

**STAMPEDE Capital Limited**

**KYC**

<b>Application No :</b>			
<b>Client Name</b>		<b>Client Code</b>	

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**STAMPEDE CAPITAL LIMITED**

Corporate Member: NSE, BSE, &MSEI

NAME OF STOCK BROKER/TRADING MEMBER: M/s. Stampede Capital Limited

Regd Office: A-Z Elite, 1st Floor,Plot No. 197, Guttala Begumpet Village, Madhapur,  
Hyderabad-500081.Telangana. Phone: +91 40 2354 0763/64, Tele Fax: +91 40 2354 0763

e-mail: [info@stampedecap.com](mailto:info@stampedecap.com)

[www.stampedecap.com](http://www.stampedecap.com)

SEGMENT	SEBI REGISTRATION NUMBER& DATE
NSE - Capital Market(CM)	INB231346934&12-08-2009
NSE – Futures & Options (FO)	INF231346934&12-08- 2009
NSE - Currency Derivatives (CDS)	INE231346934&03-01-2012
BSE - Capital Market(CM)	INB011346930&23-12-2011
BSE – Futures & Options (FO)	INF011346930&23-12-2011
BSE-Currency Derivatives (CDS)	INE011346930&28-05- 2014
MSEI Currency Derivatives Segment (CDS)	INE261346934&03-07-2012

**CLIENT REGISTRATION FORM**

<b>ClientName</b>		<b>ClientCode</b>	
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**ACCOUNT OPENING KIT**

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<b>COMPLIANCE OFFICER DETAILS:</b> <b>Name:</b> Venkateshwarlu Ambala <b>Phone No:</b> : 040-23540764 <b>Email ID:</b> <a href="mailto:venkatambala@stampededecap.com">venkatambala@stampededecap.com</a>	<b>DESIGNATED DIRECTOR/CEO DETAILS:</b> <b>Name:</b> Dasi Emmanuel <b>Phone No:</b> 040-23540763/64 <b>Email ID:</b> emmanuel@stampededecap.com
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**CLEARING MEMBER DETAILS:**

SEGMENT	CLEARING MEMBER NAME	CLEARING MEMBER SEBI REG. NUMBER
NSE-CM	Stampede Capital Limited	INB231346934
NSE-FO	Globe Capital Market Limited	INF230663732
NSE-CDS	Globe Capital Market Limited	INE230663732
BSE-CM	Stampede Capital Limited	INB011346930
BSE-FO	Globe Capital Market Limited	INF010663731
BSE -CDS	Globe Capital Market Limited	INE010663731
MSEI -CDS	Globe Capital Market Limited	INE260663732

For any Grievance/Dispute please contact Stock Broker (M/s. Stampede Capital Limited) at the above address or email-id: [grievance@stampededecap.com](mailto:grievance@stampededecap.com) and Phone no. 91-040-23540763/64. If not satisfied with the response, please contact the concerned exchange(s) at the below given addresses:

Exchange Name	NSE	BSE	MSEI
<b>e-mail Id</b>	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	<a href="mailto:investorcompliance@msei.in">investorcompliance@msei.in</a>
<b>Contact No</b>	022-26598190	022-22728097	022-67318933/900

<p><b>For Office Use:</b> UCC allotted to the Client: _____ Verified By: _____</p> <p>Authorized By: _____ Application No: _____</p> <p>Date: _____ <b>Client Signature:</b> _____</p>
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**KNOW YOUR CLIENT (KYC) APPLICATION FORM - **FORMAT****

**For Individuals**

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

**A. IDENTITY DETAILS**

1. **Name of the Applicant:** \_\_\_\_\_
2. **Father's/ Spouse Name:** \_\_\_\_\_
3. **a. Gender:** Male/ Female **b. Marital status:** Single/ Married **c. Date of birth:** \_\_\_\_\_ (dd/mm/yyyy)
4. **a. Nationality:** \_\_\_\_\_ **b. Status:** Resident Individual/ Non Resident/ Foreign National
5. **a. PAN:** \_\_\_\_\_ **b. Aadhaar Number, if any:** \_\_\_\_\_
6. **Specify the proof of Identity submitted:** \_\_\_\_\_

**B. ADDRESS DETAILS**

1. **Residence Address:**  
\_\_\_\_\_  
\_\_\_\_\_ City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_
2. **Contact Details:** Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Mobile No.: \_\_\_\_\_ Fax: \_\_\_\_\_ Email id: \_\_\_\_\_
3. **Specify the proof of address submitted for residence address:** \_\_\_\_\_
4. **Permanent Address** (if different from above or overseas address, mandatory for Non-Resident Applicant):  
\_\_\_\_\_  
\_\_\_\_\_ City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_

**DECLARATION**

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

\_\_\_\_\_  
**Signature of the Applicant Date:** \_\_\_\_\_ (dd/mm/yyyy)

**FOR OFFICE USE ONLY**

Originals verified and Self-Attested Document copies received  
(.....)

