CHECKLIST

Required Documents:-

1. Company Pan card copy.
2. Company Address proof -Bank account statement / passbook not more than 3 months old.
3. Copy of the balance sheet for the last 2 financial years (To submit every year)
4. Copy of latest share holding pattern including list of all those holding control either directly or indirectly. In the company in terms of SEBI takeover regulation, duly certified by the company secretary/whole time director /MD.
5. Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in change of day to day operations.
6. Copy of the Memorandum and Articles of Association and certificate of incorporation.
7. Copy of the Board Resolution for investment in securities market (Format attached).
8. Authorized signatories list with specimen signatures
9. All documents should be signed by the Authorized signatories with company stamp.

SOCIETY

1. Society Pan card copy.
2. Society Address proof -Bank account statement / passbook not more than 3 months old.
3. Photograph, POI, POA, PAN of individual members
4. Copy of Registration Certificate under Societies Registration Act
5. List of Managing Committee members
6. Committee resolution for persons authorized to act as authorized signatories with specimen signatures
7. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

TRUST

1. Trust Pan card copy.
2. Trust Address proof -Bank account statement / passbook not more than 3 months old.
3. Certificate of registration (for registered trust only).Copy of Trust deed
4. List of trustees certified by managing trustees/CA
5. Photograph, POI, POA, PAN of Trustees

PARTNERSHIP ACCOUNT

1) Pan Card in the name of Partnership firm
2) Demat Account opened in the name of partners, trading account in the name of firm.
3) Address proof Latest three months Bank statement duly signed by the Banking authority
4) Non-individual kyc of partnership A/C
5) Partnership deed
6) Letter head of the firm on which attached matter is to be printed (Format Attached)
7) Authorized list
8) Regostration certificate

LIMITED LIABILITY PARTNERSHIP (LLP)

(i) Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008.
(ii) Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat and trading account on behalf of the LLP.
(iii) PAN Card details of the LLP.
(iv) The bank details in the name of the LLP, as sole / first holder in the bank Account and same will be considered for address
(v) PAN card of the authorized signatories to be kept on record.

N

Know Your Client (KYC) Application Form (For Non-Individuals Only)

CVL

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

PHOTOGRAPH

Please affix the recent passport size photograph of Authorised Signatory and sign across it

2. Date of Incorporation d d / m m / y y y y
   Place of Incorporation
3. Registration No. (e.g. CIN)
   Date of commencement of business d d / m m / y y y y
4. Status Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation ☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please specify)
5. Permanent Account Number (PAN) (MANDATORY) Please enclose a duly attested copy of your PAN Card

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

   City / Town / Village Postal Code
   State Country

2. Contact Details

   Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)
   Mobile (ISD) (STD) Fax (ISD) (STD)
   E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
   ☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
   ☐ Any other proof of address document (as listed overleaf) (Please specify)
   *Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

4. Registered Address (If different from above)

   City / Town / Village Postal Code
   State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
   ☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
   ☐ Any other proof of address document (as listed overleaf) (Please specify)
   *Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

C. New Other Details (please see guidelines overleaf)

1. **Gross Annual Income Details** Please tick (✓) ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs-1 Crore ☐ > 1 Crore
2. **Net-worth in ₹.** (*Net worth should not be older than 1 year) **as on (date)** d d / m m / y y y y
3. **Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors** (Please use the Annexure to fill in the details)
4. **Is the entity involved/providing any of the following services** ☐ YES ☐ NO
   - For Foreign Exchange / Money Changer Services ☐ YES ☐ NO
   - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO
   - Money Lending / Pawning ☐ YES ☐ NO
5. **Any other information:**

DECLARATION

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

NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)

Place: Date:

FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

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

Name of Applicant ______________________________ PAN of the Applicant

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promotors, whole time directors etc.)	Photograph

Name & Signature of the Authorised Signatory(ies)　Date d d / m m / y y y y

CVL

Place for Intermediary Logo

Suresh Rathi
Since 1961 Wealth Creator thru Systematic Investment

CENTRAL KYC REGISTRY

Know Your Customer (KYC) Application Form | For Individuals

CERSAI

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* ☐ New ☐ Update
KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ *(Mandatory for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

PHOTO

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
Marital Status* ☐ Married ☐ Unmarried ☐ Others
Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)
Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin
Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)
☐ B-Business
☐ X- Not Categorised

