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<b>MANDATORY/OPTIONAL DOCUMENTS AS PRESCRIBED BY SEBI, DEPOSITORY &amp; EXCHANGES</b>			
1.	Account Opening Form-Checklist & Instructions	This Document provides Instructions & Checklist relevant to opening of Trading & Demat Account.	1 - 2
2.	Tariff Sheet	This Document provides schedule of fees applicable for Demat Account.	3A - 3B
3.	Know Your Client (KYC) Application Form	This Document captures the basic information about the client/Joint Holder for Demat Account.	4 - 5
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5.	Nomination	Nomination for trading and demat	11 - 13
6.	Policies and Procedures	This Document describes significant policies and procedures adopted by the Stock Broker.	14 - 17
7.	Risk Disclosure Document (RDD)	This Document provides details of Risk associated with dealing in the Equity/Commodity market.	To be provided in soft or paper form as opted by client
	Rights and Obligations	Rights and Obligations of Equity/Commodity broker, Trading Member, Authorized Persons and Client for trading on exchanges.	
	Guidance Note	Document detailing Do's and Don't's for trading on exchange, for the education of the investors.	
8.	AML Measures	This Document describes details of Anti Money Laundering.	18
9.	Power of Attorney	This Document confers specific rights on Matalia for operating your Demat account and for transferring the shares for margin/ pay-in purpose and also authorises Matalia to act based on the instructions given by you.	19 - 20
10.	Letter of Authority	This Document confers the general authority, dealing by client with stock broker.	21 - 22
11.	Mutual Fund	This Document authorises MSBPL to place SIP request with RTA / AMCs on behalf of the client.	23
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Registered Office /Correspondence Address : "Matalia House" 21-New Jagnath, Near Jain Bhuvan, Rajkot - 360 001.

Phone No. : 0281 -2466387. 6697505

Email : mataliabroker@yahoo.com, Website : www.matalia.co.in

Name of Compliance Officer : Mr. Dhyanesh S. Shukla, Phone No. : 0281 - 6697532, Email : dhyanesh@matalia.co.in

Name of CEO : Mr. Rupesh C. Matalia. Phone No. : 0281 6697531, Email; rupesh@matalia.co.in

Exchanges	Trading Member Code	SEBI Registration Number		
		Capital	Future & Option	Currency Derivatives
National Stock Exchange Of India Ltd.(NSE)	12086	INZ000184932 (Regd.Date:18-07-2018)		
Bombay Stock Exchange Of India Ltd. (BSE)	937			
Metropolitan Stock Exchange of India Limited (MSEI)	49200			
Multi Commodity Exchange (MCX)	MCX - 56335			
National Securities Depository Limited	IN303575	IN-DP-NSDL-302-2008 (Regd. Date: 21-10-2013)		

For any grievance / dispute please contact stock broker (Matalia Stock Broking Pvt. Ltd.) at the above address or email id: investorgrivances@matalia.co.in and Phone No. 91-0281 -6697532, In case not satisfied with the response, please contact the concerned exchange(s) at below mentioned details ;

Exchange	Investor Grievance Email Id	Investor Grievance Contact Nos.
BSE	is@bseindia.com	Ph: 022 2272 8097
NSE	lgmse@nse.co.in	Ph:022-2659 8190
MSEI	investorcomplaints@msei.in	Ph.: 022-61129028
MCX	grievance@mcxIndia.com	Ph.: 022 - 6649 4070

Professional Clearing Member	SEBI Registration No.
<b>GLOBE CAPITAL MARKET LTD</b>	<b>INZ000177137</b>
<b>ICICI BANK LIMITED</b>	<b>INZ000183631</b>
<b>EDELWEISS BROKING LIMITED</b>	<b>INZ000005231</b>
<b>GLOBE COMMODITIES LIMITED</b>	<b>INZ000024939</b>

For any query related to DP Department Contact on Email id : ig\_dp@matalia.co.in and Phone No. : 0281-6697507

\* In all the voluntary/non mandatory documents, if executed by client, the client shall always have right to withdraw/cancel the authority or the voluntary/non mandatory documents and in case voluntary/non mandatory documents/clauses, are found in conflict with any of the clauses in the mandatory documents, rules, bye-laws, regulations, notices, guidelines and circulars issued by the SEBI and the stock exchange from time to time, shall stand null & void.

### CKYC / KRA MANAGEMENT

Name of Client :

PAN:

Client Id(Demat Account No):

Trading Account Code(UCC Code allotted to the Client):

CKYC /KRA sent to	Date	Acknowledgement No. from KRA/CKYC	Checked by	Verified by	Courier Receipt No.	Remark
<input type="checkbox"/> CVL <input type="checkbox"/> NDML						
<input type="checkbox"/> CKYC						
<input type="checkbox"/> CKYC done by other intermediary						

## ACCOUNT OPENING KIT

### INSTRUCTION TO THE APPLICANT FOR TRADING ACCOUNT OPENING

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list. \*\*
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. If correspondence & permanent address are different, then proofs for both have to be submitted.
5. Sole proprietor must make the application in his individual name & capacity.
6. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIC Card/OCI Card and overseas address proof is mandatory.
7. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
8. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
9. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
10. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party, Officials, etc.
11. Fields marked with "\*" are mandatory fields. Tick " \_\_\_" whenever applicable. Please fill all dates in DD-MM-YYYY format.
12. KYC number of applicant is mandatory for updation of KYC details.
13. For particular section update, please tick ( ) in the box available before the section number and strike off the sections not required to be updated.
14. Clarification / Guidelines on filling "Personal Details" section
  1. Name: Please state the name with Prefix (Mr./Mrs./Ms./Dr./etc.) and name should match the name as mention in the proof of identity submitted failing with the application is liable to be rejected.
  2. Either father's name or spouse's name is to be mandatorily furnished

### INSTRUCTION TO THE APPLICANTS (BO"s) FOR DEMAT ACCOUNT OPENING

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a \*\* Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided incase of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first/ sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

## CHECK LIST

### A. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. PAN card is compulsory for all individuals , For minor's account ,minor PAN card and guardian PAN card required.
2. Anyone of below documents is required in addition to PAN  
Proof of possession of Aadhaar / Passport/ Voter ID card/ Driving license/NREGA Job card/,National population registration letter.
3. e-KYC service launched by UIDAI shall also be accepted as a valid process for KYC verification. The information containing the relevant client details and photograph made available from UIDAI as a result of e-KYC process shall be treated as a valid proof of Identity.

### B. Proof of Address (POA): - List of documents admissible as Proof of Address

Proof of possession of Aadhaar / Passport/ Voter ID card/ Driving license/NREGA Job card/,National population registration letter.  
(\*Documents having an expiry date should be valid on the date of submission.)

#### PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.

List of documents for 'Deemed Proof Of Address' :

1. Utility bills like Telephone Bill, Post paid mobile bill, Electricity, piped gas, water bill Not more than 2 month old
2. Property tax or Municipal Tax receipt
3. Pension of Family pension payments order (PPOs) issued to retired employees by Government department or Public sector undertakings if they contain the address
4. Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, Statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.
5. The proof of address in the name of the spouse may be accepted
6. For minor demat A/c both minor and guardian address proof require
7. Adhaar Letter issued by UIDAI shall be admissible as proof of address in addition to Proof of Identity.
8. e-KYC service launched by UIDAI shall also be accepted as a valid process for KYC verification. The information containing the relevant client details and photograph made available from UIDAI as a result of e-KYC process shall be treated as a valid proof of Address.
9. e-KYC service launched by UIDAI shall also be accepted as a valid process for KYC verification. The information containing the relevant client details and photograph made available from UIDAI as a result of e-KYC process shall be treated as a valid proof of Address.

### C Exemptions/clarifications to PAN

(\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, Fils, MFs, VCFs, FVCis, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### D List of people authorized to attest the documents

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

Additional documents in case of trading in derivatives segment (illustrative list):

1. Copy of ITR Acknowledgement	2. Copy of Annual Accounts
3. Copy of Form 16 in case of salary income	4. Net worth Certificate – CA Certified
5. Salary Slip	6. Bank Statement (For last 6 months)
7. Demat Account Holding Statement along with valuation	8. *Any other relevant documents substantiating ownership of Assets


\*Relevant documents as per risk management policy of the stock broker to be provided by the client from time to time.

#	Particulars	Charges			
		<input type="checkbox"/> Scheme-A1	<input type="checkbox"/> Scheme-B1	<input type="checkbox"/> Scheme-E1	<input type="checkbox"/> Scheme-BSDA
1	A/c Opening / Closing / Custody	Nil	Nil	Nil	Nil
2	Life Time Annual Maintenance	Rs. 2120.00*	Nil	Rs. 1000.00 #	Nil + (refer note)
3	Annual Maintenance	Nil	Rs.370.00	Nil	
4	Dematerialisation *	Rs.5.00 per certificate /Per 100 shares.			
5	Rematerialisation	Rs.15.00 per certificate [(i) A fee of Rs. 15.00 for every hundred securities or Part thereof of (ii) a flat fee of Rs.15.00 per certificate whichever is higher]			
6	Postage per Demat / Remat Request	Rs.75.00			
7	Market / off Market Trade (Purchase)	Nil			
8	Market / off Market Trade (Sell) (MSBPL)	Minimum Rs.15.00 per ISIN or 0.02% of the market value whichever is higher.	Minimum Rs.17.00 per ISIN or 0.02% of the market value whichever is higher.	Minimum Rs.50.00 per ISIN or 0.02% of the market value whichever is higher.	
9	For Auto Pay In(For PoA given to MSBPL)	Minimum Rs.10.00 per ISIN or 0.01% of the market value whichever is higher upto Rs.15.00.	Minimum Rs.17.00 per ISIN or 0.01% of the market value whichever is higher.	Minimum Rs.25.00 per ISIN or 0.02% of the market value whichever is higher.	
10	Market / off Market Trade (Sell) (other than MSBPL DP)	Minimum Rs.17.00 per ISIN or 0.02% of the market values whichever is higher.	Minimum Rs.25.00 per ISIN or 0.02% of the market value whichever is higher.		
11	Pledge - Creation & Closure	Minimum Rs.50.00 per ISIN or 0.2% of the market value whichever is higher.	Minimum Rs.50.00 per ISIN or 0.2% of the market value whichever is higher.		
12	Pledge - Invocation	Rs.50.00			
13	Additional Statement/client Master	Rs.10.00 & Re.1.00 per page above 10 pages			
14	I wish to Subscribe for BSDA	<input type="checkbox"/> Yes <input type="checkbox"/> No			
*	<b>For Scheme A1,</b> there will not be any Annual Maintenance Charge to this account for lifetime (Till Closing or switching of account). The amount is refundable at any point of time or on closure of account. The amount refundable on closing or switching will be Rs.2120.00 less (Rs. 370/-) GST and other levies will be extra as applicable & will be non refundable.				
#	<b>Scheme E1:</b> There will be no AMC for this scheme & Rs.1000.00 is one time charge + GST as applicable.This amount is non-refundable & non-transferable.				