**Name & Signature of the Authorised Signatory**  
**Date** ..... **Seal/Stamp of the intermediary**

PHOTOGRAPH  
Please affix your recent passport size photograph and sign across it

**KNOW YOUR CLIENT (KYC) APPLICATION FORM **FORMAT****

**For Non-Individuals**

Please fill this form in ENGLISH and in BLOCK LETTERS.

**A. IDENTITY DETAILS**

1. Name of the Applicant: \_\_\_\_\_
2. Date of incorporation: \_\_\_\_\_ (dd/mm/yyyy) & Place of incorporation: \_\_\_\_\_
3. Date of commencement of business: \_\_\_\_\_  
(dd/mm/yyyy)
4. a. PAN: \_\_\_\_\_ b. Registration No. (e.g. CIN): \_\_\_\_\_

**5. Status (please tick any one):**

Private Limited Co./Public Ltd. Co./Body Corporate/Partnership/Trust/Charities/NGO's/FI/ FII/HUF/AOP/  
Bank/Government  
Body/Non-Government Organization/Defense Establishment/BOI/Society/LLP/ Others (please specify)

**B. ADDRESS DETAILS**

**1. Address for correspondence:**

\_\_\_\_\_ City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_

**2. Contact Details:** Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Mobile No.: \_\_\_\_\_ Fax: \_\_\_\_\_ Email id: \_\_\_\_\_

**3. Specify the proof of address submitted for correspondence address:**

**4. Registered Address (if different from above):**

\_\_\_\_\_ City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_

**C. OTHER DETAILS**

**1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:**

**2. a) DIN of whole time directors:**

**b) Aadhaar number of Promoters/Partners/Karta:** \_\_\_\_\_

**DECLARATION**

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

**Name & Signature of the Authorised Signatory Date:** \_\_\_\_\_ (dd/mm/yyyy)

**FOR OFFICE USE ONLY**

Originals verified and Self-Attested Document copies received  
(.....)

**Name & Signature of the Authorised Signatory**

**Date ..... Seal/Stamp of the intermediary**

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

## TRADING ACCOUNT RELATED DETAILS

(For Individuals & Non-individuals)

### A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

### C. TRADING PREFERENCES

\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Name of the Exchange	Cash Segment	F&O Segment	Currency Derivative Segment
NSE			
BSE			
MSEI (MSEI)			

# 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.

### D. 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:  
.....

### E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name: ..... SEBI Registration number: .....

Registered office address: .....

Ph: ..... Fax: ..... Website: .....

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

Name of stock broker:.....Name of Sub-Broker, if any:.....

Client Code: .....Exchange: .....

Details of disputes/dues pending from/to such stock broker/sub- broker:  
.....

**F. ADDITIONAL DETAILS**

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

Specify your Email id, if applicable:

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): .....
- Number of years of Investment/Trading Experience: .....
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: .....
- Any other information: .....

**OTHER DETAILS**

- **Gross Annual Income Details (please specify):** Income Range per annum: Below Rs 1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / 25 Lacs-1 crore/ > 1 crore
- **Net-worth as on** (date) ..... (dd/mm/yyyy): .....  
(\*Net worth should not be older than 1 year)
- **Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:** .....
- **DIN/UID of Promoters/Partners/Karta and whole time directors:** .....
- **Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)
- **Any other information:** .....

**G. INTRODUCER DETAILS (optional)**

- Name of the Introducer: .....  
(Surname) (Name) (Middle Name)
- Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify.....
- Address and phone no. of the Introducer: .....
- Signature of the Introducer: .....

**H. NOMINATION DETAILS (for individuals only)**

**I/We wish to nominate I/We do not wish to nominate**

Name of the Nominee: ..... Relationship with the Nominee: .....  
PAN of Nominee: ..... Date of Birth of Nominee: .....  
Address and phone no. of the Nominee: .....

**If Nominee is a minor, details of guardian:**

Name of guardian: ..... Address and phone no. of Guardian: .....

Signature of guardian

**WITNESSES** (Only applicable in case the account holder has made nomination)

Name ----- Name -----  
Signature ----- Signature -----  
Address ----- Address -----

**DECLARATION**

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

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

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

Place ----- (-----)

Date ----- Signature of Client/ (all) Authorized Signatory (ies)

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: -----

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
<i>Name of the Employee</i>			
<i>Employee Code</i>			
<i>Designation of the Employee</i>			
<i>Date</i>			
<i>Signature</i>			

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

-----  
**Signature of the Authorised Signatory**

Date ..... (Seal/Stamp of the stock broker )

## INSTRUCTIONS/ CHECK LIST

### 1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

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

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

## **RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS as prescribed by SEBI and Stock Exchanges**

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

### **CLIENT INFORMATION**

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

### **MARGINS**

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

## **TRANSACTIONS AND SETTLEMENTS**

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

## **BROKERAGE**

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

## **LIQUIDATION AND CLOSE OUT OF POSITION**

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

## **DISPUTE RESOLUTION**

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

## **TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties.

Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

## **ADDITIONAL RIGHTS AND OBLIGATIONS**

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

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

#### **ELECTRONIC CONTRACT NOTES (ECN)**

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

has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

## **LAW AND JURISDICTION**

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

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified

on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.

