

CENTRAL KYC REGISTRY | instructions / Check list / Guidelines for filling Individual KYC Application Form**A Clarification / Guidelines on filling 'Personal Details' section**

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

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

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

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

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

C. Clarification/Guidelines on filling 'Contact details' section

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

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

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

E Clarification on Minor

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

FOR OFFICE PURPOSE ONLY

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

ADDITIONAL INSTRUCTION

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

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2	Policies and Procedures	Document describing significant policies and procedure for equity, derivatives and Commodity Derivatives.	20-23
3	Right and Obligations Documents of BO & DP	Rights & obligations documents of BO & DP for a Person seeking to open a beneficial woner's account (for opening of Demat Account)	SEPARATE COPY FOR CLIENT
	Right and Obligations of Member Authorized person and Clients	Document stating the Rights & Obligations of Member/ Authorised person/ Sub broker and Client for trading on Exchanges (Including addition rights & obligations in case of internet/wireless technology based trading)	
	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities / commodities market.	
	Guidance Note- Do and Don'ts	Document detailing do's and don'ts for trading on Exchange for the education of the investors.	
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
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Name of Stock Broker		Arihant Capital Markets Limited	
Name of Stock Exchanges and Segment		07839-NSE/0313-BSE Cash, F&O, Currency, SLB 56565-MCX / 01274 - NCDEX Commodity Derivatives	
Depository		NSDL-IN301983 AND CDSL-12043000	
SEBI Registration No.		Stock Broker INZO00180939, Depository Participant IN-DP-127-2015	
Registered and Correspondence Office		6, Lad Colony, Y.N. Road, Indore -452001 Ph. No.0731-4217100,101 Fax: 0731-4217199	
COO Details: PRANEET MAHESHWARI Phone: 0731 -4217100, Email ID: praneet.maheshwari@arihantcapital.com Compliance officer (Exchange) :- Sudeep Jain Phone: (0731)4217100, Email ID: compliance@arihantcapital.com Compliance officer (DP):- Lokesh Soni Phone: 0731-4217100, lokesh.soni@arihantcapital.com			
For any grievance / dispute please contact Arihant Capital Markets Limited at the above address or email id : complaint@arihantcapital.com and Phone no. 0731-4217100 In case not satisfied with the response, please contact the concerned exchange at: Exchange / Depository Name, Email id & Phone No.:- NSE - ignse@nse.co.in (022) 265981 90, BSE - is@bseindia.com (022) 22728097, MCX - grievance@mcxindia.com (022) 66494000/67318888, NCDEX - ig@ncdex.com (022) 66406789 NSDL - info@nsdl.co.in (022) 24994200.			
You can also lodge your grievances with SEBI at https://scores.sebi.gov.in For any queries, feedback or assistance, please contact SEBI office or toll free			

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

Filing of complaints on SCORES Easy & quick

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

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

Know your Client (KYC)

Annexure (For Non-Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

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

Corporate / HUF / LLP / Trust / Partnership / Details KYC

CKYC No.



Application Type* : New KYC Modification KYC

1- Entity details (please refer guidelines)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Date of Incorporation* _____ Place of Incorporation* _____

Date of Commencement* _____ Registration Number* _____

Entity Type* Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership
 Trust/Charity/NGO HUF FPI Category I FPI Category II
Please Tick () AOP Bank Government Body Defence Establishment
 Body of Individuals Society LLP
 Non-Government Organization
 Others _____

2. Proof of Identity* (please refer the guidelines)

Officially Valid Document(s) in respect of person authorized to transact

Certificate of Incorporation/Formation _____ Registration Certificate _____

Memorandum of Articles and Association Partnership Deed Trust Deed

Board Resolution

Activity Proof - 1+ (For Sole Proprietorship Only)

3. Address Details* (please refer the guidelines)

A. Registered Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ country* _____

B. Correspondence/Local Address in India (if different from above)*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ country* _____

Applicant SIGN



Proof of Address* (attested copy of any one POA to be submitted) 'Not more than 3 months old)

- Certificate of Incorporation/Fromation Registration Certificate Other document
 Latest Telephone Bill* (Landline only) Latest Electricity bill* Latest Bank Account Statment*
 Registered Lease/Sale Agreement of Office Premises **Validity/Expiry Date of POA (Expiry Dat)** ____ ____ ____
 Any other proof of address document (as listed overleaf) _____

4. Contact Details

Email ID _____ Mobile No. _____
Email ID _____ Mobile NO. _____
Tel (off) _____ Fax _____

5. Annexure Submitted

Number of Related Persons-

6. Remarks / Additional Information

7. Applicant Declaration

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

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

Date _____ (DD-MM-YYYY)

PLACE :



Applicant Signature

8. FOR Office Use Only

In Person Verification (IPV) Carried Out By*

IPV Date ____ ____ ____
Emp. Name _____
Emp. Code _____
Emp. Designation _____

Intermediary Details*

- Self certified document copies received (OVD)
 True Copies of documents received (Attested)
AMC/ Intermediary Name :

ARIHANT CAPITAL MARKETS LTD

Employee Signature and Stamp



Institution Name and Stamp

Know your Client (KYC)**Annexure (For Non-Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

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

CKYC No.