**NOTE:**

- Annual Maintenance charge to be paid upfront.
- Postal Charges will be charged at Rs.75/- per Demat / Remat Request (payable along with DRF/RRF) & for DRF/RRF rejection Rs 25/-.
- All the charges are payable along with instruction.
- DIS and other instruction additional stationery per page Rs. 1/- .Additional Client master will be charged Rs 10/-.
- Transaction statement will be sent by NSDL/MSBPL every month provided there is any transaction otherwise quarterly as per option chosen.
- The above rates are subject to revision by Matalia Stock Broking Pvt. Ltd. with 30 days notice to client.
- Interest on outstanding amount will be charged monthly at 18% per annum.
- The scheme once selected will be valid for one year and will be automatically renewed at the end of the year unless a written application in the prescribed format is received.
- The client availing auto pay-in facility has to provide PoA in favor of Matalia Stock Broking Pvt. Ltd. and stamping charge for PoA is Rs.300.00 to be borne by the client.
- GST and other levies will be extra as applicable.
- Late fee of Rs 25/- For trade received on payin Day.
- Corporate Account opened will be charged as per NSDL terms and conditions.
- Cheque Dishonor charge Rs 250/-.
- KRA / KYC charges as applicable. CAS charges as charged by NSDL regulations.
- Client modification Request received from client will be charged Rs 10/-.

I like to join the scheme \_\_\_\_\_, I have read and understood the schedule of charges prescribed above and agree to abide by the same.

Client Name:		Client ID:	
			

**Schedule - A (Schedule of Charges for Clients) - M1 scheme**

Sr	Particulars	Charges
1	A/c Opening / Closing / Custody	Nil
2	Life Time Annual Maintenance	Nil
3	Annual Maintenance	Nil (For first year only ) after completion of first year, AMC charge will be Rs. 370/- Yearly + Tax applicable
4	Dematerialisation *	Rs.5.00 per certificate /Per 100 shares
5	Rematerialisation	Rs.15.00 per certificate [(i) A fee of Rs. 15.00 for every hundred securities or Part thereof of (ii) a flat fee of Rs.15.00 per certificate whichever is higher]
6	Postage per Demat / Remat Request	Rs.75.00
7	Market / off Market Trade (Purchase)	Nil
8	Market / off Market Trade (Sell) (MSBPL)	Rs.18.00 per ISIN
9	For Auto Pay In(For PoA given to MSBPL)	Rs.18.00 per ISIN
10	Market / off Market Trade (Sell) (other than MSBPL DP)	Minimum Rs.18.00 per ISIN or 0.02% of the market values whichever is higher.
11	Pledge - Creation & Closure	Minimum Rs.50.00 per ISIN or 0.2% of the market value whichever is higher.
12	Pledge - Invocation	Rs.50.00
13	Additional Statement/client Master	Rs.10.00 & Re.1.00 per page above 10 pages
14	Margin Pledge	Rs.18.00 per ISIN

**Note:**

1. Annual Maintenance charge for one year is free. After one year from account opening date, client can moved to our life time scheme by provide us new tariff.

**2. The scheme once selected will be valid for one year and will be automatically renewed at the end of the year unless a closing form for Demat is received.**

3. Postal Charges will be charged at Rs.75/- per Demat / Remat Request (payable along with DRF/RRF) & for DRF/RRF rejection Rs 25/-.

4. All the charges are payable along with instruction.

5. DIS and other instruction additional stationery charges are per page Rs. 1/-. Additional Client master will be charged Rs 10/-.

6. Transaction statement will be sent by NSDL/MSBPL every month provided there is any transaction otherwise quarterly as per option chosen.

7. The above rates are subject to revision by Matalia Stock Broking Pvt. Ltd. with 30 days notice to client.

8. Interest on outstanding amount will be charged monthly at 18% per annum.

9. The client availing auto pay-in facility has to provide PoA in favor of Matalia Stock Broking Pvt. Ltd. and stamping charge for PoA is Rs.300.00 to be borne by the client.

10. GST and other levies will be extra as applicable.

11. Late fee of Rs 25/- For trade received on pay in Day.

12. Corporate Account opened will be charged as per NSDL terms and conditions.

13. Cheque Dishonor charge Rs 250/-.

14. KRA / CKYC charges as applicable. CAS charges as charged by NSDL regulations.

15. Client modification Request received from client will be charged Rs 10/-.

I like to join the scheme \_\_\_\_\_, I have read and understood the schedule of charges prescribed above and agree to abide by the same.

	First Holder	Second Holder	Third Holder
Sign			

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



**Important Instructions:**

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

**For Office use only**      Application Type\*       New       Update

(To be filled by financial institution)      KYC Number \_\_\_\_\_ (Mandatory for KYC update request)

Account type\*       Normal       Minor       Aadhaar OTP based E-KYC (in non-face to face mode)

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

Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	_____	_____	_____
Maiden Name	_____	_____	_____
Father / Spouse Name	_____	_____	_____
Mother Name	_____	_____	_____
Date of Birth*	_____	Marital Status* <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others	
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender	PAN* _____	<input type="checkbox"/> Form 60 furnished
Citizenship*	<input type="checkbox"/> In-Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="checkbox"/> <input type="checkbox"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> Forex Dealer <input type="checkbox"/> X- Not Categorised		
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student ) <input type="checkbox"/> B-Business		

**2. PROOF OF IDENTITY AND ADDRESS\***      (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/> A- Passport Number _____	PHOTO
<input type="checkbox"/> B- Voter ID Card _____	
<input type="checkbox"/> C- Driving Licence _____	
<input type="checkbox"/> D-NREGA Job Card _____	
<input type="checkbox"/> E-National Population Register Letter _____	Longitude
<input type="checkbox"/> F-Proof of Possession of Aadhaar _____	Latitude
II <input type="checkbox"/> E-KYC Authentication _____	Date & Time
III <input type="checkbox"/> Offline verification of Aadhaar _____	

Signature / Thumb Impression

**Address**

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

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

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

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

**3. CURRENT ADDRESS DETAILS**      (Please refer instruction B at the end)

**Same as above mentioned address (In such cases address details as below need not be provided)**

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/> A- Passport Number _____	
<input type="checkbox"/> B- Voter ID Card _____	
<input type="checkbox"/> C- Driving Licence _____	
<input type="checkbox"/> D-NREGA Job Card _____	
<input type="checkbox"/> E-National Population Register Letter _____	
<input type="checkbox"/> F-Proof of Possession of Aadhaar _____	
II <input type="checkbox"/> E-KYC Authentication _____	
III <input type="checkbox"/> Offline verification of Aadhaar _____	
IV <input type="checkbox"/> Deemed Proof of Address - Document Type code _____	

**Address**

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

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

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

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

**4. CONTACT DETAILS** (All communications will be sent to Mobile number/Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) \_\_\_\_\_ Tel. (Res) \_\_\_\_\_ Mobile +91 \_\_\_\_\_  
 Email ID \_\_\_\_\_

**5. DETAILS OF RELATED PERSON**

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

Related Person Type\*     Guardian Of     Assignee     Authorized Representative

Prefix \_\_\_\_\_ First Name \_\_\_\_\_ Middle Name \_\_\_\_\_ Last Name \_\_\_\_\_

Name\* \_\_\_\_\_

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

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

A- Passport Number \_\_\_\_\_

B- Voter ID Card \_\_\_\_\_

C- Driving Licence \_\_\_\_\_

D-NREGA Job Card \_\_\_\_\_

E-National Population Register Letter \_\_\_\_\_

F-Proof of Possession of Aadhaar \_\_\_\_\_

II  E-KYC Authentication \_\_\_\_\_

III  Offline verification of Aadhaar \_\_\_\_\_

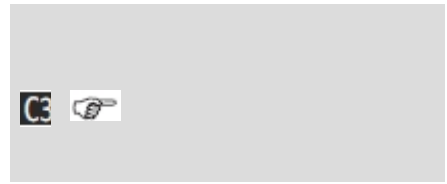
**6. REMARKS (If any)**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**7. APPLICANT DECLARATION**

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

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



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

Signature / Thumb Impression of Applicant

**8. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received     Certified Copies     E-KYC data received from UIDAI     Data received from Offline verification     Digital KYC Process

Equivalent e-document

KYC / IN PERSON VERIFICATION CARRIED OUT BY	
Emp. Name	
Emp. Code	
Emp. Branch	
Emp. Designation	
Date	
Signature	