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

## **RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS**

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

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

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

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

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

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

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

### **1. BASIC RISKS:**

#### **1.1 Risk of Higher Volatility:**

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

your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

## **1.2 Risk of Lower Liquidity:**

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

## **1.3 Risk of Wider Spreads:**

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

## **1.4 Risk-reducing orders:**

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

- 1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.
- 1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.
- 1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

## **1.5 Risk of News Announcements:**

News announcements that may impact the price of stock / derivatives contract may occur during trading,

and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

## **1.6 Risk of Rumors:**

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

## **1.7 System Risk:**

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

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

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

## **1.8 System/Network Congestion:**

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

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

### **2.1 Effect of "Leverage" or "Gearing":**

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

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

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

## **2.2 Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

## **2.3 Risk of Option holders:**

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

## **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

## **4. GENERAL**

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

## **GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS**

### **BEFORE YOU BEGIN TO TRADE**

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

### **TRANSACTIONS AND SETTLEMENTS**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
  9. Don't share your internet trading account's password with anyone.
  10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demataccount.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
- a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

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

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

#### **DISPUTES/ COMPLAINTS**

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

## **POLICIES AND PROCEDURES**

### **1. Refusal of orders for penny stocks:**

The Stock broker hereby advises the clients to refrain from dealing in penny securities since they may be subject to manipulation or suffer from lack of liquidity and depth. Should the client deal in penny stocks, margin up to 100% may be claimed from the client (to be paid immediately, failing which order may not be executed, and in case order has already been executed, the position may be squared off at the discretion of the Member), and also, these shares will not be taken as Margin deposit. The stock broker shall have authority from time to time to limit quantity/ value of order(s) or refuse order(s) in one or more securities due to various reasons including market liquidity, value of security(ies) or to require compulsory settlement / advance payment of expected settlement value or delivery of securities for settlement prior to acceptance / placement of order(s), where the order is for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or where the risk/exposure is not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

### **2. Setting Up Client's Exposure Limits:**

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or by SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stockbroker including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/ market level limits insecurity specific / volume specific exposures etc.). The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. Sometimes client's order may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode. The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client approximately 15 minutes before the scheduled closing or whenever any risk is perceived by the stock broker at his discretion.

### **3. Applicable Brokerage Rate**

a. For Cash Market Segment: The maximum brokerage chargeable for 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 exchange transaction charges and statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.

b. For Futures contracts: The maximum brokerage chargeable for trades effected in the securities admitted to dealings on the Futures contract shall be 2.5 % of the contract price exclusive of exchange transaction charges and statutory levies.

c. For Option contracts: Brokerage for option contracts would not exceed Rs.100/- per lot single side or such other rates as provided by the exchange.

**4. Imposition of penalty/delayed payment charges by either party**, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Client shall be liable to penalty and other charges in case of non-payment of margin money, short selling of securities or units, failure on payment of auction, cheque bouncing, non-delivery or short delivery of shares, increase in open position(s) or place any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange. From time to time the client will be kept informed about the rate of such penalties & fines. Similarly in case of non-receipt of full payment of value of delivery purchased, or non-receipt of margin imposed (initial + MTM + additional margins + ad hoc exchange margins) penalty will be charged at 0.1% per day calculated on daily basis on shortfall amount till the date of actual realization of money.

All fines/penalties and charges levied upon the Client due to his acts / deeds or transactions will be recovered by the Stock Broker directly from the client's account or debited to the Client's account at the rate of 0.1% per day on the outstanding balance each day. Where the Stock Broker fails to make payment to the Client as specified by the Exchange / SEBI or upon demand for payment by the client in case of his maintaining a running account.

**5. The right to sell clients' securities or close clients' positions**, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation) shall be available to the stockbroker

1. If payment/securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the Client's account or where benefit of margin is pending realization of instrument.
  2. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason before the close of market.
  3. The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/ liquidate all open positions/securities / shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. Similarly all transactions outstanding beyond the limit by whatsoever name called may be closed out at specified time if not squared off by the client.
  4. In case open position gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any.
  5. Any reference in these terms to sale or transfer of securities by the Stock Broker shall be deemed to include sale of the securities which form part of the Margin maintained by the Client with the Stock Broker.
- 6. Shortages in obligations arising out of internal netting of trades.** The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under: SCL will close out the position at 10% higher than the closing rate on the day of Exchange auction for the relevant trading day or at the rate/percentage/formula determined by the Exchange from time to time. SCL will debit the defaulting Client at this rate and credit the buying Client for the same amount. In case of short/no delivery by Client, Exchange penalty charges and other costs will be levied at actuals.
- 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.** The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and/or any other reasons which the stock broker may deem appropriate in the circumstances.

