounts against any credits lying in the above mentioned accounts or any other accounts maintained by you.

I/We hereby authorize you to effect transfer of my/our credit balances in the Cash Market segment of any exchanges to the ledger / credit of the Derivatives segment of any exchanges, Currency Derivative segments of any exchange and vice-versa to meet the margin and / or settlement obligations on my/our accounts as may be necessitated.

I/We authorize you to re-pledge any and all the securities pledged as collateral by me/us from time to time with any exchange, clearing house, clearing operations, clearing member toward margin, as permitted time to time.

I/We agree to settle and / or request you to settle my fund as per SEBI Guidelines / Exchange Rules & Regulation effective from time to time

I agree to settle my account and/or kindly settle my account, for funds.

☐ Quarterly OR ☐ Monthly

I/We also authorize you to retain funds as may be permitted by Stock Exchange / SEBI from time to time on settlement date (across segment and across exchanges)

I/we hereby declare that I/we can revoke this authorization at any point of time.

Thanking you.

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(Client Signature)

(to be signed by the client only and not his authorised signatory)

Date :/...../.....

Place :

DECLARATION BY ACCOUNT HOLDER FOR MOBILE NUMBER & EMAIL ID BEING USED

For Individual Account Holder

I/We _____ (Name of the Account holder) hereby declare that

For Mobile Number	For Email ID
The mobile number being _____ Belonging to _____ (Mobile Number)	The Email ID being _____ Belonging to _____ (Email ID)
<input type="checkbox"/> Self	<input type="checkbox"/> Self
Or	Or
Mr./Ms. _____ (Name of Actual Holder of Mobile Number) &	Mr./Ms. _____ (Name of Actual Holder of Email-ID) &
<input type="checkbox"/> I am Spouse (of Mobile Number Holder)	<input type="checkbox"/> I am Spouse (of Email Account Holder)
<input type="checkbox"/> I am Dependent Parents (Father / Mother of Mobile Number Holder)	<input type="checkbox"/> I am Dependent Parents (Father / Mother of Email Account Holder)
<input type="checkbox"/> I am Dependent Children (Son / Daughter of Mobile Number Holder)	<input type="checkbox"/> I am Dependent Children (Son / Daughter of Email Account Holder)

For HUF Account Holder

I/We _____ (Name of the Account holder) hereby declare that the Mobile number being _____ (Mobile Number) & Email ID being _____ (email ID) belonging to <input type="checkbox"/> AOP (Authorized Person)

I/we request you to update the same in my trading and demat account for the purpose of sending any communication with regard to detail of my/our trades executed on stock exchange. All the communication related to my/our trading account should be communicated on the above mentioned mobile number and Email Id exceptionally for the purpose of my/our convenience only.

Further I/We hereby agree & undertake to indemnify and keep indemnified and save harmless you from against all claims/ demands/ penalties/suits/action or any loss or damaged suffered or incurred by you as a consequence of such instruction

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(Signature of the Client)

Signature of the Actual
Holder of Mobile Number

Signature of the Actual
Holder of Email Account

FATCA DECLARATION

Please seek appropriate advice from your tax professional on your tax residency and related FATCA & CRS guidance

PAN*											Mob.										
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Name																					Gender	M	F	O
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DPID	1	2	0	1	2	1	0	BO ID	0								
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Trading Code		Branch	
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Type of address given at KYC KRA	Residential	Residential or Business	Business
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Place of Birth																				
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Country of Birth																				
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Nationality																				
-------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Gross Annual Income Details in INR	Below 1 Lakh	5 - 10 Lacs	25 Lacs - 1 Crore	Net Worth in INR. In Lakhs ₹. _____								
	1 - 5 Lacs	10 - 25 Lacs	> 1 Crore									
				Net Worth as on <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y					

(Date should not be older than one year)

Occupation Details	Business	Professional	Public Sector	Housewife	Retired	Others [Please specify]
	Private Sector	Government Service	Agriculturist	Student	Forex Dealer	

Politically Exposed Person [PEP]	Yes	Related to PEP	Not Applicable
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Are you a tax resident of any country other than India?	Yes	No
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If yes, please indicate all countries in which you are resident for tax purposes or citizenship other than India (include USA) and the associated Tax ID Numbers below:

Country [#]	Tax Identification Number ^{##}	Identification Type (TIN or Other, please specify)

[#]To also include USA, where the individual is a citizen / green card holder of The USA


^{##}In case Tax Identification Number is not available, kindly provide its functional equivalent \$

DECLARATION:

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it. I/We hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to / any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required by domestic or overseas regulators/ tax authorities.

Signature

Date	d	d	m	m	y	y	y	y
Place								


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Voluntary Clauses (Terms & Conditions)

Suresh Rathi Securities Pvt. Ltd. (SRSPL)

In addition to the 'Rights and obligations' document, The client do hereby state and confirm the following terms and conditions as agreed upon by him/her/it with member Suresh Rathi Securities Pvt Ltd (SRSPL), a member of BSE, NSE & CDSL as contained in this Annexure to ensure smooth functioning of the client through SRSPL.

Execution of Orders & Confirmation of Trades:

1. The member shall not take any responsibility for unexecuted orders. All online best market orders would NOT be presumed as executed unless confirmed as trade by the respective exchanges trading system. The client also agrees that all orders placed by him shall be treated as orders for that particular session only unless he/she communicates the member to carried forward or extend for more number of days.
2. While the member would confirm the trades executed on my/ our account the same day. It would be my/ our duty to bring to the notice of the member any discrepancy in our trade confirmation the same day, falling which it is confirmed that I/we have accepted the trades in total. It is understood and confirmed that the member will not entertain any discrepancy regarding trade confirmation of the following day or at any point in time thereafter.
3. The SRSPL shall not be liable or responsible for non-execution of the orders of the Client due to any link/system failure, at the Client / SRSPLs/ exchange's end.
4. The Client is informed that he/she/they shall update their mobile numbers/email IDs with SRSPL (i.e. Stock Broker/Depository Participant). This will facilitate them to receive information of their transactions from the Exchange(s)/ Depositories on their mobile/email at the end of the day.
5. The client authorizes SRSPL to send Trade Confirmations/Margin calls at the mobile number of the client mentioned in the Client Registration Documents or modified by them thereafter. He/she has also understood that he/she will not receive the telephonic trade confirmations. The client shall provide valid mobile number to the SRSPL which shall be incorporated in the client registration documents. It shall be duty of the client to ensure that the mobile number provided in the client registration documents & modified thereafter is correct and in operation and/or in working condition at all the time.
6. SRSPL shall also send Trade Confirmations/Margin calls though SMS at the registered mobile number of client. The SMS Service may be discontinued for a specified period/indefinite period with or without any prior notice for any reason whatsoever. Such clients who have availed SMS service facility of payment basis agrees that SRSPL may discontinue SMS service with prior intimation with proper reasoning.
7. SRSPL shall not be liable or responsible for any statement receive from frauds or impostors or any consequences thereof.
8. The client authorizes exchanges to send SMS & e-mail alerts to his Mobile No. and e-mail id registered with SRSPL.

9. The Client authorizing the SRSPL to consider his/her/it telephonic instructions for order placing/order cancellation as writer instruction and gives him/her/they all the confirmation on telephone unless instructed otherwise in writing. The client is confirming that he/she/it is getting required details from contracts issued by SRSPL.
10. The Client is authorizing the SRSPL not to provide him/her /they, order confirmation/modification/ cancellation slips and trade confirmation slips to avoid unnecessary paper work. He/She/they shall get the required detail from contracts issued by SRSPL.
11. In case of the client opt for ECN, contract notes cum bills received through e mails shall hold good valid and binding on him/her/it. In case the contract note is sent through courier, the courier receipt of the same should be treated as confirmation of receipt of such contract.

Authorization for Ledger Statement:-

1. The client agrees that the ledger statements in respect of transactions entered into on the cash segments of the Exchanges will be combined for my convenience and the payments received and paid by the SRSPL will be appropriated on a first-in first-out basis.
2. The client agrees that he/she/it shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker preferably within 7 working days from the date of receipt of funds/securities or statement, as the case may be.

Acknowledgement of Charges for Account Opening/DP account & Other Charges:-

1. The Client agrees that the account opening for equity trading, if any, would be debited to the ledger account of the client after opening of the account. The entry reflected in the ledger account of the client would be sufficient acknowledgement of the receipt of account opening charges and the client agrees that no separate receipt will be issued in this regard.
2. For the convenience of payment of all the charges pertaining to the client demat account, the client agrees to debit his trading account with all the DP account charges, as and when the bill is raised by SRSPL (Depository participant). SRSPL may charge penalty on nonpayment of DP account charges. Such penalty amount shall be directly debited to the account of client.
3. The Client hereby agrees and understands that in case of any noncompliance and /or default by the Client such as cheque bouncing, client code modification, margin shortage, UCC violation, price

rigging or for any other matters as may be decided by SRSPL from time to time, without prejudice to SRSPL's other rights, SRSPL may levy charges/penalty (ies) on the client and debit such charges/penalty (ies) in the client account which has been imposed by Regulatory authorities.

Payment of Account Dues & Margin:-

1. For the purpose of the voluntary clauses the term "Dues of client" shall include the amount of monies payable by the client including but not limited to, the purchase price of the Securities, Brokerage, Margin money, Goods and Service Tax (GST), SEBI Turnover Tax, Exchange Transaction Charges, Auction Debit and Charges, Service Charge, Securities Transaction Tax (STT), Stamp duty, DP charges, penalties, interest on delayed payment, Clearing Member Charges, KRA charges, cheque bounce charges, penalties for noncompliance, shortfall in margins, DP Annual maintenance Charges, Pledging / Un-pledging Charges etc. that may be levied from time to time in the clients' accounts as per Regulatory norms.
2. The Client hereby agrees to make payment against debit balance and margin payments as demanded by SRSPL in the form of Funds (which shall hereinafter mean and include account payee cheque but not cash or currency) or securities in the proportion as prescribed by SRSPL or Exchange, failing which the broker can square up all or any outstanding position of sale and/or purchase, in any segment and/or in any Exchange without any notice to the Client.
3. All payment for Securities bought shall be made out by way of Cheque/fund transfer in favor of "Suresh Rathi Securities Pvt Ltd.". No third party cheque or DD will be given or taken by the client to or from SRSPL. At the time of settlement of dues of the Client, SRSPL shall draw an account payee cheque/fund transfer in favor of the Client which may be payable to a specified bank account of the Client. The Client agrees to make such fund transfer from the bank account, the details of which are provided by the Client to SRSPL in the Client Registration Form or in any other documents. The Client understands that SRSPL shall execute the orders only after the proceeds of the Margin account are realized and credited to the Bank account of SRSPL. Any payment made by the Client in the form of the account payee cheque shall be considered as Funds only upon the realization of the same.
4. In case of Margin in the form of Collateral, SRSPL, in its absolute discretion will decide the eligible securities, which could be pledged by the Client for meeting current or future margin obligation. SRSPL would be free to continuously review the eligibility of securities already pledged by the client. Securities accepted as margin shall be valued by SRSPL as per valuation norms decided by SRSPL from time to time. The Client authorizes SRSPL to sell these securities to recover any outstanding dues including ledger debits / DP debits /meet the margin requirements in Cash and F&O, Currency segments & other segment of the Exchanges.