INSTITUTION DETAILS

Name \_\_\_\_\_

Code \_\_\_\_\_





## ACCOUNT OPENING FORM FOR TRADING & DEPOSITORY

NEW  UPDATE

ONLINE  OFFLINE

Group Code & Name : \_\_\_\_\_ City : \_\_\_\_\_

Client-ID(to be filled by DP) IN 3 0 3 5 7 5 \_\_\_\_\_ Client Code \_\_\_\_\_

I/We request you to open a  Demat Account  Trading Account  Both (Please fill all the details in CAPITAL LETTERS only)

### A. TYPE OF ACCOUNT INDIVIDUAL (Please tick whichever is applicable)

Resident  Director  Director's Relative  Promoter  Margin Trading A/C  Others (specify) \_\_\_\_\_

### B. DETAILS OF ACCOUNT HOLDERS

First Holder/Client \_\_\_\_\_

Second Holder \_\_\_\_\_

Third Holder \_\_\_\_\_

Preferred user ID:(1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_

### C. STANDING INSTRUCTIONS

Sr. No.	Authorisations	Please <input checked="" type="checkbox"/> Relevant
1.	Consent to receive standard account opening documents in electronic form	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Consent to receive credits automatically into my/our Account.(If not ticked, the default option would be "Yes")	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Consent to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not ticked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Consent to send Electronic Transaction-cum-Holding Statement including CAS at Sole/First Holder's email id stated in the KYC	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Consent to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	Consent to receive dividend / interest directly in to my bank account given below through ECS (If not ticked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
7.	Consent to avail of the facility of internet trading / wireless technology	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.	Mode of receiving Annual Reports & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account)	
9.	Mode of receiving Contract Notes & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account)	
10.	Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
11.	Account to be operated through power of attorney (POA)	<input type="checkbox"/> Yes <input type="checkbox"/> No

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Gross Income Range Per Annum (Rs. in Lakhs)	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr
Networth : (should not be older than 1 year)	Amount (Rs.) As on date	Amount (Rs.) As on date	Amount (Rs.) As on date
Sources of Wealth / Income	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify)	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify)	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify)
Details in case of Employed Business/Professional(Name of Employer/Establishment & Address & Nature of Business)	Name & Add.:	Name & Add.:	Name & Add.:
	Nature:	Nature:	Nature:

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Additional Details, if applicable. (Please tick one or more as applicable)	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP / Related to PEP	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP / Related to PEP	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP / Related to PEP
Any other information			

Remisier Code / Name :

Mobile Number Declaration	I hereby declare that the Mobile number as per KRA/CKYC belongs to	I hereby declare that the Mobile number as per KRA/CKYC belongs to	I hereby declare that the Mobile number as per KRA/CKYC belongs to
(*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	<input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN/Code _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN/Code _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN/Code _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No

Email Declaration	I hereby declare that the Email ID as per KRA/CKYC belongs to	I hereby declare that the Email ID as per KRA/CKYC belongs to	I hereby declare that the Email ID as per KRA/CKYC belongs to
(*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	<input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN/Code _____	<input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN/Code _____	<input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN/Code _____

In case of NRIs/	RBI Approval Reference Number:		
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Foreign Nationals	RBI Approval date		
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FATCA Declaration			
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Is your Tax Residency/Country of Birth/Citizenship/Nationality other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify)
Country of Birth	_____	_____	_____
Citizenship	_____	_____	_____
Nationality	_____	_____	_____

If yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below:

Country of Tax Residency#			
Tax Identification Number*			
Identification Type			

#To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA, India & Canada.  
 \*Incase tax identification number is not available, kindly provide its functional equivalent  
 \*I / We hereby agree to abide by the provision of "Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI).

**D. DP TARIFF SCHEME**

Consent to avail BSDA facility for new Demat account for which I/we have submitted the account opening form  Yes  No  
 Scheme A1  Scheme B1  Scheme E1  BSDA

**E. OPTION FOR ISSUANCE OF DIS BOOKLET (\*Please refer to the details in Tariff Sheet) (Option 1 is mandatory in case of BSDA A/C)**

Option 1 :  I/we wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.  
 Option 2 :  I/we do not wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.  
 Details of disputes / dues pending from / to such Stock Broker / Sub-broker / Authorised Person:

Whether Employee / Agent / Approved user / Authorised Person / Sub Broker of any other \*Trading / Clearing Member: (\*Member in equity or commodity Exchange/s)  Yes  No Name of Member \_\_\_\_\_ (Please provide consent letter from such Trading/Clearing Member)

Whether Broker of any Exchange  Yes  No Name of Exchange/s \_\_\_\_\_ (Please provide consent letter from such Exchange/s)

Whether Declared Defaulter/debarred/suspended By SEBI/FMC/RBI/ANY Other Recognized Stock Exchange/Commodity Exchange:  Yes  No

Details of any action/proceedings initiated /pending/taken by SEBI/Stock Exchange/any other authority against the Client during the last 3 years for violation of securities law/other economic offences (including action taken against relatives/associates)

**F. INVESTMENT / TRADING EXPERIENCE & PREFERENCE**

No Prior Investment Experience \_\_\_\_\_ Years in Equities/Commodities \_\_\_\_\_ Years In Derivatives \_\_\_\_\_ Years in other Investment Related Field

**GST Details**

Trade Name	Legal Name	GST Registration No.	State	Date of Registration

\* Provide GST Registration Certificate in case of GST Number is available

**G. BANK ACCOUNT DETAILS**

Default Bank (Through which payout transactions would be generally routed)		Additional Bank	
Name & Address :		Name & Address :	
Account No.		Account No.	
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____	Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____
MICR Code		MICR Code	
IFSC Code		IFSC Code	

**H. DEPOSITORY ACCOUNT DETAILS** (Transactions would be generally routed through the below demat account.) (Default for Payout)

Depository :  NSDL  CDSL DP Name: \_\_\_\_\_

Beneficiary Name: \_\_\_\_\_ DP ID : \_\_\_\_\_ BO ID: \_\_\_\_\_

**I. DEALINGS THROUGH SUB-BROKERS/AUTHORISED PERSON & OTHER STOCK BROKERS**  No  Yes (If yes, please mention details below)

Name of Sub-broker/ Authorised Person : \_\_\_\_\_

Registration No: NSE \_\_\_\_\_ BSE \_\_\_\_\_ MSEI \_\_\_\_\_

R.O. Address: \_\_\_\_\_ Tel.: \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_

Whether registered with any other Stock Broker / Sub-broker/Authorised Person (If registered with multiple StockBroker/Sub-broker, provide all details)

Name of Broker: \_\_\_\_\_ Name of Sub Broker/AP : \_\_\_\_\_

**J. INTRODUCER DETAILS (Optional)**

Name & Address of the Introducer: \_\_\_\_\_

Status of the Introducer:  Sub-broker  Remisier  Authorised Person  Existing Client  
 Director or Employee of Trading Member  any other \_\_\_\_\_

Person (Please Specify) \_\_\_\_\_ Mobile No. / Tel. No. : \_\_\_\_\_

Proof of Identity (POI) :  PAN No.  Passport No.  Driving Licence  Voter ID

Subbroker Authorised Person Code : \_\_\_\_\_ Client Code : \_\_\_\_\_ Signature: \_\_\_\_\_

> In case of Introducer is not related to MSBPL Client/AP/SB, then ID Proof is mandatory.

**K. BROKERAGE STRUCTURE (Mandatory)**

Existing Client Code : \_\_\_\_\_

Cash Market Brokerage	%	Min Paise per share	Derivative Brokerage	Derivatives Segment		Currency Derivatives Segment	
				Futures %	Options (Per lot Rs)	Futures %	Options (Per lot Rs)
First Leg			First Leg				
Second Leg (Same day Sq. off)	-	-	Same Day Square Off	-	-	-	-
Delivery Brokerage			Next Day Square Off				

**L. COMMODITY BROKERAGE STRUCTURE**

First Leg Min.	First Leg %	Second Leg Min.	Second Leg %	Next day square off Min.	Next day square off %	Delivery Min.	Delivery %	Default Brokerage

Minimum Brokerage will be 0.01 paise per share applicable for futures segment & 0.01 paise per quantity applicable for currency futures segment

- \* Minimum amount per lot would be applicable as per the details provided in the policy and procedures.
- > Delivery Handling Charges (DHC) would be levied on each delivery based transaction in case if the value of brokerage levied is less than Rs 14/-.  
The value of DHC would be difference of Rs 14/- and the brokerage charged.
- > Expiry handling charges would be charged as applicable
- > Statutory cost will be charged as per Exchange / Regulatory Authorities.
- > Trading Software access charges applicable from time to time.
- > KYC Registration Agency (KRA/CKYC) charges will be levied as applicable on option segments and schedule of charges in the Policy and Procedures.
- > Please refer the details of default brokerage, standard brokerage
- > However in any case no brokerage charges/amount can be excess of SEBI Rules & Regulations as prescribed.
- > In SLB segment brokerage will be charged on Lending/Borrowing Premium at 20 % and minimum contract charge is Rs. 100.00

**OTHER CHARGES :**

Particulars	Amount
Duplicate Contract Notes (CN) / Bill	Rs. 10/- per CN / Bill upto 1 month Rs. 25/- per CN / Bill for beyond 1 month
Duplicate Suda Summary / Ledger	Rs. 50/- for 2 month period Rs. 100/- for beyond 2 months
Bounced Cheque / Stop Payment of cheque	Rs. 250/- per instance / instrument
Trade Charges : For delivery of shares from client's pool or margin account to exchange's pool account or to client's demat account	Rs. 10/- + applicable GST per trade

**M. STOCK EXCHANGES & SEGMENTS ON WHICH YOU WISH TO TRADE**

\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off / mentioned as NA.