- i) for non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / closeout, if any, against the client's liabilities/ obligations.
  - ii) Any order which is executed without the required Margin in the Client's account or where the brokers exposure is more than limit considered prudent by the broker no fresh order will be accepted or trade will be executed.
  - iii) The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's mark to market loss exceeds 90% of the margin available for the client in any of exchanges, the Stock Broker reserves the right to square off positions.
  - iv) Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by the Exchange /SEBI.
8. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker, the client has committed a crime, fraud or has acted in contradiction of this agreement or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends. Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.
9. **Temporarily suspending or closing a client's account at the client's request:** Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in his written request duly signed by him. The stock broker can at his discretion withhold the payouts of the client and/or suspend his trading account due to any change in risk perception or any surveillance action or judicial or / and regulatory order/action requiring client suspension.
10. **Deregistering a client-** A client is at liberty to deregister himself / itself from the member. For that purpose client will be liable first to settle his account in full. In case of any shortfall or any dues or payment remaining after adjusting the margin / account balance, the client will be liable to make payment of the same. And in case of surplus arising after netting of the account, the client shall be entitled to receive the same. The member shall also have power to deregister the client after settling his account at the member's discretion.
11. **Inactive Client Account:** Client will be treated as inactive if he has not placed any order for Trading / Investment for more than 6 month. Such a Client will not be allowed to place orders automatically. SCL shall return the balance of funds and securities, if any, lying with SCL by issue of cheque/transferring of securities to the client's demat account. In the event of any dues of funds/securities are pending to SCL by the client, SCL reserves the right to recovery of such dues by selling the securities, if available, or of initiating the legal proceedings or any other action as SCL deems fit. In case the client wishes to recommence the trading activity after one year, the client account will be activated by obtaining the documentary evidences including address proof, pan copy etc.

**TARIFF SHEET – NSE / BSE / MSEI**

<b>CASH SEGMENT</b>					
	<b>TRADING</b>			<b>DELIVERY</b>	
	<b>Minimum Rs.</b>	<b>Percent</b>		<b>Minimum Rs.</b>	<b>Percent</b>
		<b>1st Side</b>	<b>2nd Side</b>		
<b>General Rates</b>					
<b>Special Rates</b>					

<b>EQUITY FUTURES</b>					
	<b>Same day</b>			<b>Any Day</b>	
	<b>Minimum Rs.</b>			<b>Minimum Rs.</b>	<b>Percent 2nd Side</b>
		<b>1st Side</b>	<b>2nd Side</b>		
<b>General Rates</b>					
<b>Special Rates</b>					

<b>EQUITY OPTIONS</b>					
	<b>Same day</b>			<b>Any Day</b>	
	<b>Minimum Rs.</b>			<b>Minimum Rs.</b>	<b>Percent 2nd Side</b>
		<b>1st Side</b>	<b>2nd Side</b>		
<b>General Rates</b>					
<b>Special Rates</b>					

<b>CURRENCY FUTURES</b>					
	<b>Same day</b>			<b>Any Day</b>	
	<b>Minimum Rs.</b>			<b>Minimum Rs.</b>	<b>Percent 2nd Side</b>
		<b>1st Side</b>	<b>2nd Side</b>		
<b>General Rates</b>					
<b>Special Rates</b>					

<b>CURRENCY OPTIONS</b>					
	<b>Same day</b>			<b>Any Day</b>	
	<b>Minimum Rs.</b>			<b>Minimum Rs.</b>	<b>Percent 2nd Side</b>
		<b>1st Side</b>	<b>2nd Side</b>		
<b>General Rates</b>					
<b>Special Rates</b>					

→ The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax and Service Tax which will be charged extra at the rate prevailing from time to time.

→ The General Rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorised Person/Introducer and client and the same are mentioned here.

\_\_\_\_\_  
Client Signature

\_\_\_\_\_  
Signature of Sub-broker/Authorised Person/Introducer

\_\_\_\_\_  
Signature of Broker

**OPTIONAL**

**LETTER OF UNDERTAKING**

**(Sub-Broker/Authorized Person of SCL or Employee of SCL cannot be the Client's Authorized Representative)**

I/ We on our own volition and without any suggestion/persuasion from you or anyone else, hereby authorize

1. Mr. /Mrs. \_\_\_\_\_ (Whose resume is as follows): S/o, D/o, W/o: \_\_\_\_\_  
 Date of Birth : \_\_\_\_\_ Occupation/Designation: \_\_\_\_\_ Organization : \_\_\_\_\_  
 OfficeAddress: \_\_\_\_\_ HomeAddress : \_\_\_\_\_ Tel. Off.: \_\_\_\_\_  
 Mobile: Tel. Res.: \_\_\_\_\_ Fax : \_\_\_\_\_

2. Mr./Mrs. \_\_\_\_\_ (whose resume is as follows) : S/o, D/o, W/o: \_\_\_\_\_ Date of Birth : \_\_\_\_\_  
 Occupation/Designation: \_\_\_\_\_ Organization : \_\_\_\_\_  
 OfficeAddress: \_\_\_\_\_ HomeAddress : \_\_\_\_\_ Tel. Off.: \_\_\_\_\_  
 Mobile Tel. Res.: \_\_\_\_\_ Fax : \_\_\_\_\_

To do business, place, execute, modify or cancel order to buy and sell Shares and Securities, Futures and Options, Derivatives, etc., to provide transfer instructions for funds and deliveries in and out of my/our Trading/Margin/Security Deposit Accounts and to receive & deliver from/to your organization: Cheques, Demand Drafts, Funds, Deliveries, Documents, Contracts, Acknowledgments, Accounts and Pending Position Statements, Papers, Letters, etc. This authorization shall be valid for all my/our accounts existing or opened hereafter with you in any Market, Segment, Exchange, Settlement, etc., unless specifically stated otherwise by me/us in writing. I/we attest the specimen signature of the above mentioned authorized person as shown hereunder. This authorization shall remain in force unless otherwise it is revoked in writing and such revocation is intimated to you in writing.