5. The client agrees that the member may stipulate margins / additional margins depending on the speculative nature of the Security and market conditions in general and / or as applied by the respective exchanges. These margins would be payable on demand, as and when asked for.
6. The client agrees that all monies, collaterals or other property that may be held by SRSPL on the client's account shall be held by SRSPL at the sole risk and cost of the client and such monies, securities, or other property as permitted by the Exchange(s) shall be held subject to a general lien for the discharge of the client obligation to SRSPL under the voluntary clauses irrespective of whether such obligation of the client is disputed by the client. SRSPL shall be under no obligation to release such monies, securities or other property until the Client has discharged its entire obligation in full to SRSPL under the voluntary clause to the satisfaction of SRSPL.
7. The Client authorizes SRSPL to use its discretion to close out any part or all of the contracts in Capital Market, Equity, Currency & Future and Options segments held in the Clients account with SRSPL for the protection of SRSPL, in case of any default by the Client. The Client agrees to reimburse any or all such incidental expenses incurred by SRSPL
8. In case of dispute, these margin / deposits shall be repaid to the client within six month of closure of account with SRSPL after meeting contingent liabilities arising out of all or other transactions.
9. Client agrees that in case of any payout (funds/ securities) which is yet to be received by him/them for the previous settlement(s), the stock broker would be entitled to adjust the same against the current or subsequent settlement obligations or other charges or under the circumstances when client defaults.
10. The client agrees that SRSPL may set-off his credit balance available in his ledger account on any one Exchange/ segment against the debit balance in other Exchange/segment.
11. The amount of securities margin deposit with the member will always be interest free and the member shall have the right to adjust the same against any outstanding dues in my client account with the member.
12. The client hereby authorize SRSPL to re-pledge his/her securities whether pledged as collateral / margin or permitted by them to be retained in the running account etc. by SRSPL with stock exchange(s) and/or clearing corporation(s) /clearing house(s) / clearing member(s).

Delivery of Securities:-

1. The client agrees that the Securities sold through the Member on his/her/it account are belonging to him as legal, rightful and beneficial owners. He/She/It take full responsibility of any dispute regarding the title of the securities sold through the Member and state that he/she/it will deal only in those securities what would be rightly owned by him.

2. The Client hereby agrees that any loss arising of auction / closeout on account of share not cleared in SRSPL's account will be borne by the Client. The Client also agrees to bear any loss arising out of auctions due to incomplete instructions, illegible instructions, unclear instructions, instructions not received on time, due to operational/procedure delays for inter depository and time taken by the depositories to execute the same and/or any reason whatsoever
3. The Client hereby authorizes SRSPL to transfer shares, lying in SRSPL's pool account to his account and from there he can transfer to margin and/or any other account for pay-in purposes for shares purchased by the Client in previous settlements. In case the Client does not want SRSPL to transfer these shares towards inter settlement from SRSPL's pool account for pay-in purposes, he shall inform SRSPL in writing 48 hours before pay-in date. In case SRSPL does not receive the same in writing or for a wrong settlement, SRSPL shall not be responsible for loss, if any.
4. Any queries related to securities delivered by the member, would be brought to the notice to the Member within 2 days of the receipt of such securities in my/our demat account or otherwise it can be presumed that I/we have checked all the securities received by me/us & that they are good as per the prevailing norms.
5. In rolling settlement scenario, it is my/our responsibility to check my/our beneficiary demat account on a regular basis with our respective DP's
6. The client confirms that in case of securities purchased and sold on the next day or later on the same exchange, he/she/it will make the payment first and then received the payment on pay-out of the sale transactions.

Voice Recording of Client Conversation: -

The Client is aware that SRSPL /Authorized Person may tape-record the conversations while providing Trade Confirmations/Advisory services/ research calls or otherwise between the Client or the Client's authorized representative and SRSPL/ Authorized Person, either personally or over the telephone, and the Client hereby specifically permits SRSPL to do so. Such electronic recordings may be relied upon by SRSPL/ Authorized Person as and when required to resolve disputes in connection with the, trading transactions or otherwise.

Notice and Communication: -

1. The Client agrees that any notice or communication served on the Client under the voluntary clauses shall be valid and binding on him and shall be deemed to be duly served, if conveyed in writing through Letter, Fax, or by personal delivery duly acknowledged by the other party/ Courier at the Registered post to the address of the Client mentioned hereinabove or the last known address, or if electronically delivered at any one of the e-mail id intimated by the Client, or by publishing the same in the prominent daily newspaper where the registered / last known business / residential address

of the Client is situated or if conveyed over telephone /Mobile / on the last known number or thru SMS on mobile on the last known number or on the recording machine of such number or if a notice is pasted at the door of the registered address or the last known address of the Client.

2. The Client agrees that he will send any communication or notice, to SRSPL in writing through Letter or by personal delivery duly acknowledged by SRSPL or by registered post sent at the registered address of SRSPL mentioned herein above.
3. The client authorizes SRSPL to send Trade confirmations, research calls, investment ideas etc. including all commercial communication even though he/she/it registered or may register with National Do Not Call Registry established under the Telecom Unsolicited Commercial Communications Regulations, 2007 or registered or may register under the National Customer Preference Register established under new regulation viz the Telecom Commercial Communications Customer Preference Regulations, 2010.
4. SRSPL has placed on its website detailed document explaining to the client the features, risks, responsibilities, obligations and liabilities associated with securities trading and demat account among others through wireless technology / internet/smart order routing. The client agrees to go through the above terms and conditions and it shall be deemed to be sufficient notice by SRSPL.
5. The Client hereby agrees that he/she/it has been made aware/ read, understood and accept the prevailing RMS policy/all other Policies/procedures/ information/ instructions that may be issued from time to time from the broker. The Client shall also access the RMS Policy, all other policies / procedures/ information/instructions from the SRSPL Website from time to time. SRSPL may send any necessary communications to the client on their registered email address. SRSPL may modify the terms or any additional terms that to reflect changes to the law or changes to our policies/ procedures etc. The client should look at the terms regularly. The client should access his/her account regularly. Changes will be effective from the date of such change which are made for legal reasons & and will be effective immediately.