Exchange / Segment	BSE	NSE	MCX
Cash	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4
Equity / Commodity Futures & Options (Derivative)	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4
Currency Derivative	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4
SLB	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4
MTF	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4	<input checked="" type="checkbox"/> C4
Date of Commencement			

1. Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off / mentioned as NA.
2. In future, if you need to trade in any additional Segment/Exchange, not opted above, separate authorisation letter will be required.
3. In case of trading in Derivatives it is compulsory to submit proof of Financial Details.

**DECLARATION**

1. I/we hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case of any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I may be held liable for it.
2. I/we confirm having read, explained and understood the contents of Policies and Procedures, Terms & Conditions governing Stock Broker, Risk Disclosure Documents & Do's & Don'ts for trading on the all Segments/Exchanges, Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants & the tariff sheet, as available on the website of the company. I am further aware that a copy of Terms & Conditions governing Stock Broker, Risk Disclosure Document Do's & Don'ts for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document.
3. I/we have read and agree to be bound by the Rules, Regulations, bye laws, circulars and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository and Depository Participant pertaining to my trading and demat account, as are in force from time to time.
4. I/We understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my account.
5. I/we confirm having read and understood the guidelines pertaining to BSDA and is eligible to open a depository account as a BSDA holder. I will comply with the said guidelines and that in case my/our Demat Account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to Regular Demat Account without further reference to me / us and will be levied charges as applicable to regular accounts (applicable only if consented for BSDA facility).
6. I, the holder of Aadhaar number as mentioned in the KYC, hereby agree & give my consent to MSBPL to obtain my Aadhaar number, Name and Fingerprint/ Iris for authentication with UIDAI. MSBPL has informed me that my identity information would only be used for Account Opening purpose and also informed that my biometrics will not be stored / shared and will be submitted to CIDR only for the purpose of authentication.

	Name(s) of holder(s)/client	Specimen Signature of holder(s)/client
Sole/First Holder		<input checked="" type="checkbox"/> C5
Second Holder		
Third Holder		

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

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

### Nomination Form

	<b>FORM FOR NOMINATION</b> <i>(To be filled in by individual applying singly or jointly)</i>
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Date		UCC		DP ID		Client ID	
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I/We wish to make a nomination. [As per details given below]

#### NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

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

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :

8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			
	City / Place: State & Country:  PIN Code			

11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details –[Please tick any one of following and provide details of same]			
	<input type="checkbox"/> Photograph & Signature			
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Saving Bank A/c No.			
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			
		Name(s) of Holder(s)		Signature(s) of Holder
	Sole/First Holder (Mr./Ms.)			
	Second Holder (Mr./Ms.)			
	Third Holder (Mr./Ms.)			

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

**Note:**

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

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

### Declaration Form for opting out of nomination

To	Date	
----	------	--

UCC		DP ID	
Client ID (only for Demat account)			
Sole/First Holder Name			
Second Holder Name			
Third Holder Name			

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

**Name and Signature of Holder(s)\***

1. _____	2. _____	3. _____
----------	----------	----------

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



## POLICY AND PROCEDURES

MSBPL as a SEBI registered intermediary is mandated to follow the rules regulations Groulars of the exchanges and SEBI issued from time to time and operates through well defined procedures and polides.

The following polides have been mandated by SEBI to be made available to the dients. It should not be construed that these are the only policies followed by MSBPL,

### A. Refusal of orders for Penny Stocks,

Penny stocks are scrips which have a very low value and may or may not be illiquid. Most times there would be very few buyers /sellers for such scrips. The exchange (NSE, BSE and MSEI) releases a list of such scrips and they are termed as illiquid securities. MSBPL retains the right to term a particular scrip as illiquid penny stock based on the parameters it deems fit. These parameters may include, the past volume of the scrip, the volatility in the scrip among others, whether trading in a particular scrip falls within the purview of fraudulent trades or trades deemed to be fraudulent under the SEBI - prohibition of fraudulent and unfair trade practices relating to securities market regulation 2003. MSBPL reserves the right to facilitate clients for placing orders with regards to the penny stocks or illiquid scrips as described above. MSBPL is not under any obligation to push orders which are in the nature of penny stocks/ illiquid scrips. MSBPL does not encourage trades in penny stock.

MSBPL may permit trades in a penny or illiquid scrip subject to certain conditions, such conditions may include :

- Submission of a declaration, by the client, such declaration would include the reasons for entering into the said transaction and also whether the client has abided by the all the relevant regulations.
- In case of a buy transaction the client may be asked to deposit the full value of scrip which the clients intends to purchase, in case of sale transaction, the scrip will necessarily be transferred to MSBPL's margin account prior to placing the sale order.
- Assessment of the past trading pattern or records of the client prior to giving permission
- Conducting in-person verification of the sak client to establish the genuineness of the intended trade. MSBPL reserves the right to refuse to place such orders whether or not the client fufills the aforementioned conditions.

### B. Setting Up Client's exposure Limits

Exposure is allowed to the clients based on the MSBPL available in form of funds or approved securities valued after deducting an appropriate haircut. Client is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Exchange. Further MSBPL at it's discretion may collect such additional margin or may further reduce the margin subject to extant regulations. Chents are supposed to maintain sufficient balance with MSBPL pre trade depending on the channel through which they trade. MSBPL may ey additional margins or relax the margins earlier imposed based on factors such as, client level positions, volatility in a particular stock/Com moditypr the market in general. Though it shal be our endeavor to ensure that a proper notice is sent to the clients, this may not always be possible taking into consideration the market scenario. Exposure allowed to clients may wary, basis the clients past trading performance. quality of collateral, market circumstances and dynamics and other such factors. Clients may trade themselves through the internet or may trade through the sub-broker or branch, For chents who trade through the internet, the exposure limit may be ascertained by them on the trading portal. Clients executing trades through subbroker or branches may check their exposure positions with the sub-broker/ Branch.

MSBPL shall not be responsible for any variation, reduction or imposition or the Client's inability to route any order through the Stock broker's website on account of any such variation, reduction or imposition of limits. MSBPL may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities /comm oditie faced on certain risk parameters,

### C. Applicable Brokerage

The brokerage applicable shall be as agreed upon from time to time. In case of any modification in the brokerage rate, the client shall confirm the same as required by MSBPL. The client agrees to pay to MSBPL, brokerage, Exchange related charges, statutory levies and any other charges (including but not limited to security/comm oditWanding charges on settlement) as are prevailing from time to time and as they apply to the chent's account, transactions and with respect to the services opted by the client and thereby rendered by MSBPL. MSBPL does not charge brokerage more than the maximum brokerage permissible as per the rules and regulations and bye laws of the Exchanges/SEBI. However the minimum brokerage as stipulated by the exchanges will be levied. The brokerage shall be charged as a percentage of the value of the trade or as a flat fee or otherwise, together with the statutory levies as may be applicable from time to time on the same. In addition to the brokerage charged the following charges will also be levied.

#### Schedule of charges

1. Account opening fees.
2. SEBI turnoverfees as applicable.
3. Exchange Transaction charges as applicable
4. Securities/commoditiegransaction Tax (STI/CTT)\*-The STT/CTTrates will vary with regards to trades done on delivery basis, non delivery basis and trades done in the derivative segment .
5. Service Tax/GST\*.
6. Stamp duty :- Statewise stamp duty as applicable will be levied.
7. Education Cess and higher Education Cess\*.
8. In addition to the above MSBPL shall debit the demat charges to the trading account.
9. In case there are any bank charges or any other charges levied by the exchange or any other authority on account of any violation done by the client, the same shall be charged to the client.

10. Delivery Handling Charges (DHC) would be levied on each sale transaction in case if the value of brokerage levied is less than Rs 16/-. The value of DHC would be difference of Rs 16/- and the brokerage charged.

11. In case where the brokerage levied as a percentage on the value of the shares/commodities contract is less than the minimum brokerage payable per share/commodities contract. The client will be charged such minimum rate of brokerage per share instead of the percentage. \*These are government levies and are subject to change from time to time and will be charged in addition to the brokerage as applicable. All the above charges would be subject to change from time to time. Such changes shall be displayed on the website or such other URL used by MSBPL from time to time.

**In case the brokerage rate is not specified on the brokerage chart within the KYC, the default brokerage as mentioned below will be applicable.**

#### Default Brokerage

Cash Market Brokerage	%	Min Paise per share	Derivative Brokerage	Derivatives Segment		Currency Derivatives	
				Futures %	Options (Per lot Rs)	Futures %	Options (Per lot Rs)
First Leg	0.10	0.10	First Leg	0.07	100	0.05	30
Second Leg (Same day Sq. off)	-	-	Same Day Square Off	-	-	-	-
Delivery Brokerage	0.50	0.10	Next Day Square Off	0.07	100	0.05	30

#### COMMODITY BROKERAGE

First Leg Min.	First Leg %	Second Leg Min.	Second Leg %	Next day square off Min.	Next day square off %	Delivery Min.	Delivery %	Default Brokerage
0.07	0.07	0.00	0.00	0.07	0.07	0.07	0.20	0.07

\* In case of futures, the minimum brokerage of 0.01 paise per share will be charged.

\* In case of futures options, minimum brokerage will be Rs. 100/- per lot or the above be charged, whichever is higher.

\* In case of currency futures, minimum brokerage of 0.01 paise eventually be charged.

\* In case of currency options, minimum brokerage which will be Rs.30/- per lot as the above which ever is higher.