Date:



Specimen signature (1)

Specimen Signature (2)

1. Specimen Signature of Authorized Representative	Client Signature (with seal if required)	2. Specimen Signature of Authorized Representative

**Digitally Certified Electronic Documents**

I/we (Client) have provided you, Stampede Capital Limited (SCL), with the below-mentioned email address created by me/us, to which I/we want you to send us digitally certified contracts, account statements, bills, confirmation of balance statements, documents, letters, delivery memos, other papers, etc. (all or any of the afore-mentioned at your discretion) in electronic form :

**Email Address:** \_\_\_\_\_

I/we understand and accept that:

SCL may send any document that is obligatory to be sent to the Client by means of an Electronic Communication duly authenticated by digital signature of the authorized signatory, with the possible exception of graphic insertions such as photographs or logotypes. This electronic communication may be in the form of an e-mail, an e-mail attachment or in the form of download available on the Website. Every document so sent shall contain all such information as is mandated by the concerned statutory and/or regulatory authority. SCL would be deemed to have fulfilled its legal obligation to deliver a document to the Client, if it is sent by the electronic mode. The Client shall download the said document(s) regularly and also promptly at least once every twenty-four hours or sooner as necessary, to ensure that he receives the document(s) in time and keep his email id and mail box ready in every manner to receive the documents sent by SCL. Provided that on a request being made by the Client, due to a difficulty experienced by the client in viewing the same, SCL may in its discretion make the required delivery by such other means, as it may deem appropriate.

There is no arrangement or requirement for the Client to acknowledge receipt of the documents sent electronically in the above manner. The document shall be deemed to have been duly delivered and its content accepted by the Client if no intimation is received from the Client (or from the email service provider of bounced mail) by SCL. SCL shall not be liable for any inaccuracy, error, omission in or delay in the transmission or delivery of the document(s) and that all of the above shall be subject to delay in sending or receiving due to any electronic, electrical, network, internet, software, hardware or technological breakdown or any force majeure condition and SCL shall not be liable in such cases for any delay or failure due to such conditions, circumstances, acts, errors or omissions. The Client shall take all the necessary steps to ensure confidentiality and secrecy of the log-in name and password for his email account. The Client shall immediately inform SCL about change in email address if any. SCL may at its discretion verify and confirm with the Client about the change in email address in writing prior to sending documents to the new email address.

A copy of the Contracts issued to the Client by SCL is available to the Client at SCL's website for a period of time not less than one year from date of contract. Neither SCL nor any other party disseminating any data / message / information on behalf of SCL through the Website/Internet/Email shall be liable for any inaccuracy, error, omission in or delay in the transmission or delivery of any such data, information or message, or any loss or damage arising from or occasioned by any such inaccuracy, error, delay or omission, non-performance, or interruption in any such data, information or message, due either to any act or omission by SCL or any disseminating party or to any "force majeure" (e.g., flood, extraordinary weather condition, earthquake or other act of God, fire, war, insurrection, riot, labour dispute, accident, action by government, communications, power failure, internet downtime, equipment or software malfunction or any other cause beyond the reasonable control of SCL or any disseminating party).

I/we hereby confirm to SCL my/our acceptance and readiness to receive digitally certified contracts, account statements, bills, confirmation of balance statements, documents, letters, delivery memos, other papers, etc. (all or any of the afore-mentioned at SCL's discretion) in electronic form. I/we agree and consent to the above said terms. I/we also confirm that the email address shown above is created by me/us and is accurate, and we wish to receive the digitally certified documents in electronic form with immediate effect.

Non-receipt of bounced mail notification shall tantamount to delivery of contract note.

Date	Client Signature (with seal if required)

**PMLA – DECLARATION**

I/We \_\_\_\_\_ having the trading account code no. \_\_\_\_\_ with SCL confirm and declare that I/We had read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained by SCL official. I further declare that I shall adhere to the rules and regulations and requirements mentioned in the PMLA Act, 2002.

Client Signature: \_\_\_\_\_

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

**Business Policy of Stampede Capital Limited in Equity, Derivative & Currency Segment's of NSE/BSE/MSEI**  
("This document is required to be executed by the client in order to avail the facilities of seamless trading platform with broking accounts though it is voluntary")

To,  
M/s. Stampede Capital Limited,  
A-ZELITE, 1st Floor,  
Plot No: 197, Kavuri Hills, Guttala Begumpet Village,, Madhapur  
Hyderabad –500081, Telangana.