6. Authorization for digital communication:-

The client authorizes SRSPL to send the following digitally signed documents with respect to his/her/it trading account:- Electronic contract note/ contract cum bill (s) (ECN) / confirmation notes as applicable / Funds and securities ledger/ Statements of Margin and collateral. Securities transaction tax (STT) statements. Ledger Statement of account. Related notice, circulars, amendment and such other correspondence, document & of rewards which may be send by SRSPC from time to time electronically in lieu of physical mode. Other relevant document supplementing any all of the above.

7. The client further agrees that in the absence of communication from him regarding non receipt of documents through email or notification of any

discrepancy within reasonable time from the date of issuance of Digital Contract Note / documents through email, SRSPL may construe that there is deemed acknowledgement of the document(s) sent to client electronically

Risk Associated with Internet Trading/Securities Trading using Wireless Technology (STWT) / Smart Order Routing (SOR):-

1. INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS TO CLIENT (For all clients who have opted above mentioned facilities):- Member is eligible for providing Internet based trading (IBT) through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The Member shall comply with all requirements applicable to internet based trading using wireless technology as may be specified by SEBI & the Exchanges from time to time. The client is desirous of investing and for this purpose, the client is desirous of using either the internet based trading facility through use of wireless technology. The Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI. The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet or any other technology should be brought to the notice of the client by the Member. The Member shall make the client aware that the Member's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Member's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading 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 Member. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member'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. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet through wireless

technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever. The Member 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 Member shall send the order/trade confirmation on the device of the client. 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 Member and the Exchange do not make any representation or warranty that the Member's IBT Service will be available to the Client at all times without any interruption. The Client shall not have any claim against the Exchange or the Member on account of any suspension, interruption, non-availability or malfunctioning of the Member'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/Members/Exchange end for any reason beyond the control of the Member/Exchanges.

2. The Client acknowledges and accepts that the price of securities can and does fluctuate, and that any individual securities may experience downward/upward movements, and may under some circumstances even become valueless. Client therefore appreciate that there is an inherent risks that losses may be incurred rather than profit made, as a result of buying and selling securities.
3. The Client acknowledges and accepts that the internet is an inherently unreliable medium of communication and provision of services due to the public nature of the communication and that the accuracy, reliability and soundness of such means of communication and provision of services depends upon, amongst others, the service providers and the telephone, modem, cables, systems, facilities and the like used and operated from time to time by such providers and other participants. Client acknowledges and further accepts that, as a result of such unreliability, there are risks associated in using such means of communication including the congestion, break down, interruption or failure of transmission of the internet service or any communication equipment or facilities, errors, omissions or delays in the transmission and receipt of orders and other data and information and in the execution and confirmation of orders and/or the execution of orders at prices which may be different from those indicated on the service or prevailing at the time the orders were given. There are also other risks involved such as in the unauthorized access, tampering, modification or alteration of the service and/or the system, components and software used or comprised in the service which may result in the use, manipulation, retrieval or the theft or loss of data and information, including Client personal data. The Client agrees that SRSPL shall not be liable / responsible for such matters and resultant losses under any circumstances.

4. The systems used by SRSPL for providing Internet Broking services are generally capable of assessing the risk of the Client as soon as the order comes in. However, due to any reason whatsoever, if the order is processed without sufficient risk cover from the Client, Client shall be bound by such trade and shall provide such sums as may be required to meet his liability under the trade.
5. **Best Execution Policy for Smart Order Routing (SOR):-** This Best Execution Policy sets forth policy and execution methodology for client execution on the best terms. Upon acceptance of a client order for securities listed on a stock exchange within India and on specific client instruction regarding execution, trading member shall endeavor to execute that order in accordance with the following policy: Where the security is listed and/or traded on multiple recognized stock exchanges (multiple listing), SRSPL shall determine the recognized stock exchange where to route the order or part of the order based on factors like price, costs, speed likelihood of execution and settlement size and nature relevant to the execution of the order.

Force Majeure:-

1. Any action, omission, suspension of trading, decision or ruling of any Exchange or Regulatory, Governmental or other body or of any other person which is beyond SRSPL's control; or
2. By acts of God including earthquakes, flood, accident; or
3. Any commotion, insurrection, embargo, industrial dispute, computer, communication, telephone or system failure, war, power failure, equipment or software malfunction, strikes, etc. or
4. Any failure/breakdown of any connectivity media: or
5. SRSPL will not be liable to the Client for loss arising due to fire, theft or loss due to human error in case of shares sent for dematerialization, or any other unforeseen circumstances if the shares are in the custody of SRSPL beyond the stipulated time.
6. Any other conditions, beyond the control of SRSPL. The above Force Majeure events do not exempt the Client to fulfill the obligations in his account with SRSPL.

Indemnification:

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

Condition Governing Trading In Securities Other Than on the Floor of The Stock Exchange:-

Whereas SRSPL is also registered with the Association of Mutual Funds in India (AMFI) as a Mutual Fund Distributor. And whereas SRSPL is providing a facility through its ONLINE services to apply / Purchase / redeem / sale / buyback or otherwise deal in the units of Mutual Funds and securities (Here in after referred to as Transactions) through its website as defined above and whereas the Client is desirous of availing the facility of the said transactions and such other facilities offered Through SRSPL's website.