Applicant Signature / Thumb Impression

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

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

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

☐ A- Passport Number ☐☐☐☐☐☐☐☐ Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card Identification Number
☐ Z- Others (any document notified by the central government) Identification Number
☐ S- Simplified Measures Account - Document Type code ☐☐

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* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others (please specify)
☐ Simplified Measures Account - Document Type code ☐☐

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

☐ **5. CONTACT DETAILS** (All communications will be sent on provided 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* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

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

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

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

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ **7. REMARKS (If any)**

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 : D D – M M – Y Y Y Y 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 D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **SURESH RATHI SECURITIES PVT. LTD.**

Code

[Institution Stamp]

ADDITIONAL KYC DETAILS

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	

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) 1	Currency Derivatives 2
	Equity Derivatives (FO) 3	Mutual Fund 4
NSE SLBM SEGMENT	5	

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.

NEGATIVE 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

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:	

ADDITIONAL KYC DETAILS

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			BSE	
			NSE	
Signature		Tel. No.		
		Fax No.		
	1	Website		

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

Name of Authorised Person		Name of Auth. Person If any		Client Code		Exchange	

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)** d d / m m / y y y y

(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

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

INTRODEUCER DETAILS (Optional)

Name Add./Tel.		Signature of the Introducer	
Status of the Introducer	☐ Authorized Person ☐ Existing Client ☐ Other		

NOMINATION DETAILS (FOR INDIVIDUAL ONLY)

☐ I / We wish to nominate ☐ 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 Address		Name Address	
Signature		Signature	

ADDITIONAL KYC DETAILS

DECLARATION
1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. 2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariffsheet. 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*

Name				Client Signature	6
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 cliental 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 12 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 Power of Attorney 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 POA 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.

7

(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.22
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.22
- 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**

SRSPL reserves the rights to change the brokerage as well as other tarrif from time to time under intimation to client.

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

8

Client 's Signature

Authorised Signatory

VOLUNTARY

AUTHORIZATION TO RETAIN FUND AS RUNNING ACCOUNT & ADJUSTMENT OF BALANCES

To

SURESH RATHI SECURITIES PVT. LTD.

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

J B Nagar, Andheri (E), MUMBAI - 400059

Dear Sir,

Subject : Authority to retain fund towards margin in Cash Segement, 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 exhange 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.

9

(Client Signature)

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

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

FATCA/CRS & UBO Declaration

1) In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/CRS Indicia observed (ticked)		Documentation required for Cure of FATCA/CRS indicia
		If customer does not agree to be Specified U.S. person/reportable person status
1	U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document **evidencing nationality or citizenship** (refer list below); **AND** 3. Any one of the following documents: a. Certified Copy of “Certificate of Loss of Nationality or. b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
2	Residence/mailing address in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; **and** 2. Documentary evidence (refer list below)
3	Telephone number in a country other than India (and no telephone number in India provided)	1.Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; **and** 2. Documentary evidence (refer list below)
4	Standing instructions to transfer funds to an account maintained in a country other than india	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; **and** 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:
1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

*Government or agency thereof or a municipality

2) It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such dentifiers.

If TIN/ Functional Equivalent available	Any document evidencing TIN issued by an authorised government body
No TIN is yet available	An explanation and attach it to the form.

FATCA-CRS Declaration & Supplementary KYC Information - Declaration Form for Non-Individual

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

PAN			
Name			
Address Type [for KYC address]	☐ Residential ☐ Business ☐ Residential / Business ☐ PAN ☐ Registered Offices		
Place for Incorporation		**Country for Incorporation**	
Gross Annual Income Details in INR	☐ Below 1 Lakh ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs 1 cr ☐ > 1 Crore	Net worth in INR in Lacs Net worth as of	____________ dd/mm/yyyy
Is the entity involved in / providing any of the following services:	☐ Foreign Exchange / Money Changer Services Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates] ☐ Money Laundering / Pawning	Any other information [if applicable]	[Please specify]

Is your lEntity] Country of Tax Residency other than India - ☐ Yes ☐ No

If 'Yes' please specify the details of all countries where you [Entity] hold tax Residency and its Tax Identification Number & type

Sr. No.	Country of Tax Residency	Tax Payer Identification Number / Functional Equivalent / Company Identification Number or Global Entity Identification Number	Identification Type [TIN or other please specify]
1			
2			
3			

In case the Entity's Country of Incorporation / Tax Residence is US but Entity is not a Specified US Person, mention Entity's exemption code here____________________(Refer Instructions)

[to be filled By Financial Instructions or Direct Reporting NFFEs]

We are a

○ Financial Institution/FFI [refer instructions a.]