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

Dear Sir/ Madam,

Sub: Business Policy of Stampede Capital Limited in Equity, Derivative Market & Currency Segment/s of NSE/BSE/MSEI. I/We am/are aware that derivative products will increase my / our exposure thereby increasing my/our risk.

I/we am/are agreeable to your terms of Equity, Derivative Market & Currency Segment/s business policy of SCL in NSE/BSE/MSEI.

I/We agree that:

- a) I/We transfer funds through any one of the online bank viz., HDFC BANK etc, I/We am/are providing a copy of my/our latest online bank statement (which will be used for my/our trading with you) as an enclosure.
- b) SCL will give me/us maximum gross exposure limit of Rs.1 Crore at any point of time. If the exposure increases to more than Rs.1 Crore due to market appreciation I/We will necessarily calibrate down the exposure to Rs.1 crore at the time of rolling over.
- c) The Initial margin payable to the NSE/BSE/MSEI exchange/s under CM and F&O Segment has to be paid in cheque in full. Additionally 25% of the Initial margin will be paid by me/us as adhoc safety margin in the form of securities or cash. The initial margin payable under currency segment will be 10% or as levied by exchange whichever is higher.
- d) The MTM loss on any trade day is to be paid by the same day evening by 6.30 p.m. failing which SCL may reduce my/our positions to the extent of MTM loss by squaring up on the next day.

I/we request SCL to permit me to do business in Capital Market, Futures and Options, Currency Derivatives Segment/s of NSE/BSE/MSEI.

**Client Signature:** \_\_\_\_\_

**RUNNING ACCOUNT AUTHORISATION LETTER**

To,  
**Stampede Capital Limited.,**  
 A-ZELITE, 1st Floor,  
 Plot No: 197, KavuriHills,Guttala Begumpet Village,,Madhapur  
 Hyderabad –500081, Telangana

Subject: Collection of Payments and Delivery of Securities/Funds Voluntary Authorization for running account maintenance.

Ref.: Client Code No.:\_\_\_\_\_

Dear Sir / Madam,

This is in reference to your instructions on the above matter

I / We am / are one of the clients registered with you for executing my / our trades from time to time in the Capital Market segment, F&O segment and Currency Segment on NSE/BSE/ andMSEI.

I/We would like to state that I/We have regular business operations with you and I/We have at times credit balances with you and I/We appreciate that you are ensuring to repay me/us as per the normal terms and the regulations of The Stock Exchange.

However, I/We am/are also required to make payments to you as per my/our further transactions for purchase of shares or margin requirements.

Therefore to suit my/our convenience in business transactions, operations, you may treat my/our credit balance as funds provided to you on account and you are hereby authorized to utilize the said funds for the said purpose or keep in trust for me/us with you. Under this arrangement at my/our specific request, I /We shall not claim any interest on the funds and securities kept in running account with you.

I/We also request to hold the securities on my/our behalf as I/We am/are not in position to collect it from you and again give deliveries at appropriate time.

These instructions on my/our behalf may be treated as standing instructions unless otherwise cancelled/ revoked by me/us. The revocation of this authorization is effective once a written revocation request is received by you at your registered office.

I/ We agree and authorize you to settle the funds and securities atleast once in a calendar quarter /month as specified by me below. However, in case of outstanding obligations in the Capital Market segment, F&O segment and Currency Segment on the settlement date, you shall retain requisite securities / funds towards such outstanding obligations and may also retain the funds expected to be required to meet margin obligations for next five trading days or as notified by regulatory authority from time to time.

I / We agree to provide the authorization to maintain a running account on a yearly basis. My preference for settlement of funds and securities is:-

Quarterly:

Monthly:

I / We agree to bring any dispute arising from the statement of account or settlement so made to your notice preferably within 7 days from the date of receipt of funds / securities or statement as the case may be. Consequent upon the execution of my / our trades, I / We have to either pay / receive funds and / or securities depending upon the trades executed. In the event, I / We have to receive funds / securities from you upon receipt of pay out from the Exchanges, I / We hereby authorize you to retain the payout received from the Exchanges, in the form of funds and / or securities, towards margin/transfer to Exchange, bank, Stock Broker or any other PCM towards Capital Market Segment Margin / F&O margin/ and / or pay-in obligation that may arise for my ongoing transactions with you from time to time for any segments in any of the Exchanges.

To address the administrative/operational difficulties in settling the accounts of regular trading clients (active clients), I hereby authorize you to retain an amount of up to Rs 10,000/- (net amount across segment and across stock exchanges)

The above authorization is notwithstanding the fact that you are required to make the payment of funds and / or transfer securities to my /our account within one working day from the declaration of payout from the Clearing Corporation.

You are requested to follow the above mentioned standing instructions until further written notice.