1. The Client shall authorize SRSPL by executing a DDPI in the favor of SRSPL to execute instructions of the Client or its authorized representative with regard to the transactions. All instructions given by the Client I its authorized representative shall be binding on the Client.
2. The Client undertakes to read all the relevant Offer Documents and addendums thereto and terms and conditions of all schemes of all mutual funds and other issues of securities including but not limited to Initial Public Offerings / Public Offers, Rights issue and Buy Back offers, offered through SRSPL's website; before entering into any transactions through the website and agrees to abide by the terms, conditions, rules and regulations as applicable from time to time.
2. The client hereby authorizes SRSPL to adjust the balance in his trading account maintained with SRSPL, for the purpose of investment in transactions, and similarly to use the balance in his IPO / Mutual Fund/other Investment account for setting off the debits in his trading account or otherwise, on the basis of his instructions, from time to time.
3. The Client agrees that SRSPL is entitled to disclose to regulatory authorities, all such information pertaining to the Client as may be required from time to time, for the Client to be able to avail of any or all of the services provided by SRSPL under these documents. SRSPL may furnish a certified copy of the DDPI and other documents on behalf of the Client to the Company / Registrar/ Mutual Fund.
4. The Client can view his/ her/ its transactions on the website.
5. SRSPL shall not be liable for any loss or damage caused by reason of failure or delay of the mutual fund/Registrar to deliver any units purchased even though payment has been made for the same or failure or delay in making payment in respect of any sold though they may have been delivered.
6. The Client agrees to provide SRSPL with any confirmation / declaration or any other document that the concerned Issuer /Asset Management Company or any other entity may from time to time require SRSPL to collect from the Client in respect of the services offered under the voluntary clauses.
7. The Client further agrees that SRSPL shall not be held responsible for non-allotment of securities either fully or partly to the Client, for any reason whatsoever. SRSPL shall not be held responsible in case due to any reason the bid/application/ revision instructions sent by the Client is not received by it, or

if the bid / application / revision could not be uploaded to the Stock Exchange, or could not be sent to the Bankers/ Registrar to the issue.

8. Any IPO / FPO / NFO / Bond issue or any other issue of securities, applied through SRSPL by any mode i.e. online / off-line / in writing etc., SRSPL will not be responsible for (i) non-bidding of application, (ii) non submission of application to Banker/ RTA/ Issuer and (iii) non-allotment of above securities by RTA/ Issuer due to any reason.

General:-

1. The Client agrees that a modification/ addition/ deletion to the terms and conditions on the website shall amount to a valid modification of the presents.
2. Client understands and agrees that the services availed from the Stock Broker is of commercial nature and any dispute with the Stock Broker in this regard shall be subjected to Exchange dispute redressal mechanism provided in this agreement and the consumer forum has no jurisdiction to entertain the same.
3. The client confirm that he/they shall not have recourse to dispute Redressal mechanism/ arbitration mechanism of the Stock Exchanges/SEBI in case the client avails the services under any schemes/leagues /competitions etc offered by any third party/group/ company/associate of the stock Broker.
4. Exchanges have issued circulars, cautioning the investors at large on unsolicited emails and SMS. In this reference you are requested to remain cautious on the unsolicited emails and SMS advising to buy, sell or hold securities and trade only on the basis of informed decision. Investors are advised to invest after conducting appropriate analysis of respective companies and not to blindly follow unfounded rumors, tips etc. Further, you are also requested to share your knowledge or evidence of systemic wrong doing, potential frauds or unethical behavior through the anonymous portal facility provided on Exchange(s) on their Websites.
5. The client is informed that dealing in shares of the listed Stock Exchange / Clearing Corporations &

listed depositories shall only be dealt by fit and proper persons as per Regulation 19 & 20 of SECC Regulations & as per Regulation 6(B) of SEBI (Depositories and Participants) Regulations, 2012 & Schedule II of the SEBI (Intermediaries) Regulations, 2008 respectively.

6. The client agrees and confirm that he/she/it will update details (Contact details, financial details, Beneficial Owner etc.) periodically. Also the client is required to provide such details as per PMLA Act, Rules, guidelines issued thereupon as and when sought by SRSPL failing which necessary actions as deemed fit as per regulations will be initiated.
7. The client confirm that he/she/it will keep himself updated of all rules, regulation & notifications of the exchanges before placing any order and such modifications are acceptable and binding on him.
8. The client agrees that member is not responsible for any loss occurred or adverse situation which arises in consequence of any order / circular modification etc. of exchange/SEBI / GOVT or any regulatory authority.
10. Any Authorization shall always be subject to revocation at any time by the Client. The member is hereby advised to keep these instruction in force unless specifically informed in writing. However, this will be effective after the Client clears all the dues payable to SRSPL.
11. Severance: In case anyone or more of the provisions contained in the voluntary clauses becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.
12. The above are subject to following conditions:-
 1. The authorization shall be in writing and be signed by the client only and not by any person authorized on his behalf.
 2. The authorization so obtained are not for any inter family / group company / related account settlement.

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(Client Signature)

(to be signed by the client only and not his authorised signatory)

Date :/...../.....

Place :

This page is left blank intentionally

Additional Form For Opening A Demat Account For Individuals

(To be filled by the Depository Participant)

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

Application No.		Date										
DP Internal Reference No.												
DP ID	1	2	0	1	2	1	0		Client ID	0		

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

Type of Account (Please tick whichever is applicable)

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

Holders Details :

Sole/First Holder's Name		PAN												
		UID												
		UCC												
		Exchange Name & ID												
Second Holder's Name		PAN												
		UID												
Third Holder's Name		PAN												
		UID												
Address of Correspondence														
Permanent Address (If differ from above)														
Contact Details	Tel. No.	Mobile	E-mail ID											
Other Details														
Gross Annual Income Details (Pls tick (✓) :	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> More than Rs. 25 Lacs Net worth on (Date) _____ Rs. _____ (Net worth should not be older than 1 year)													
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agricultural <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify).....													
Please tick if applicable	<input type="checkbox"/> Politically exposed person (PEP) <input type="checkbox"/> Related to Politically exposed person (RPEP)													
Any other Information														

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

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

Guardian's Name		PAN	
Relationship with the applicant			

I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other Further instruction from my/our end (if not marked, the default option would be 'NO')	<input type="checkbox"/> YES <input type="checkbox"/> NO
I/We would like to share the Email ID with the RTA	<input type="checkbox"/> YES <input type="checkbox"/> NO
I/We would like to receive the Annual Report. (Tick the applicable box. If not marked the default option would be Physical).	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both

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

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others <u>(specify)</u> _____								
Account Number									
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN Code			

- i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 ii) Photocopy of the Bank Statement having name and address of the BO
 iii) Photocopy of the Passbook having name and address of the BO,(or)
 iv) Letter from the Bank
 In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

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

**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]**

Annexure 2.4

Definitions:

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

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

Availability:

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

Receiving Alerts:

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

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

or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the

system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person

resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the

service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the

BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information

meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and

its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain,

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

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

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

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

DP ID	1	2	0	1	2	1	0		Client ID	0							
(Please write your 8 digit DPID)									(Please write your 8 digit Client ID)								

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

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

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

The mobile number is registered in the name of: _____

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

Sole / First Holder's Signature	Second Holder's Signature	Thire Holder's Signature
		

Nomination Form

Suresh Rathi Securities Pvt. Ltd.