#### **D. Imposition of Penalty / Delayed payment charges by either party, specifying the rate and period.**

Delay pay-in charges are levied to clients for non-payment or delay in payment of their fund obligation on time which may be due on account of charges, margins or any other sum due to MSBPL. Clients are required to pay margins before placing any trades. Clients are allowed to place margins in form of funds / securities / commodities. Exposure is given to the client based on the stocks / commodities submitted by the client towards margin of MSBPL. Appropriate haircut is applied on such stocks / commodities. They are then expected to make the full payment for the purchase on the settlement date. In case there is a debit balance in the clients account, the same shall be liable for the delayed payment charges. The calculation of these charges is an automated process. The charges to be levied would be up to 2% per month. These charges have been introduced so that they act as a deterrent for delaying the payment of funds.

In case where any penalty / charges / fees / taxes etc. of whatever nature, is levied on MSBPL on account of trades or orders placed by clients, such penalty / charges / fees / taxes etc. shall be debited to the client's account. No interest will be paid on the credit balance lying in the client account or funds retained for margins etc.

#### **E. Right to sell client's securities / commodities or close client's positions, without giving notice to the client on account of non-payment of client's dues:**

Margin collection – Margin is collected upfront from the client i.e prior to executing any trades. Based on the margin thus available with MSBPL- exposure is given to the client. The applicable margin may vary and the client may be asked to replenish the margin by tendering additional funds or securities / commodities.

In accordance with Exchange guidelines, MSBPL retains the right to square off the position without giving any notice to the client.

> The client agrees to pay for the shares / commodities purchased through MSBPL before the pay-in date in order to enable MSBPL to make the requisite pay-in to the exchange. In case the client fails to make the payment, MSBPL may liquidate the securities / commodities in the clients account in order to ensure that adequate credit is received for the shares / commodities purchased. This square off may be done on or before the 5th day from the settlement date;

> The client also agrees to maintain adequate margin for the positions taken in any segment. However, in case the credit available is lower than the minimum margin required, the client's positions would be liquidated in a manner that there is no shortfall of margin;

>MSBPL shall endeavor to ensure that adequate prior information is given to the client for such liquidation. It shall inform the client through the mobile number and/or email ID updated with MSBPL. For clients to whom a login ID and password is given to access their account on the website [www.matalia.co.in](http://www.matalia.co.in) or such other URL that may be provided by MSBPL from time to time, where they are required to login and check the limit statement uploaded therein. It shall be the clients' responsibility to ensure that adequate credit balance is available in the account;

> The client accepts to mark all its transactions as carry-forward or Intraday / Margin. Accordingly, the client agrees that all transactions which are not marked as 'Intention to take Delivery' may be squared-off by the MSBPL irrespective of credit balance of funds / availability of margin in client's account, before the close of market hours at such specific time as may be deemed appropriate by the MSBPL;

> The above guidelines may be changed based on the discretion of MSBPL and in terms of the market conditions. In cases where the market is volatile and there is a sudden spurt in scrip / commodity price then MSBPL may square off position without any notice due to the paucity of time and other such circumstances;

> Whenever MSBPL endeavors that the positions are to be liquidated, it shall not be responsible for any liabilities in case the same cannot be liquidated;

> The priority of the positions to be squared off, i.e. which positions to be squared off first, would be at the discretion of MSBPL

#### **MSBPL may follow the following priority for squaring-off positions :-**

- a) Lower Margin scrip's will be squared off first;
- b) Only futures position will be squared off (option position to be square off manually);
- c) In case where there is a position in cash, derivative segment and commodity segment, futures positions would be squared off first then cash positions would be square off in case shortfall still exist.

#### **F. Shortages in obligations arising out of internal netting of trades**

##### **Internal Shortage Policy**

BSE has a window wherein internal short deliveries can get auctioned as per the normal auction process. Internal short deliveries are not covered by the Auction conducted on the NSE. It is due to this limitation on the NSE we follow the procedure as mentioned below:

1. The client may not receive shares on T+2 in case there is an internal shortage situation within MSBPL, i.e. the buyer and seller are both MSBPL clients and the seller defaults in delivery due to which the buyer may not receive the shares;
2. In case of an internal shortage, firstly the defaulting seller would be debited with a value being the highest of T day closing price or T+1 day closing price;
3. In case there is an internal shortage in BSE, the exchange conducts an auction through which the shares would be purchased and delivered to the buyer. The seller would be debited at the rate at which the exchange would have purchased these shares. Additionally, brokerage, statutory costs and other incidental charges including penalty for non-delivery may be debited to the client. In case, the exchange is unable to purchase these shares, the exchange will inform MSBPL of a close out rate, at which the buyer would be allowed credit and the seller would be debited for the same amount. In case of any corporate action for internal shortages, if original trade was executed at cum-rate, then MSBPL will repurchase the shares at ex-rate in its Internal Shortage a/c. The amount / quantity of corporate action, as applicable will be debited to the Seller's a/c and will be credited to the Buyer's account. In case of securities being delisted from trading / unable to buy on account of corporate action, MSBPL will close out internal shortages at last traded price / last traded cum rate price + 10% (credit to buyer & debit to seller). Due to any circumstances, if BSE internal shortage position not informed to BSE, in such case same process as mentioned in below points for NSE will be followed;
4. In case there is an internal shortage in NSE, MSBPL purchases the shares from the normal market and provides the shares to the buyer, on receipt of delivery. The defaulting seller would be debited with the rate at which these shares were purchased, including the brokerage, statutory charges and other incidental charges including penalty if any. In case of non-receipt of delivery to purchase the shares, the buyer would be offered credit at a close out rate applicable on T+4 day + 3% or and the new seller would be debited at the same rate. In case where MSBPL is unable to purchase the shares on account of the scrip being in buying circuit, the position would then be closed out on the closing price of the exchange on T+2 at the circuit percentage of 2 days (Maximum upto 20%). In case of any corporate action for internal shortages, if original trade was executed at the cum-rate, then MSBPL will repurchase the shares at ex-rate in its Internal Shortage a/c. The amount / quantity of corporate action, as applicable will be debited to the Seller's a/c and will be credited to the Buyer's account. In case of securities being delisted from trading / unable to buy on account of corporate action, MSBPL will close out internal shortages at last traded price / last traded cum rate price+10%(credit to buyer & debit to seller);
5. MSBPL may also levy charges on the defaulting seller for non-delivery of stocks / commodities within the stipulated time;
6. In case there is an internal shortage in MCX, MSBPL shall not be obliged to deliver any commodities or pay any money to the client unless and until the same has been received by the MSBPL from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled its obligations first.

#### **G. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client and Inactive / Dormant Account**

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

- (a) In the event where overall position in any scrip, commodity or derivative contract has reached the limit prescribed by regulators or exchanges. For example, in case of NRI clients where the PIS Limits are prescribed by RBI are breached or in case of Exchange wise, scrip wise limit prescribed by Exchanges for derivative contracts are breached. In all such cases the client may not be permitted to take additional positions;
- (b) MSBPL has the right to stop or block the client to trade in case where there is a debit balance in his/her account;
- (c) MSBPL retains the right to block the client to take a position in certain specified scrips / commodities basis the risk management systems of MSBPL;
- (d) In case where MSBPL is apprehensive the client to be an entity debarred by any regulatory authority, it shall retain the right to stop the trading activities of such a client;
- (e) In case where MSBPL perceives risk with regards to any regulatory action or with regards to delay or non-payment of margin or any other obligation MSBPL may temporary block or suspend the trades of such clients;
- (f) In case where the client's account is dormant for a period of more than 2 year MSBPL may mark such clients as inactive, and trades in the futures and options segment / Cash segment will be restricted till the receipt of the request from the clients for activating the account;
- (g) In case where suspicious transactions are observed, including but not limited to off market transactions;
- (h) In addition to above, MSBPL retains the right to impose trade restrictions on any security / commodity having regard in particular to any one or more of the following factors viz. (i) Market Volatility, (ii) price sensitive announcements relating to any security / commodity, (iii) restrictions on trade volume imposed by the Exchange concerned, (iv) political instability in the country, (v) external aggression or internal rebellion, (vi) default by the client to maintain applicable collateral / margin or to make payment of dues or such other factors influencing the securities / commodities market.

#### **H. Temporarily suspending or closing a client's account at the client's request**

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of

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

### I. Deregistering a client

Notwithstanding anything to the contrary stated in the agreement, the stockbroker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

>If the action of the client are prima facie illegal or such as to manipulate the price of any securities / commodities or disturb the normal functioning of the market, either alone or in conjunction with others;

>If there is any commencement of a legal process against the client under any law in force;

On the death / lunacy or other disability of the Client;

>If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;

>If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;

>If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

>If the Client is in breach of any term, condition or covenant of this Agreement;

>If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security / commodity;

>If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;

>If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;

>If the Client has become the subject of proceedings under any bankruptcy or insolvency law or being accompany, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

>If any covenant or warranty of the Client is incorrect or untrue in any material respect;

### J. Proprietary Trading

The stock broker (Matalia Stock Broking Pvt. Ltd.) hereby informs and declares to the client that, in addition to the client level trading, the stock broker undertakes Proprietary Trading.

### K. Investor Grievances

Investor can send in their grievances to "investorgrievances@matalia.co.in".

Client Acceptance of Policies and Procedures stated herein above:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision / clauses this document any circumstances whatsoever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

(Signature of Client)



### MANDATE FOR MAINTAINING THE ACCOUNT ON RUNNING ACCOUNT BASIS

To,  
Matalia Stock Broking Pvt. Ltd., 21-New Jagnath Plot, Nr. Jain Bhuvan, Rajkot – 360 001.



Dear Sir,

Not with standing anything contrary contained in any of the document or correspondence, I hereby severally give mandate to you for maintenance of my account with you on Running Account Basis. This mandate shall be applicable to all segments across exchanges maintained with you including Mutual funds availed through NSE MFSS and/or BSE STAR MF or such other platform and without limitation to securities/ commodities / funds/currencies/units of mutual funds.