○ Direct Reporting NFFE [refer instructions b.]

GIIN (Global Intermediary Identification Number):

Name of the sponsoring entity

GIIN not available *[tick any one]:*

○ Applied For ○ Not required to apply for - specify sub-category code ☐☐ [refer instructions c]

○ Not obtained - Non - participating FFI

[Fill any one as applicable - to be filled by NFEs other than Direct Reporting NFFEs]

1	Is the entity is a listed company [whose *shares are regularly traded on a recognized stock exchange [refer instructions d.]*	Yes ☐ (Please specify the name of the Stock Exchange(s) where it is traded regularly) 1.____________________ 2.____________________
2	Is the entity a 'Related Entity' of a listed company [whose shares are regularly trade on a recognized stock exchange] *[refer instructions e.]*	Yes ☐ (Please specify the name of the listed company, name of the Stock Exchange(s) where it is traded regularly) Name of the listed company:____________________ Name of the Stock Exchange:____________________
3	Is the entity an Active NFE?	Yes ☐ Nature of business____________________ Please specify sub-category of Active NFE: ☐☐ *[refer instructions g.]*
4	Is the entity a Passive NFE: *[refer instructions h.]*	Yes ☐ Nature of business____________________ Also submit UBO Form *[provided separately]*

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 **Suresh Rathi Securities Pvt. Ltd.** to disclose, share, 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 associates of SRSPL Group, issuers, brokers, banks and other relevant parties ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other Authorised Parties to facilitate single submission/updation & for other relevant purposes. I/ We also undertake to keep you informed in writing about any changes/modification to the above information in future promptly, i.e., within 30 days and also undertake to provide any other additional information as may be required at your end. As may be required by domestic or overseas regulators/tax authorities, I/We authorize the Authorised Parties to withhold and pay out any sums from your account or close or suspend your account(s) without any obligation of advising me of the same.

Signature with relevant seal:

Authorised Signatory

Date:

Place:

Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons
(Mandatory for Non-individual Investors)

I: Investor details:

Name of the Investor:

PAN

II: Category

☐ Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company [If this category is selected, no need to provide UBO details]

☐ Unlisted Company ☐ Partnership Firm / LLP ☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Private Trust

☐ Religious Trust ☐ Trust created by a Will ☐ Others *[please specify]* ______________________

UBO / Controlling Person(s) details

Sr. No.	Name of UBO#	Country of Tax Residency	Taxpayer Identification Number/PAN Equivalent ID Number#	Identification Type#	% of beneficial interest#	CP/UBO Code# (Refer Instructions E]	Place & Country of Birth#	Date of Birth [dd mmm-yyyy]$	Address $ Address Type* & Contact details [include City, Pincode, State, Country	Gender $ [Male, Female, others]	Father's Name $	Nationality$	Occupation [Service, Business, Others.]

FATCA, CRS & UBO Declaration

Mandatory fields
*Address Type should either Residence or Business or Registered Office $ Mandatory if PAN of UBO / Controlling persons is not provided
Note: If the given rows are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory
Note that some of the Authorised Parties may call for additional information/documentation wherever required or if the given information is not clear /incomplete / incorrect and you may to have provide the same as and when solicited

Declaration

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after consulting necessary tax professionals, read & understood the FATCA terms and conditions. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you to disclose, share, 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 IIFL Wealth Management Limited , IIFL Group, issuers, brokers, banks and other relevant parties ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India 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 Authorised Parties 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 promptly,i.e., within 30 days and also undertake to provide any other additional information / documentary proof as may be required at your end

Authorised Signatory

Place________________

Date____/______/______

FATCA DECLARATION

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

PAN* | Mob.

Name | Gender M F O

DPID	1	2	0	1	2	1	0		BO ID	0							

Trading Code | Branch

Type of address given at KYC KRA: Residential ☐ Residential or Business ☐ Business ☐

Place of Birth

Country of Birth

Nationality

Gross Annual Income Details in INR				Net Worth in INR. In Lakhs
	Below 1 Lakh ☐	5 - 10 Lacs ☐	25 Lacs - 1 Crore ☐	₹. ________________
	1 - 5 Lacs ☐	10 - 25 Lacs ☐	> 1 Crore ☐	Net Worth as on 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 ☐

Are you a tax resident of any country other than India? Yes ☐ No ☐

If yes, please indivate all countries in which you are resident for tax purposes or citizenship other that 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 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.