Mahesh Hostel Complex, Bombay Motors Circle, Chopasni Road, JODHPUR (Raj.)


Nomination Registration No.

Date		DP ID	1	2	0	1	2	1	0		CLIENT ID							
------	--	-------	---	---	---	---	---	---	---	--	-----------	--	--	--	--	--	--	--

I/We wish to make a nomination (as per details given below)

Nomination Details: I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the 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 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
MANDATORY DETAILS				
1.	Name of the Nominee(s) Mr./Ms.			
2.	Share of each Nominee <input type="checkbox"/> Equally (If not equally, please specify percentage)	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3.	Relationship With the Applicant (If Any)			
NON MANDATORY DETAILS				
4.	Address of Nominee(s) City / Place: State & Country: Pin Code			
5.	Mobile / Tel. No. of nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <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			
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }			
10.	Address of Guardian(s) City / Place: State & Country: Pin Code			
11.	Mobile / Tel. No. of Guaurdian			
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			

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature 			

Note:

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Note:


This nomination shall supersede any prior nomination made by the account holder(s), if any

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Name and Signature of Holder(s)	First / Sole Holder	Second Holder	Third Holder

The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature 			

DECLARATION FORM FOR OPTING OUT OF NOMINATION
(Nomination नहीं करने के बाबत)

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]


To,

Suresh Rathi Securities Pvt. Ltd.

Mahesh Hostel Complex, Bombay Motors
Circle, Chopasni Road, JODHPUR (Raj.)

DP ID	1	2	0	1	2	1	0		Client ID	0						
(Please write your 8 digit DPID)									(Please write your 8 digit Client ID)							

- ☐ I/We hereby confirm that I/We **do not wish** to appoint any nominee in my nominate any one for this **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 demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account..


	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature 			

Note:

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

CHARGES STRUCTURE FOR BO ACCOUNT

PARTICULARS	REGULAR DEMAT ACCOUNT	BASIC SERVICES DEMAT ACCOUNT
Account Opening Charges	NIL	NIL
Account Closing Charges	NIL	NIL
Account Maintenance Charges	360/- p.a (for Individual Account), Rs 1000/- p.a (for Corporate Account),	NIL (For holding valuation upto 4 lakh) Rs.100/- (For holding valuation from Rs.4,00,000/-, to Rs.10,00,000/-) Above Rs.10 lakh as per Regular demat a/c
Agreement + Stationary Charges	NIL	NIL
Transaction Charges (On Mkt. with Auto Pay-in)	Rs.15/- per transaction (debit side Only)	Rs.15/- per transaction (debit side Only)
Transaction Charges (On Mkt. without Auto Pay-in)	Rs.20/- per transaction (debit side only)	Rs.20/- per transaction (debit side only)
Transaction Charges (Off Mkt. Inter Depository)	Rs.20/- per transaction within SRSPL, Rs.50/- Per transaction (through other DP/Broker)	Rs.20/- per transaction within SRSPL, Rs.50/- Per transaction (through other DP/Broker)
Demat Charges	Rs.5/- per Certificate plus, Rs.50/- per request courier charges	Rs.5/- per Certificate plus, Rs.50/- per request courier charges
Remat Charges	Rs.20/- for every 100 securities and courier charge Rs.50/-	Rs.20/- for every 100 securities and courier charge Rs.50/-
Pledge / Creation / Invocation	Rs.25/- per transaction	Rs.25/- per transaction
Margin Pledge Charges	N.A.	N.A.
Margin Un-pledge	Rs.15/- per transaction	Rs.15/- per transaction
Other Charges	Account Modification Charges - NIL & Rs. 25/- DIS Booklet	Account Modification Charges - NIL & Rs. 25/- DIS Booklet
Lotus Scheme	Joining fees Rs. 1000 per annum (Non- Refundable) Free transaction (for market transaction through SRSPL)	Joining fees Rs. 1000 per annum (Non- Refundable) Free transaction (for market transaction through SRSPL)
Life Time AMC (Account Maintenance Charges)	Rs1500/- p.a (for Individual Account), Rs.6000/- p.a (for Corporate Account) (Non-Refundable)	Rs1500/- p.a (for Individual Account (Non-Refundable)
Holding-Cum transaction statement Charges ""	Transaction statement will be sent once every month subject to transaction having taken place, or else once in a quarter. Every extra statement will be charged @ Rs. 15/- per statement.	Electronic statement - Free Physical Statement Rs 25/-
Rejected Dematerialization	Rs.50/- per DRF	Rs.50/- per DRF
G.S.T.	As applicable from time to time	As applicable from time to time

Sole / First Holder's Signature	Second Holder's Signature	Thire Holder's Signature
		

* Management reserves right to change decision as and when required

Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities.

PLEASE FILL ALL THE DETAILS IN BLOCK LETTERS IN ENGLISH & FILL SEPARATE REQUEST FOR NSDL & CDSL (Please mark (✓) on the appropriate box).

Date :

Client Name _____

☐ CDSL DP ID - 1 2 0 1 2 1 0

BO ID

Client Code

Dear Sir/Madam,

I/We executing the Demat Debit and Pledge instruction in favor of Suresh Rathi Securities Pvt Ltd., authorizing them to operate aforesaid beneficiary account for the below mentioned purpose.