This mandate is voluntarily given by me/us as it is cumbersome for me to settle the accounts with you frequently. This will facilitate me in my transactions through you. I also request you to consider the balances in my funds, securities, commodities, mutual fund units and currency account with you for the purpose of margins/any other obligations due to you.

In view of the above it would be proper for you to release the funds, mutual fund units, commodities and securities due to me on my specific request, either written or oral. You may debit the charges of holding units/securities/ commodities to my account with you.

Further, I, authorise MSBPL to retain such amount of funds payable to me, not exceeding as per rules, regulations, circulars, byelaws of Exchanges and SEBI issued from time to time during any monthly/quarterly settlement of my account. I, Further agree that my account shall be deemed to have been settled as per SEBI circular SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016/Exchange Circular MCX/INSP/325/2016 dated September 29, 2016 for respective quarter /month notwithstanding the said retention by Matalia Stock Broking Pvt. Ltd.

I hereby agree to settle my funds/securities/ commodities / mutual funds account on \*Monthly/Quarterly basis as per SEBI guidelines. Further, I hereby declare that I retain the right to revoke this authorization at anytime.



(Signature of Client)

Date :

Place :

\* Kindly tick relevant option. If not struck off, the option will be considered as "Quarterly".

## AML MEASURES

### Why to Monitor Money Laundering

- > Huge amount of funds are generated from illegal activities. These funds are mostly in the form of cash. Money laundering is the processing of these criminal proceeds to disguise their illegal origin.
- > The groups or individuals (criminals) who generate these cash funds need to be brought into the legitimate financial system.
- > All intermediaries in the financial market are therefore required to monitor the money laundering activities to identify entry of these illegal funds into the legitimate financial system.

### Consequences of Money Laundering

- > Finances Terrorism: Money laundering provides terrorists with funds for financing their activities.
- > Undermines rules of law and governance: The use of illegal money increases anti social activities and leads to undermining of rules of law and governance.
- > Affects macro economy: Money laundering if not checked would lead to unusual changes in money demand, risk to bank soundness, corruption, crime, undermining of democracy and rule of the law.
- > Hinders integrity of banking and financial system: The processing of illegal funds through an institution would result in the institution becoming a part of the criminal network which would have damaging effect on the integrity of the system as a whole.
- > Reduces Revenue and Control: Money laundering reduces government tax revenue and weakens government control over the economy.

### Steps in which money is laundered

Money laundering basically involves three independent steps.

**A. Placement:** This refers to movement of cash from its source.

This is done by placing funds into circulation through financial institutions, businesses, etc.

**B. Layering:** This stage aims at creating complex layers of financial transactions thereby making it more difficult to trace the source of these illegal funds.

**C. Integration:** This is the movement of previously laundered money into the economy mainly through the banking system and thus such monies appear to be normal business earnings. This is dissimilar to layering, for in the integration process detection and identification of laundered funds is provided through informants.

### Global Framework - Financial Action Task Force

- > Financial Action Task Force was established by the G-7 summit in

Paris in 1989 in response to mounting concern over money laundering.

> The Task Force was given the responsibility of examining money laundering techniques and trends, reviewing the action which had already been taken at a national or international level, and setting out the measures that still needed to be taken to combat money laundering.

> Works to generate the necessary political will to bring about national legislative and regulatory reforms to combat money laundering and terrorist financing.

> FATF comprises of 34 member jurisdictions including India and 2 regional organizations.

### Indian Scenario

> The Prevention of Money Laundering Act, 2002 (PMLA) forms the core of the legal framework put in place by India to combat money laundering. PMLA and the Rules notified there under came into force with effect from July 1, 2005.

> Financial Intelligence Unit - India (FIU-IND) was set by the Government of India vide O.M. dated 18th November, 2004 as the central national agency responsible for receiving, processing, analyzing and disseminating information relating to suspect financial transactions.

> The PMLA and rules notified there under impose obligation on banking companies, financial institutions and intermediaries to verify identity of clients, maintain records and furnish information to FIU-IND, PMLA defines money laundering offence and provides for the freezing, seizure and confiscation of the proceeds of crime.

### Obligation of the clients

>The clients need to provide complete details like Address Proof, PAN, Income details etc. in order to help establish the identity and thereby help in tracing source of funds.

> Periodically update the financial details.

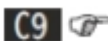
> The transaction executed need to commensurate with the disclosed income details.

For any queries, please contact at [compliance@matalia.co.in](mailto:compliance@matalia.co.in)

Reference for websites.

1. <http://fiuindia.gov.in>
2. [www.sebi.gov.in](http://www.sebi.gov.in)
3. [www.nseindia.com](http://www.nseindia.com)
4. [www.bseindia.com](http://www.bseindia.com)
5. [www.msei.in](http://www.msei.in)
6. [www.mcxindia.com](http://www.mcxindia.com)

I/We have read and understood the aforesaid Anti Money Laundering write up.



(Signature of Client)

\* Strike off whichever is not applicable/acceptable to you



## POWER OF ATTORNEY (POA)

This Power of Attorney (POA) is executed by the person mentioned in the Schedule to the POA in favour of "MATALIA STOCK BROKING PVT. LTD.", a company incorporated under the provisions of the Companies Act, 1956 in India (hereinafter referred to as 'MSBPL', an expression deemed to mean and include its successors and assigns) and having its registered office at "Matalia House", 21-New Jagnath, Near Jain Bhuvan, Rajkot - 360001.

WHEREAS MSBPL is a member of the National Stock Exchange of India Limited ("NSE"), Bombay Stock Exchange Limited ("BSE"), Metropolitan Stock Exchange of India Limited ("MSEI") and Multi Commodity Exchange of India ("MCX") on the Capital Market Segment, Futures & Options Segment, Currency Derivatives Segments and Commodity Derivatives Segments.

WHEREAS MSBPL is also a "Depository Participant" registered with (NSDL) bearing Registered No. IN-DP-NSDL-302-2008.

AND WHEREAS MSBPL is registered with Association of Mutual Funds in India (AMFI) as Mutual Fund Distributor having Registration no. ARN 27732.

AND WHEREAS, I/We wish to avail or I/We am/ are a client availing of the services offered by MSBPL and have entered into agreement (s) with MSBPL for transacting in securities /commodities with / without On-Line trading / E-broking & web based necessary documents/ facilities and/ or services through its website www.matalia.co.in or any other website used for offering said Services. Details of my/ our Trading and Demat account with MSBPL are provided in Schedule to this POA.

Whereas in the course of availing the services and for meeting the settlement obligations thereof on the Exchanges, I/We do hereby nominate, constitute and appoint MSBPL acting through their Directors, officers and/or duly authorized staff for the purpose, as my/our true and lawful constituted attorneys for my depository account (s) as provided in the Schedule to the POA and at my risk and costs to do, execute, exercise and perform all or any of the following acts, deeds, matters and things:

1. To have and exercise the powers and / or authority, and to do and/or execute the acts, deeds matters and things specified in agreement between MSBPL and the Client as may be applicable in relation to the transactions executed by the client
2. To operate depository account(s) for giving / receiving instructions, for the purpose of transferring any collateral to the margin account and / or honoring delivery obligations, for any transactions executed through MSBPL on recognized stock exchanges, under my/our instructions, in any form or format and at any time either electronically or otherwise or through the portal of the MSBPL or through the internet or any other mode.
3. To instruct the DP to debit securities/commodities to my / our aforesaid demat account and / or transfer securities/commodities from the said account and/or instruct the DP to execute the share/commodity transfer request given by me/us in electronic form or otherwise through MSBPL to pool/margin/collateral/any other beneficiary account of MSBPL as per the Schedule to POA, to the extent of shares/commodities sold through MSBPL for pay-in obligation as well as for upfront margins/settlement obligations towards Stock Exchanges across all segments and to meet such obligation which may arise on account of my/our availing of any service from MSBPL.
4. To sign instructions on my behalf with respect to debit/credit/ the depository account(s) for the credit or benefit of my/our account with MSBPL, for the transactions carried by me / us with MSBPL.

5. To validate on my/our behalf any such instruction so given to the Depository Participant(s), in written / physical or any other form as may be required by the concerned depository participant.

6. For these purposes and to this extent, MSBPL is empowered by me/us, to affix their signatures to any document, form or any other record, being a delivery instruction given by me/us to the said depository participant, as required by the concerned depository.

7. I/We also undertake to pay such demat charges/fees and such other charges incurred by the MSBPL under this power of attorney and that I/We further authorize MSBPL to debit my/our account with MSBPL with the said charges as and when the same becomes due for payment and I/We hereby undertake to pay the same immediately on demand made by MSBPL.

8. To register this Power of Attorney with the Depository Participant and/ or with any other party concerned as is require within the parameters of this Power of Attorney

9. To sign all applications, apply for, subscribe to or enter into correspondence with respect to any Initial Public offers/offers for Sale of Securities /commodities of the companies /Units of mutual fund, Asset Management company or any other "Investment Products" offered through the website www.matalia.co.in (owned by MSBPL) or any other means as per the instructions

made available to them by me/us by electronic mail or through the website or any other mode as specified on the website or otherwise.

10. To make payment to any party with respect to the aforesaid products mentioned in point 9 above on my/our behalf to fulfill the transaction requested by me/us.

11. To enter into correspondence with market participant with respect to any transaction in any Investment Products.

12. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/issuer of "Investment Product".

13. To receive intimation from the Exchange and any other party regarding the allocation / allotment / rejection / regret of the securities/commodities or such other "Investment Product" applications / (Voluntary)subscriptions/withdrawal or any other communications.