Date d d m m y y y y

Place

Signature

11

Additional KYC Form For Opening A Demat Account

(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 0

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

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

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

Status			**Sub-Status**
❑ Body Corporate ❑ Banks ❑ Trust ❑ Mutual Fund ❑ OCB ❑ FII ❑ CM ❑ FI ❑ Clearing House ❑ Other (Specify)			**To be filled by the DP**
SEBI Registration No. (If Applicable)		SEBI Registration Date	
RBI Approval No. (If Applicable)		RBI Approval Date	
Nationality	Indian	Others (specify)___________	

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] ❑ Yes No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other Further instruction from my/our end (if not marked, the default option would be 'NO')	☐ YES ☐ NO
Account Statement Requirement	As per SEBI Regulation ❑ Daily ❑ Weekly ❑ Fortnightly ❑ Monthly
I/We request you to send Electronic Transaction -cum-Holding Statement at the E-mail ID ______________________________	☐ YES ☐ NO
I/We would like to share the Email ID with the RTA	☐ YES ☐ NO
I/We would like to receive the Anual Report. (Tick the applicable box. If not marked the default option would be Physical).	☐ Physical / ☐ Electronic / ☐ Both

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id		Trading Member Id	
I / We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]			☐ YES ☐ NO

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)								
IFS Code (11 character)								
Account Type	❑ Saving ❑ Current ❑ Others (specify) ____							
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.

Other Details

Gross Annual Income Details (Pls tick (✓) :	☐ Below Rs 1,00,000 ☐ Rs 1,00,000 to Rs 5,00,000 ☐ Rs 5,00,000 to Rs 10,00,000 ☐ Rs 10,00,000 to Rs 25,00,000 ☐ Rs 25,00,000 to Rs 100,00,000 ☐ More than Rs 100,00,000 Net worth on (Date) ______________ Rs.________________ (Net worth should not be older than 1 year)
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ☐. Please provide details as per Annexure 2.2A.	
Any other information:	

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

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the 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 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.

	Sole / First Authorised Signatory	**Second Authorised Signatory**	**Third Authorised Signatory**
Name			
Designation			
Signature	21		

(In case of more authorised signatories, please add annexure)

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
12		

CHARGES STRUCTURE FOR BO ACCOUNT

PARTICULARS	REGULAR DEMAT ACCOUNT	NON TRADING WITH SRSPL	BASIC SERVICES DEMAT A/C
Account Opening Charges	NIL	NIL	NIL
Account Closing Charges	NIL	NIL	NIL
Account Maintenance Charges	2nd year onwards Rs 360/- p.a (for Indivdual Account), Rs 1000/- p.a (for Corporate Account), In case of No. Transcation during Financial Year min Rs.100/- AMC will be charged.	Rs 500/- p.a (for Indivdual Account), Rs 2000/- p.a (for Corporate Account)	Value Upto 50,000 - NIL, Value above 50,000 upto 2 lacs -Rs 100/-, Value above 200,000 as per Regular demat a/c
Agreement + Stationary Charges	NIL	NIL	NIL
Transaction Charges (On Mkt. with Auto Pay-in)	Rs.15/- per transaction (debit side only)	N.A.	Rs. 30/- per transaction
Transaction Charges (On Mkt. without Auto Pay-in)	Rs.20/- per transaction (debit side only)	N.A.	Rs. 40/- per transaction
Transaction Charges (Off Mkt/ Inter Depository)	Rs.20/- per transaction within SRSPL, Rs.50/- Per transaction (through other DP/Broker)	Minimum Rs.50/- per transaction or 0.05% whichever is higher	Rs.50/- per transaction
Demat Charges	Rs.5/- per Certificate plus, Rs.50/- per request courier charges	Rs.10/- per Certificate plus, Rs.75/- per request courier charges	Rs.10/- per Certificate plus, Rs.100/- per request courier charges
Remat Charges	Rs.20/- for every 100 securities and courier charge Rs.50/-	Rs.40/- for every 100 securities and courier charge Rs.100/-	Rs.40/- for every 100 securities and courier charge Rs.100/-
Pledge/Creation/Invocation	Rs.25/- per transaction	Rs.50/- per transaction or 0.05% whichever is higher	Rs.50/- per transaction or 0.05% whichever is higher
Margin Pledge Charges	N.A.	N.A.	N.A.
Margin Unpledge	Rs.15/- per transaction	N.A.	Rs.30/- per transaction
Other Charges	Account Modification Charges - NIL & Rs. 25/- DIS Booklet	Rs.50/- Account Modification Charges & Rs.50/-DIS Booklet	Rs.50/- Account Modification Charges & Rs75/-DIS Booklet
Lotus Scheme	Joining fees Rs. 1000 per annum (Non Refundable) Rs.5/- per transaction (for market transaction through SRSPL)	N.A.	N.A.
Life Time AMC (Account Maintenance Charges)	Rs1500/- p.a (for Individual Account), Rs.6000/- p.a (for corporate Account) (Non-Refundable)	N.A.	N.A.
Holding-Cum transaction statement Charges **	Transaction statement will be sent once every month subject to a transaction having taken place, or else once in a quarter. Every extra statement will be charged @ Rs. 15/- per statement.	Transaction statement will be sent once every month subject to a transaction having taken place, or else once in a quarter. Every extra statement will be charged @ Rs. 25/- per statement.	Electronic statement & two statment free of cost during billing cycle. Additional physical statement charges @ Rs.25/-
Rejected Demateralisation	Rs.50/- per DRF	Rs.100/- per DRF	Rs.100/- per DRF
G.S.T.	As applicable from time to time	As applicable from time to time	As applicable from time to time