Demat Debit and Pledge Instruction

Annexure-A

Purpose	Signature	Signature of HUF Coparcner / Any other Auth.Sign.		
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	1st Holder	Sno.	Name	Signature
		1.		
	2nd Holder	2.		
		3.		
Pledging / re-pledging of securities in favor 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	3rd Holder	4.		
Mutual Fund transactions being executed on Stock Exchange order entry platforms	1st Holder	Sno.	Name	Signature
		1.		
	2nd Holder	2.		
		3.		
Tendering shares in open offers through Stock Exchange platforms	3rd Holder	4.		

Note : This authorization will continue to remain valid until revoked in writing by you (pursuant to SEBI Circular no. **SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022**) and **SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/137 dt 6th October, 2022**

I/We accept (For Suresh Rathi Securities Pvt Ltd.).

Authorized Signatory:

Note: Demat Debit and Pledge Instruction Document shall be effective from 19th November 2022 or from the date as prescribed in the circular.

Annexure A - List of Demat Account

S.NO	DPID	CLIENT ID	DP NAME	ACCOUNT TYPE
TRANSFER/PLEDGE THE SECURITIES TO SURESH RATHI SECURITIES PVT LTD				
1	12012101	00071081	SURESH RATHI SECURITIES PVT LTD	BSE POOL ACCOUNT (CDSL)
2	12012101	00071100	SURESH RATHI SECURITIES PVT LTD	NSE POOL ACCOUNT (CDSL)
3	IN301803 (IN653382-CMBP ID)	10012647	ANAND RATHI SHARES & STOCK BROKERS LTD	BSE POOL ACCOUNT (NSDL)
4	IN301803 (IN561348 – CMBP ID)	10012639	ANAND RATHI SHARES & STOCK BROKERS LTD	NSE POOL ACCOUNT (NSDL)
5	12012101	00904694	SURESH RATHI SECURITIES PVT LTD	NSE SLBS POOL ACCOUNT (CDSL)
6	11000010	00012769	INDIAN CLEARING CORPORATION LTD	BSE EARLY PAYIN ACCOUNT (CDSL)
7	11000010	00015105	NATIONAL SECURITIES CLEARING CORPORATION LTD	NSE EARLY PAYIN ACCOUNT (CDSL)
8	11000023	00000864	NATIONAL SECURITIES CLEARING CORPORATION LTD	NSE SLBM EARLY PAYIN ACCOUNT (CDSL)
9	12012101	00892464	SURESH RATHI SECURITIES PVT LTD	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT (CDSL)
10	IN301803	10035882	ANAND RATHI SHARES & STOCK BROKERS LTD	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT (NSDL)
11	12012101	00893400	SURESH RATHI SECURITIES PVT LTD	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT (COLLATERAL) (CDSL)

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

☐ Jointly
 ☐ Anyone of the Holder

Consent for Communication to be received by first account holder/
 all Account holder: (Tick the applicable box.)
 If not marked the default option would be **first holder**.


☐ First Holder

☐ All Holder

E-mail id

☐ Second Holder

☐ Third Holder

Sole / First Holder's Signature	Second Holder's Signature	Thire Holder's Signature
		

CONSENT FOR DOWNLOAD KYC RECORD FROM CKYCR


Client Code : _____

To,

Suresh Rathi Securities Pvt Ltd
11/12, Mithila "A" CHS Ltd., J.B.Nagar, Andheri (E),
Mumbai - 400059

I.....[Name of the customer] S/o / D/o /
W/o[Father's /Mother's/Spouse Name], give my
consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of
verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name,
address, date of birth, PAN number etc.

Signed for and on behalf of	Trading Account Holder / 1st Holder of Demat Account	2nd Holder (Applicable in case of Joint Demat Account)	3rd Holder (Applicable in case of Joint Demat Account)
Name			
Signature 			

DECLARATION & ACKNOWLEDGEMENT

Client Code : _____


To,

Suresh Rathi Securities Pvt Ltd
11/12, Mithila "A" CHS Ltd., J.B.Nagar, Andheri (E),
Mumbai - 400059

For the purpose of Account Opening, I/We hereby declare that the details provided on the KRA/KYC page
downloaded from KRA System by you, are true and correct till date. I/We undertake to inform you of any
changes therein, immediately. In case any of the above information is found to be false or untrue or
misleading or misrepresenting, I/We are aware that I/We may be held liable for it.

Trading/Demat Account

I/We hereby acknowledge the receipt of a copy of executed Client Registration Form including KYC details,
Tariff sheet, Policies & Procedures, Standard Documents (i.e. Right & Obligation of Beneficial Owner &
Depository Participant Document, Right & Obligation of Stock Broker / Trading Member, Risk Disclosure
Document, Guidance Note, Do's and Don't and all non mandatory documents). I/We aware that Standard
Documents are made available on Company Website i.e. www.sureshrathi.com

Signed for and on behalf of	Trading Account Holder / 1st Holder of Demat Account	2nd Holder (Applicable in case of Joint Demat Account)	3rd Holder (Applicable in case of Joint Demat Account)
Name			
Signature 			

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VOLUNTARY
LETTER TO AVAIL MARGIN TRADING FACILITY (MTF)

Client Code: _____

PAN : _____

From:

Name & Address of the client

.....
.....
.....

To,

Suresh Rathi Securities Pvt. Ltd.
Mahesh Hostel Complex,
Chopasani Road,
Jodhpur 342001
Rajasthan.

Dear Sir,

I , registered with Suresh Rathi Securities Pvt Ltd. (SRSPL) as a client for stock broking services . I am desirous of availing Margin Trading Facility (MTF) provided by you.

I have received and read the Rights & Obligation for MTF Documents and I agree to abide by the same. Further, I shall be bound by your Terms & Conditions, from time to time.

I request you to send all the order confirmations, margin calls or liquidation of position/ security and other communication through SMS and Email as per client master as of now in your records.



(Signature of the Client)

Date:

Place:

**VOLUNTARY
DECLARATION - 1**

Declaration for Securities Trading Using Wireless Technology

To,

Suresh Rathi Securities Pvt. Ltd.
11/12, Mithila "A", CHS Ltd.,
J. B. Nagar, Andheri (E), Mumbai 400 059.