14. To authorize MSBPL to invest on behalf of me/us and to hold the mutual fund /asset management company(ies) based on the request given by me/us. I confirm not to hold such mutual fund/asset management company /MSBPL liable for any transaction processed on the based on my/our request To correspond with and give notice to the corresponding asset management company / body corporate (s)/issuer/registrar and transfer agent of securities/commodities including giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated, pursuant to the authorization given by me to MSBPL in this regard.

15. To deposit/transfer on allotment, the securities/commodities, debentures, units of the mutual funds and/or all other investments products applied through MSBPL, on allotment, to my/our Beneficiary Ownership Demat Account opened for the purpose with the MSBPL-DP.

16. To do all other acts and things as may be necessary to affect the subscription/purchase /redemption or any other transaction in any Investment Product for which services availed from MSBPL

17. To debit my Trading account towards monies/fees/charges etc. payable to MSBPL or to a market participant service provider / any of the affiliates / subsidiaries of MSBPL by virtue of fees / charges incurred under this POA, demat charges, or any such costs incurred for I/We using/subscribing to any of the facilities/services provided either by MSBPL or through a Third Party service provider or by any other security or financial instrument on behalf of me/us though

MSBPL or any third party. To bind ourselves with respect to any instruction given by first holder or any other holder to MSBPL.

18. In case of any erroneous transfer done by the attorney, the attorney may return the same to my account as soon it comes to their notice.

19. To send the consolidated summary of client wise scrip wise buy and sell position with average rates by email or SMS.

20. To authorize MSBPL to transfer the securities /commodities to any of the demat accounts of MSBPL mentioned in Schedule to the POA.

21 We, the joint holders (first, second, third holders) of demat account agree, ratify and confirm to bind ourselves to any instructions given by the first holder of the demat account, being the trading account holder, as herein above mentioned, who shall be the exclusive beneficiary of the transactions carried out pursuant to this Power of Attorney, the Director/s and/or Authorised Signatories, who have in token thereof, subscribed their signature thereto.

22. We do hereby confirm and declare that this Power of Attorney shall be valid, effective, operative and shall remain in force till the same is revoked by me/us by sending written request at the head office.

Further, I/We hereby confirm that such revocation shall not affect my/our obligations outstanding at the time such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued in pursuance of this Power of Attorney and all outstanding towards MSBPL have been settled.

23. That, I/We hereby declare that all the actions taken by my/our above mentioned attorney (herein MSBPL) in this regards shall be deemed to be action done by me/us and if necessary shall be ratified by me/us on the instruction of the said attorney and that such actions will be binding on me/us.

24. I/We agree that MSBPL is entitled to credit the proceeds of any instructions. This document shall be subject to the jurisdiction of the courts in Rajkot.

25. To pledge the securities for the limited purpose of meeting the margin requirements in connection with the trades executed on the stock exchanges.

26. In witness whereof I/We have executed this revocable Power of Attorney on the day, date and year herein as mentioned.

**Schedule to the POA**

	Name	Address
First / Sole Holder (Trading Account Client)		
Second Holder		
Third Holder		
Demat Account No.		

**Particulars of Margins / Pool Account Nos. of MSBPI**

Client Collateral A/c (All Segement)	IN 303575 - 10288279	NSE Cash	CM BP ID :IN 564756 - 10001201	BSE Cash	CM BP ID :IN 655 275- 10001905
	IN 303575 - 10289592		1601010000361249		CM ID :9371601010000271839
Client Margin	IN 303575 - 10289527		EPI A/C 1100001100019697		EPI A/C 1100001100019253
Trading	IN 303575 - 10289621	Client Unpaid Securities A/C. (CUSA)-BSE	IN 303575 - 10268940(FOR NSDL)	NSE MF CM BP ID	NSDL :IN 565576,CDSL: M51452
Securities A/C	IN 303575 - 10291571		1601010000455603(FOR CDSL)		BSE MF CM BP ID
		(CUSA)-BSE	IN 303575 - 10268931		CDSL :1100001000020972

IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year herein above written Signed and Delivered

	Sole / First Holder	Second Holder	Third Holder
SIGNATURE			

In the presence of (Signature and Name of Witness)

Name _____	Name _____
Address _____	Address _____
Signature W1	Signature W2

We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned herein above.

Authorised Signatory  
(HO purpose only)

Date \_\_\_\_\_

Letter of Authority

To,

"Matalia House", 21-New Jagnath Plot  
Nr. Jain Bhuvan, Rajkot-360001  
Ph. : 0281-2466387, 6697505

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

Client Code \_\_\_\_\_

Dear Sir,

Date \_\_\_\_\_

Sub: **Letter of Authority - CASH/F&O/Currency Derivative/Interest Rate Future Segment of NSE/BSE/MSEI/MCX other stock exchange if any**

I/We are dealing in securities with you at NSE/BSE/MSEI/MCX any other proposed exchange incorporated in future of which MSBPL will be trading member in Capital Market, F&O, Currency Derivative & Interest Rate Future Segment /Commodity Segment and /or other investment product in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares /commodities provided to you by us.
2. I/We hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you
3. I/We hereby authorise you to retain pay out of securities /commodities, all the securities/commodities which we give you in margin and corporate benefits if any for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of stock exchanges / clearing house for meeting margin / payin obligation or for giving the same as margin to the Stock Exchange or otherwise.
4. I/Werequest you to retain credit balance includes corporate benefits like dividend etc. in any of my/our account and to use the credit balances / funds towards our margin/future obligations at any or all the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charged from time to time, for keeping the shares /commodities in your client demat beneficiary account on my/our behalf, transfer of security/commodity from your demant account to meet my/our pay in obligations on for transferring the securities/commodities in my/our Demat accounts as per my/our request. I/We also authorise you to debit the financial charges @ 2% p.m. for the debit balances if any, in my/our account and not settled as per the exchange requirements.
5. I/We request you to bill me/us on monthly basis or at your convenience for derivatives segments. You can collect mark to market, initial margin on daily basis debiting my/our account.
6. I/We authorize you to utilize the margin of cash or securities commodities lying with you in all the form for placing it with stock exchanges.
7. Further we hereby authorize you to transfer, adjust, pass journal voucher for my/our cash margin pay out of funds,my/our running ledger balance, share/commodity margin, payout of shares/commodities between my/our various accounts held with you in same segment or different segment, viceversa. I/We hereby willfully and unconditionally issue standing instructions for transfer of credit/debit balance from Mark to Market/Premium Account to Margin Account viceversa for transfer of credit/debit balance from Margin account to Mark to Market / Premium Account. I/We also hereby unconditionally issue standing instructions to you to maintain a running account in my/our case with you. I/We hereby authorize you to withhold my/our funds pay-out (if any) towards margin and open interest as and when warranted and similarly debit my/our account with you for fresh Mark to Market differences, Margin etc. ona daily basis if required.
8. I/We hereby undertake and confirm that we will not make any cash payment to the company or its representative under any circumstances and if so paid to any of the representative/employee/authorized person/sub-broker, it shall not be the responsibility of Matalia Stock Broking Pvt. Ltd. We clearly understand that the company never accepts money in cash
9. I/We hereby undertake and confirm that we shall deliver shares for pay in to the company account and share will not be delivered to company's employee's / authorized person's/subbroker's demat account under any circumstances.
10. The Client is aware that Matalia Stock Broking Pvt. Ltd. (MSBPL) is providing various services in furtherance to the activities of securities /commodities broking and we wish to avail of such service and in pursuance whereof we hereby agree, undertake and authorize MSBPL to levy various financial charges for rendering services and collect or recover the same from my trading account maintained with it towards services as may be provided by it and availed by me or us.



(Client Signature)



11. I/We hereby also undertake that :
- (a) I/we are doing business/dealings only for me/us and not on account of any clients.
- (b) We have not to issue any further contract notes, whatsoever to anybody in relation to my/our dealings with you.
- (c) we further undertake that I/We shall not effect any third party transactions during the course of my/our dealing through you. Further undertake to indemnify you against any losses/damages suffered by you if I/We indulge in third party transaction.
12. That all securities /commodities shall be valued at current market prices and credit (referred as collateral amount) shall be assigned only after applying the due haircut percentages, which shall vary from security/commodity to security/commodity.
13. That I shall intimate MSBPL at least 5 working days in advance for any release of securities /commodities from your custody / from such entity with which those securities /commodities may have been deposited/pledged. We accept that MSBPL shall not be releasing the securities in the case of any pending /any outstanding positions or dues in my account with MSBPL. That I shall intimate MSBPL at least 2 trading days in advance, to adjusting my securities/commodities with you against my sale obligation in the same securities /commodities in any exchange segment. I hereby undertake to fulfill any shortfall in the collateral amounts arising out of such adjustment of securities /commodities, before the scheduled securities /commodities pay-in-date at the exchange, failing which MSBPL shall not be responsible for shortage in securities/commodities payin.
14. I hereby declare, agree and state that as far as possible and practicable, I will place the order for purchase /sell of the equity/commodity, equity/commodity derivatives strictly as per mode and manner prescribed/provided/approved by SEBI/Stock Exchange from time to time. However, in any circumstances/situation for my convenience, if it is not possible for me to adhere to the guidelines in this regard, you may for my convenience execute the order for purchase/sell of the security/commodity as per my oral/verbal order during the live market. Considering the market movement and situation, the instant written confirmation may not be possible, but as a matter of general practice, will receive information about execution of trade (for purchase/sale of the security/commodity) via email/SMS or internet at my given email id or registered mobile No. in due course as per directives of SEBI/STOCK EXCHANGE and it will be my responsibility to verify or check the same in due course. I hereby declare and agree such intimation given to me will be sufficient compliance on your part of the rules and regulations of SEBI/Stock Exchange and transaction so done will be treated as valid and authorized transaction and if do not raise specific dispute immediately (or latest within 24 hours of receipt of email or SMS) the execution of trade will be valid, authorized, final and binding to me and no dispute/complaint in that regard will be raised by me. I hereby admit and acknowledge that I will be responsible for placing order for purchase/sell of security/commodity and no burden will lie on the broker/you in that regard.
15. I/We request that you may send/despatch me/us contract notes & other documents on my designated e-mail address. We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e- mail to me/us and will not dispute the same. I/We will inform you the change my/our e-mail, if any, in future either by regd. post or through a digitally signed e-mail.
16. We authorize Mr/Ms. \_\_\_\_\_ ( who is  Self
- Family  Spouse  Dependent Children  Dependent Parents ) to deal/transact on my/our behalf and to place order, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act(s) on my/our behalf which I/we can do and I/we the undersigned to hereby agree and declare and confirm that all the acts, and things done by him/her or his/her substitutes shall be my/our acts, deed and things validity done by me/us to all intents and purposes.
17. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
18. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.
19. I/We have a Trading As well as depository relationship with Matalia Stock Broking Pvt. Ltd. Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason.
20. Please refer to the above authority letter issued by \_\_\_\_\_ (client) authorizing me to trade and settle in his/her/their aforesaid trading account. I hereby accept the authority given to me and I shall abide by the terms & conditions of KYC documentation executed by the client with MSBPL