☐ I do not wish to avail BSDA scheme.

☐ I wish to avail BSDA scheme.

Sole / First Holder's Signature	Second Holder's Signature	Thire Holder's Signature
15		

* 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.

Annexure-A

Demat Debit and Pledge Instruction

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

Note : This authorization will continue to remain valid until revoked in writing by you (persuant 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

TRANSFER / PLEDGE THE SECURITIES TO FOLLOWING ACCOUNTS

S.NO.	DP ID	CLIENT ID	DP NAME	ACCOUNT TYPE
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	00892451	SURESH RATHI SECURITIES PVT LTD	CLIENT SECURITIES MARGIN FUNDING FUNDED ACCOUNT (CDSL)
12	12012101	00893400	SURESH RATHI SECURITIES PVT LTD	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT (COLLATERAL) (CDSL)

(1st Holder Signature) (2nd Holder Signature) (3rd Holder 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 Owener & 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 16			

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

Place : ....

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:

Policy for facility of voluntary freezing / un-freezing of online trading account

Dear Esteemed Client,

Reg.:- Facility of voluntary freezing/blocking and /or Unfreezing/ Unblocking of Trading Accounts by Clients.

In compliance with recent SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated 12.01.2024 & NSE Circular No. 24/2024 dated 08th April 2024 & BSE Circular No. 20240408-12 dated 08th April 2024, we wish to apprise you that we have made a policy for voluntary freezing/blocking the online access of the trading accounts through which Client may request to freeze/block the online access of his/her trading account on account of suspicious activities.

In further to this, with effect from 01.07.2024 we make available to the Clients two modes of the communications through which Client may request for voluntary freezing/blocking the online access of trading account on account of suspicious activities and details thereof are given as follows:-

a) Email from registered e-mail ID
b) Tele calling

The Client may send his/her request for voluntary freezing/blocking the online access of trading account at email id :- stoptrade@sureshrathi.in from his/her registered email id,
and/or may submit his/her request as stated by tele calling from his/her registered mobile number to our designated mobile number **8094254000**
Similarly the Client may send his/her request for Unfreezing /Unblocking the online access of trading account at email id :- stoptrade@sureshrathi.in from his/her registered email id, and/or may submit his/her request as stated by tele calling from his/her registered mobile number to our designated mobile number **8094254000**

You can refer to the Circular below for further details- NSE Circular No. 24/2024:-
https://nsearchives.nseindia.com/content/circulars/INSP61529.pdf
BSE Circular No: 20240408-12 dated 08th April 2024

Client Signature

POLICY FOR HANDLING GOOD TILL DATE ORDERS

Version 1 dated June 21, 2024

Contents

Policy for Handling Good Till Date Orders

- **Background :**

  Exchanges vide it's 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.

Client Signature