Sub: Securities trading using wireless technology

I/We am/are registered as your client with Client Code as stated above.

*I/ We have submitted the account opening form to you whereby the rights and obligations of stock brokers, and clients for executing trades at Capital Market segment, Futures & Options segment and/ or Currency Derivatives segment of National Stock Exchange of India Ltd. (NSE) / Bombay Stock Exchange Ltd. (BSE) are mentioned. The aforesaid rights and obligations for trading through wireless technology have been read and understood by me.

I/We am/are interested in carrying out securities trading through use of wireless technology which shall include devices such as mobile phone, laptop with data card etc. using Internet Protocol (IP).

I/We understand that the terms and conditions applicable to Internet based trading will also be applicable to securities trading through use of wireless technology. I / We am /are aware of all the possible risks, responsibilities and liabilities associated with securities trading using wireless technology.

I/We understand that your website www.sureshrathi.com shall provide detailed information about securities trading done through the use of wireless technology. I/we understand that I/we will get the information by using Login ID/ Password provided to me/us by you at the time of registration as

I/We understand that you shall send the Order / Trade confirmation details through e-contract on our existing E-mail id registered with you within 24 hours of the execution of trade as the case may be.

I/We agree that the information sent by you on my/our E-mail id / Wireless Device would be deemed to be a valid delivery of such information by you. The aforesaid information regarding order and trade confirmation shall also be provided to me / us on the device used for securities trading through the use of wireless technology.

I/We am/are aware that authentication technologies and strict security measures are required for the securities trading using wireless technology through order routed system and undertake to ensure that my/our Login Id and / or Password is not revealed to any third party. In case the device used by me/ us for securities trading through wireless technology is lost, misplaced, stolen, etc. I/ we shall inform the same to you within 24 hours from the occurrence of such event and request you to deactivate my/our Login Id and / or Password.

I/ We will be solely liable to settle all transactions executed in my trading account using such device or otherwise. I/We therefore request you to enable me / us for carrying securities trading through use of wireless technology.



(Signature of the Client)

Date:

Place:

**VOLUNTARY
DECLARATION - 2
Declaration for Intraday Trading Facility (Auto Square off Letter)**

To,

Suresh Rathi Securities Pvt. Ltd.
11/12, Mithila "A", CHS Ltd.,
J. B. Nagar, Andheri (E), Mumbai 400 059.

I/ We request you to grant me/us higher trade limit for executing intra-day trades at permitted stock Exchange (s).

I/We agree and undertake to square-off my/ our open intraday trades on the same day any time before 20 minutes of normal market close or such other time as may be informed to me/us through email or otherwise. In the event of my/our failure to square off all outstanding intraday trades by the predefined time or such other time as may be intimated to me/us from time to time, you are authorized to cancel all pending intraday orders and to square-off my/our open intraday position on the same day at market rate at your discretion.

Notwithstanding the above, I/we agree that if the mark to market losses on my/our cash positions and/ or F&O and/ or Currency Derivative positions reaches the specified percentage of margin deposit, as may be intimated from time to time, the entire outstanding positions in cash, derivative, currency segment may be closed /squared up by you on occurrence of such event.

If due to power failure, connectivity failure, circuit breakers, lack of market depth or any other reason, my/our open Position is not square-off on the same day, you may square-off the same on the next trading day at market rate at your discretion.

I/ We agree that in all the above instances the resulting loss and penalty chargeable by you or stock exchanges, if any, shall be fully borne by me/us.



(Signature of the Client)

Date:

Place:

NACH/ECS/AUTO DEBIT[illegible]

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

Y	E	S	B	0	0	7	0	9	0	0	0	0	2	8	6	6	1
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

Cancel

ICCL

[illegible][illegible]

₹

☒ As & when presented

Reference 2

1) 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. 2) 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. 3) 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.

Maximum period of validity of this mandate is 40 years only

Maximum period of validity of this mandate is 40 years only

Phone No.:

1. _____ 2. _____ 3. _____

STOCK BROKING SINCE 1981

ONLINE IPOs



- Visit Website www.sureshrathi.com
Mobile APP [mSauda](#) - Go to Links
- Click "Online IPO Bid"
- Select the IPO & Apply
- Put UPI ID, Lot size, Cut-off price and proceed
- You will receive Bid confirmation on SMS
- Login to your UPI APP or Bank Interface to approve the BID

BHIM UPI / GooglePay / Paytm / YBL / Phone-Pe / and many bank interface available

**Apply
Paperless IPO
without
NetBanking**

MOBILE TRADING

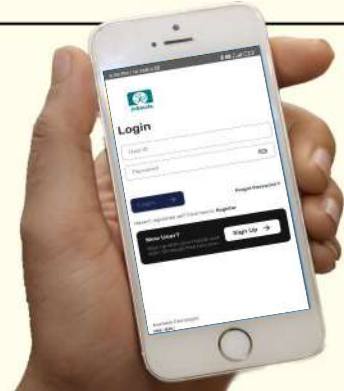


Track & Trade Stocks on Mobile



Download '[Suresh Rathi mSauda](#)'

Available on



- Live Holding Valuation
- Online Fund Transfer
- Apply IPO Online
- Market News & Info
- Corporate Action
- Back-Office Reports

TELEGRAM APP

Download & Join our Channels

SR SPL Market Updates

- Get Daily Market Updates

SR SPL Portfolio Update

- Get Realtime 5% up/down alerts of your Holdings
- Weekly Holding Statement & Financial Statment

SR SPL Trade Confirmation

- Instant Sauda Confirmation
- Information of Ledger Debit / Credit
- Contract Note
- F&O Positions & Margin Details
- Receipt & Payment Details



Suresh Rathi

Wealth Creator thru Systematic Investment

BROKING • DEPOSITORY • IPO • MUTUAL FUND • INSURANCE

1800 120 2484

info@sureshrathi.in

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