Thanking you

Client Signature : \_\_\_\_\_

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

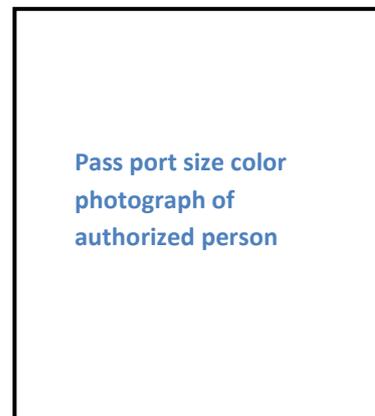
Date : \_\_\_\_\_

**AUTHORISATION TO PLACE ORDERS BY AUTHORISED PERSON VERBALLY/ IN-PERSON & TO COLLECT CONTRACT NOTES, CHEQUES ETC. (OPTIONAL)**

To  
**M/s. Stampede Capital Limited,**  
A-Z ELITE, 1st Floor,  
Plot No: 197, KavuriHills, Guttala Begumpet Village,, Madhapur  
Hyderabad –500081, Telangana

Dear Sir,

I/We \_\_\_\_\_  
Hereby authorize  
Mr./Mrs. \_\_\_\_\_  
S/o. \_\_\_\_\_  
D/o. \_\_\_\_\_  
Occupation \_\_\_\_\_  
Resident of \_\_\_\_\_  
Tel \_\_\_\_\_ Mobile \_\_\_\_\_  
e-mail: \_\_\_\_\_  
to do the following on my/our behalf.



To do business, to give Instructions Orally or in Writing, to place, Modify, Cancel, Orders to Buy and Sell Securities in Cash and Futures & Options Segment, Currency Futures Segments of NSE/BSE/ andMSEI.

I/We request you to kindly accept my/Our Authorized Person's Verbal Orders/Instructions In-Person or over phone and execute the same.

I/We understand the Risks associated with placement of Verbal Orders.

I/We shall not disown such Orders with the plea that the same was not placed by me/us. I/We indemnify SCL and its employees and keep you and your employees indemnified against all Losses, Damages, Actions which you may suffer or face as a consequence of adhering to and carrying my/our Orders placed Verbally as mentioned above.

To receive and/or deliver Cheques, Demand Drafts, Funds, Deliveries, Documents, Contract Notes, Statement of Account for Funds & Securities, Pending Position Statements etc from/to your Organization and to acknowledge wherever required.

Client Signature : \_\_\_\_\_

Specimen Signature of Authorized Person: \_\_\_\_\_

**DISCLOURE OF PROPRIETARY TRADING BY STAMPEDE CAPITAL LIMITED  
(OPTIONAL)**

**Dear Client,**

Pursuant to SEBI Circular No: 32, Dated 19.11.200. Stampede Capital Limited is required to disclose to its Clients about its Proprietary Trading.

Accordingly, we wish to inform you that Stampede Capital Limited has been doing Proprietary Trading in Capital Market, Futures & Options and Currency Derivative Segment, and intend to do Proprietary Trading in any Other Product/Segment offered by SCL.

This is for your Information.

Thanking you

Yours Sincerely

**For Stampede Capital Limited**

**Dasi Emmanuel  
Director**

I/We have noted the above and we do not have any Objection.

**Client Signature:** \_\_\_\_\_

**FEMA Declaration**

In continuation to the terms and conditions for opening of trading account and accepting rights and obligations we hereby declare and undertake that:

1. We are making investment in securities/shares through the following NSE/BSE/MSEI member broker:
2. We have the following one Bank Account and Demat Account for the above investments. The details of the same are as under
  - a. Bank Account:
  - b. Demat Account:

We are aware of the rules and regulations of the NRI investments in India, Anti-money laundering rules and regulations and keep our self updated from time to time. I/We hereby declare that I/We have complied with and will continue to comply with FEMA regulation or other applicable laws, regulations of RBI, SEBI or any other statutory Authority from time to time.

Income tax or other tax liability is our responsibility and the same will be borne by and paid by me.

I hereby acknowledge that I have received and understood this authorization to maintain the account.

(Non-Resident to sign on both declarations)

Customer signature : \_\_\_\_\_

(If Partner, Corporate or other Signatory, then attest with company seal)

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

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

## **AUTHORIZATION FOR DISCLOSURE OF CLIENT DETAILS**

Under SCHEDULE II of the Securities and Exchange Board of India (Stock Brokers and Sub-Brokers) Regulations, 1992, UNDER CODE OF CONDUCT FOR STOCK BROKERS (Regulation 7) B. Duty to the investor, as per Clause (5) Business of Defaulting Clients: "A stock-broker shall not deal or transact business knowingly, directly or indirectly or execute an order for client who has failed to carry out his commitments in relation to securities with another stock-broker."

I/we understand that I/we are required to provide stock broker with details of any dispute or default with any other stock broker and that I/we must keep that information updated as and when developments occur in this regard.

In order to be able to fulfill this statutory requirement as well as to ensure that genuine investors are not put into increased risk of losing their funds or securities lying with a stock broker due to default by a stock broker caused by any fraudulent or defaulting client who may habitually commit fraud or default on stock brokers, I/we hereby expressly authorize you to disclose/ provide to any trade body, association of stock brokers including the Association of National Exchanges Members of India (ANMI), related website(s), or any organization which maintain such a dispute or default database for the purpose of sharing the information with stock brokers, etc., my/our registration, identification, transaction and accounting details as well as any other details relating to any dispute or default in fulfilling my/our obligations to you. I/We agree and confirm that I/we shall not act or make any claim against anybody or organization or database to whom such information is furnished.