**MUTUAL FUND SERVICE SYSTEM FACILITY / BSE STAR MF**

To,

Dear Sir,

I/We \_\_\_\_\_ having PAN: \_\_\_\_\_ having trading account with MSBPL under  
 the tracing code \_\_\_\_\_ to dea in Cash or/ard Derivative Segments or/and Mutual Fund of NSE / BSE /  
 MSEI Exchange or subscripiovin IPO/FPO etc.

Sub: Mutual Fund trading facility on NSE & BSE Exchanges.

**Ref.: Trading Code** [ ] **ARN / Sub Broker / EUIN** [ 27732 ]

I/We am/are registered as your client with above mentioned Trading Code and have executed KYC and Rights and Obligations and other voluntary documents, if any, "or the puroose of trading in the Capital Market segment of the Exchanges. We am/are interested in availing the trading faci ity of the Fxchanges for the puroose of dealing in the units of Mutual Funds Schemes oermitted to be dealt with on the Fxchanges. For the purpose of availing this facility. I/we stale that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of Mutual Furds segment of the Exchanges and I/we further confirm that the deta ls con:ained in same remain unchanged as on date.

I/We am/are w lling lo abide by the operating guidelines and terms and conditions as may be specified by the Exchange {rom time to time in this regard including the terns and conditions specified by the Exchange with respect to mutual fund facility since 2009. We shall also comply with all the Know Your Client (KYC) and Anti Money Laundering (AML) requirements as may be specified by the Exchange. We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information

Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/ave choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in Mutual Fund facility of the Exchanges.

NSE MFSS  BSE Star MF (Pl. Specify)

I/we have read and understood below given pre requisites and terms and conditions and agree with the same.

Pre-requisites for becoming Investor/Client for the Mutual Fund Services :

1. The clientis desirous of investing in units of mutual fund schemes through the Exchanges.
2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Exchanges.
3. The client has satisfied himself/herself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instructions through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transaction through the Participant.
4. The Client has approached to the Participant with the application for availing the Mutual Fund facility from the Exchanges.
5. The client has submitted relevant KYC (Know Your Client) details to the Participant.

**Terms & conditions :**

6. The client shall be bound by circulars issued by Exchanges, Rules, Regulations and circulars issued there under by SEBI, AMFI and relevant Notifications of Government authorities as may be in force from time to time.
7. The client shall immediately notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time of registering as a client for participating in the Mutual Fund segment of Exchanges or at any time thereafter.
8. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
9. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
10. The client shall be wholly responsible for all his investment decisions and instruction.
11. The client shall ensure continuous compliance with the requirements of the Exchanges, SEBI and AMFI.
12. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Clients account, transactions and to the services that Participant renders to the Client.
13. The client will furnish information to the Participant in writing if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him/her or if any litigation which may have material bearing on his capacity has been filed against him/her.
14. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of Exchanges or clearing corporations of Exchanges.
15. To reduce administrative/oper ational difficulties in quarterly/monthly settlement of accounts, I We hereby authorized you to buy and/or sell liquid bees on my/our behalf, for the suitable amount. [I/We understand that-The value of liquid bees doesn't change significantly, The costs will not have much effect on my/our trading account balance, There will not be any payment gateway charges, No hassles of having to transfer the funds back into my/our trading account, I/We have continuous access to my/our funds in case of trading opportunity.
16. The above authorization is revocable and can be revoked by sending an intention for revocation in writing at the registered office of MSBPL.I/We understand that the above authorization will be exercised by MSBPL at its discretion and I/We understand that MSBPL may release the entire or part of funds and/or securities instead of buy and/or selling liquid bees as per above authorization and I We shall not make MSBPL liable for not exerditation of the above authorization.
17. In case of any dispute between the Participants and the investors arising out of the Mutual Fund facility of the Exchanges, each of the Exchange agrees to extend the necessary support for the speedy redressal of the disputes.

I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief.

[Signature]

(Signature of Client)

**ELECTRONIC CONTRACT NOTE (ECN)-DECLARATION**

To, \_\_\_\_\_

I, \_\_\_\_\_ a client with Member M/s. Matalia Stock Broking Pvt. Ltd. of MCX, BSE, NSE and MSEI undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email ID is \_\_\_\_\_ This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above email ID.

**The above declarations and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.**

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

Unique Client Code: \_\_\_\_\_

PAN: \_\_\_\_\_

Address: \_\_\_\_\_

Signature of the Client: \_\_\_\_\_

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

(Verification of the client signature done by,  
 Name of the designated officer of the Member:)



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

**RESEARCH ADVICE DISCLAIMER, TERMS AND CONDITIONS**

To, \_\_\_\_\_

Registered office Address : \_\_\_\_\_

Website: \_\_\_\_\_

1. The matalia.co.in website contains terms and conditions, other than those mentioned herein. One should read those additional terms and conditions carefully. By registering for the Email, SMS & Other services, you are indicating your agreement to be bound by the said terms and conditions.
2. The information, products and services on the matalia.co.in website and the SMS service are provided on an "AS IS," "WHERE IS" and "WHERE AVAILABLE" basis. Although the information provided to you in these services is obtained or compiled from sources we believe to be reliable, MSBPL cannot and does not guarantee the accuracy, reliability, validity, timeliness or completeness of any information or data made available to you for any particular purpose and the views are purely of indicative nature and not of suggestive nature, therefore does not any claim and action arising against Matalia (Matalia Stock Broking Pvt. Ltd.).
3. Neither MSBPL, nor any of its associates, subsidiaries, affiliates, directors, officers or employees will become liable or have a responsibility of any kind for any loss or damage that I/We may incur from any decisions taken by me/us based on MSBPL's SMS services. Further, advice of MSBPL only provide information updates and analysis of the stocks and MSBPL, it's Directors, Officers or employees may have direct or indirect interests. I/We express undertaking of the risks, which is inherent in any equity/commodity investment or trading decisions. MSBPL does not undertake any obligation or responsibility to update or amend any such information. MSBPL may discontinue or change any product or service described herein at any time without demur.
4. None of the information contained in the services constitutes a solicitation or offer from MSBPL or its affiliates to buy or sell any securities, futures, options or other financial instrument advice or service. Prior to the execution of any order/transactions by me/us involving information received by me/us from these services, I/We should concert my/our investment advisor with respect to the price, suitability, value or other aspects of any stock, security or other investment. Pricing and other information referred in these services may not reflect actual prices or values that would be available in the market at the time provided or at the time that I/We may want to purchase or sell a particular security or other instrument.
5. I/We agree no to reproduce, retransmit, disseminate, sell, distribute, publish, broadcast, circulate or commercially exploit the information available on e-mail or SMS sent by MSBPL, in any manner without the express return consent of MSBPL, nor to use the information for any unlawful purpose.
6. I/We hereby agree and confirm that in case I/We change my e-mail/mobile no. in future whether directly or through KRA/C-KYC with any other intermediaries, this disclaimer, terms & conditions shall continue to be agreeable and acceptable to me/us on the updated email/ mobile no. and shall remain valid & binding to me/us.

\_\_\_\_\_

(Signature of Client)

To,

Dear Sir,

I/We hereby acknowledge the receipt of duly signed account opening letter/ kit. copy of rights & obligations of stock broker, sub-broker & client, Do's and Don't's, risk disclosure document (RDD), guidance note, policy & procedures, etc. for all Exchanges / segments.

I/We acknowledge that the other details related to my/our account are as under :

Trading Code

UCC

My Email Id



(Signature of Client)

**Application No.**

**Acknowledgment Slip**

**Date:**

Received the application from the following holder/s for opening a trading & depository account. Please quote the Client Code, DP ID & Client ID allotted to you in all your future correspondence.

Name of 1st Holder	Name of 2nd Holder	Name of 3rd Holder

Received in Cash \_\_\_\_\_ Amount \_\_\_\_\_

Received Cheque No. \_\_\_\_\_ Amount \_\_\_\_\_ Bank Name \_\_\_\_\_

Executive Name : \_\_\_\_\_ Executive Sign : \_\_\_\_\_

Outlet Name : \_\_\_\_\_ Outlet Code : \_\_\_\_\_



For all queries, please call 0281- 6697500-501-504-507

For DP Inquiries & Queries email at dp@matalia.co.in

Note : "Kindly DO NOT handover Cash / Shares to the sales executive for any reason whatsoever

**Matalia Seal and Signature**