Yours truly,



**Client Code:** \_\_\_\_\_

**Client Name:** \_\_\_\_\_

**ACKNOWLEDGEMENT BY THE CLIENT**

I/We have received a copy of whole set of

- 1.KYC,
2. Rights & Obligation document,
- 3.Risk Disclosure Document,
- 4.Guidance Notes (Dos & Don'ts),
5. Policies and Procedures,
6. Tariff Sheet and
7. Other optional documents.

The above documents are executed by me/us with Stampede Capital Limited.

Client Name: \_\_\_\_\_ Client Code: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### **Document ensuring status of entity –NRI'S**

- In case of Indian passport - Valid passport, Place of birth as India, Valid Visa – Work/Student/employment/resident permit etc.
- In case of foreign passport: Valid passport and any of the following
- Place of Birth as India in foreign passport
- Copy of Person of Indian Origin(PIO) / Overseas Citizen of India (OCI) Card as applicable in case of PIO/OCI
- Portfolio Investment Scheme (PIS) Permission Letter from the respective designated bank

### **Documents required For NRI's (All are compulsory)**

- Overseas Address Driving License/ Foreign passport /Utility Bills/ Bank statement (not more than 2 months old)/ Notarized copy of rent agreement/ leave & license agreement/ Sale deed.
- Photograph of Investor. ---- 2 nos
- Proof of respective bank accounts & depository accounts -DEMAT Account Client Master List
- Required Bank account details ( Cancelled Cheque Leaf) and 6 Months Bank Statement
- Self attested copy of PAN card is mandatory for all client
- Copies of all the documents submitted by the applicant should be self-attested.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- 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
- Proof of foreign address and Indian address (if any) In case of foreign address, the address containing Post Office Box Number (P.O. Box No.) may be accepted as Permanent and/or Correspondence address.

## FORMAT OF BOARD RESOLUTION

**CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF THE COMPANY HELD ON \_\_\_\_\_ DAY THE \_\_\_\_\_(DATE) OF \_\_\_\_\_ (MONTH) \_\_\_\_\_(YEAR) AT \_\_\_\_\_ (TIME) AT THE REGISTERED OFFICE OF THE COMPANY**

### **OPENING OF TRADING ACCOUNT WITH M/S STAMPEDE CAPITAL LIMITED**

**"RESOLVED THAT** a Trading Account be opened with M/s Stampede Capital Limited, a Trading Member of the National Stock Exchange of India Limited (NSE) in Cash, F&O and Currency Derivatives segments, Metropolitan Stock Exchange of India Ltd., (MSEI) in Currency Derivative Segment in the name of the Company for the Purchase, Sale, Borrowing and/or Lending of any Securities, Derivatives and/or such Other instruments that may be traded on the Stock Exchange (s) either on Agency basis or on Principal basis"

**RESOLVED FURTHER THAT** \_\_\_\_\_ (Name of Authorized Signatory) or \_\_\_\_\_ (Name of Authorized Signatory) the Directors of the Company be and are hereby severally authorized to sign and execute necessary Application, Undertaking, Agreements and other related documents to open and operate the said Account"

**"RESOLVED FURTHER THAT** the member M/s Stampede Capital Limited, Hyderabad be and is hereby authorized to honour Instructions, Oral or Written, given to Deal in or Sell, Purchase, Transfer, Endorse, Negotiate on behalf of the Company by the Authorized Signatories \_\_\_\_\_ (Name of Authorized Signatory) or \_\_\_\_\_ (Name of Authorized Signatory) the Directors of the Company"

**"RESOLVED FURTHER THAT** these resolutions be communicated to M/s Stampede Capital Limited, Hyderabad and remain in force until duly rescinded and notice thereof in writing be given by the Company"

**"RESOLVED FURTHER THAT** the Specimen signatories of the Authorized Signatories \_\_\_\_\_ (Name of Authorized Signatory) or \_\_\_\_\_ (Name of Authorized Signatory) the Directors of the Company are attested as below:

<b>Name of the Authorized Signatory</b>	<b>Specimen Signature</b>

**//CERTIFIED TRUE COPY//**

For \_\_\_\_\_ (Name of the Company)

Name of the Director  
Director

Date :  
Place :

**Intentionally Left Blank**



**STAMPEDE CAPITAL LIMITED**

A-ZELITE, 1st Floor,  
Plot No: 197, KavuriHills,Guttala Begumpet Village,,Madhapur  
Hyderabad –500081, Telangana.

**CIN: L67120TG1995PLC020170**

Tel: +91 40 2354 0763/64 | Tele Fax: +91 40 2354 0763 | [info@stampedecap.com](mailto:info@stampedecap.com)

For any grievances, investors can contact at [grievance@stampedecap.com](mailto:grievance@stampedecap.com)

Website: [www.stampedecap.com](http://www.stampedecap.com)