Application Type* : New KYC Modification KYC**1. Identity Details of Related Person (Please refer guidelines overleaf)**

PAN* _____

Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female TransgenderNationality* Indian Other _____

Related Person Type*

- Director Promoter Karta Trustee Partner Court Appointed Official Proprietor
 Beneficiary Authorized Signatory Beneficial Owner Power of Attorney Holder
 Others

(please specify)

DIN :

(mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN Exempted case (Please tick)

 A - Aadhaar Card XXXX XXXX _____ B - Passport Number _____

(Expiry Date) _____

 C - Voter ID Card _____ D - Driving License _____

(Expiry Date) _____

 E - Nrega Job Card _____ F - NPR _____ Z - Others _____ (any document notified by Central Government)

Identification Number _____

Applicant Photo

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

Line 1* _____

Line 2* _____

Line 3* _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant SIGN



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

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/ Business Residential Business Registered office

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

Unspecified

 A - Aadhaar Card XXXX XXXX _ _ _ _ _ B - Passport Number _____ (Expiry Date) _ _ _ _ C - Voter ID Card _____ D - Driving License _____ (Expiry Date) _ _ _ _ E - Nrega Job Card _____ F - NPR _____ Z - Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details

Email ID _____

Mobile No. _____

Tel (off) _____ Tel (Res) _____

4. Applicant Declaration

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

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

Date _____ (DD-MM-YYYY)

PLACE :

Applicant Wet Signature

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

IPV Date _ _ _ _ _

Emp. Name _____

Emp. Code _____

Emp. Designation _____

 Self certified document copies received (OVD) True Copies of documents received (Attested)

AMC/ Intermediary Name :

ARIHANT CAPITAL MARKETS LTD**Employee Signature and Stamp****Institution Name and Stamp**

**Know your Client (KYC)
Annexure (For Non-Individuals Only)**



Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked* are pertaining to CKYC and mandatory only if
processing CKYC also
CKYC No.

Application Type* : New KYC Modification KYC

1. Identity Details of Related Person (Please refer guidelines overleaf)

Please enclose a duly attested copy of your PAN Card

PAN* _____

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female Transgender

Nationality* Indian Other _____

Related Person Type*

Director Promoter Karta Trustee Partner Court Appointed Official Proprietor

Beneficiary Authorized Signatory Beneficial Owner Power of Attorney Holder

Others _____ (please specify) DIN : _____ (mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN Exempted case (Please tick)

A - Aadhaar Card XXXX XXXX _____

B - Passport Number _____ (Expiry Date) _____

C - Voter ID Card _____

D - Driving License _____ (Expiry Date) _____

E - Nrega Job Card _____

F - NPR _____

Z - Others _____ (any document notified by Central Government)

Identification Number _____

Applicant Photo

2. Address Details* (please refer guidelines overleaf)

A. Correspondence / Local Address*

Line 1* _____

Line 2* _____

Line 3* _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant SIGN



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

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/ Business Residential Business Registered office

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

Unspecified

 A - Aadhaar Card xxxx xxxx _ _ _ _ _ B - Passport Number _____ (Expiry Date) _ _ _ _ _ C - Voter ID Card _____ D - Driving License _____ (Expiry Date) _ _ _ _ _ E - Nrega Job Card _____ F - NPR _____ Z - Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details

Email ID _____

Mobile No. _____

Tel (off) _____ Tel (Res) _____

4. Applicant Declaration

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

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

Date _____ (DD-MM-YYYY)

PLACE :

Applicant Wet Signature

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

IPV Date _ _ _ _ _

Emp. Name _____

Emp. Code _____

Emp. Designation _____

 Self certified document copies received (OVD) True Copies of documents received (Attested)

AMC/ Intermediary Name :

ARIHANT CAPITAL MARKETS LTD**Employee Signature and Stamp****Institution Name and Stamp**

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

A. IDENTITY DETAILS

Name of Applicant/ Corporate /
HUF / Firm

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

Depository Name	<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL
Name of DP		
DP ID		Client ID

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

STOCK EXCHANGES

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

ALL SEGMENT	CASH / MUTUAL FUND	SLBM	F&O	Currency
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	

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

- _____
- _____



COMMODITY EXCHANGES

S.r No.	Name of the national Commodity Exchange	Date of Consent for trading on concerned Exchange	Client Signature
1.	Multi Commodity Exchange of India Ltd. (MCX)		<input checked="" type="checkbox"/>
2.	National Commodity & Derivatives Exchange Ltd. (NCDEX)		

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

D. PAST ACTIONS

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

E. DEALING THROUGH AP & OTHER STOCK BROKERS

If client is dealing through the AP provide the following details

AP Name			
Exchange Reg. No. :	NSE		BSE
Regd. Office Address			
Tel.No.:		Fax:	Website :

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

Stock Broker Name			
Client Code		Exchange	
Details of disputes / dues pending from / to such stock broker / sub0broker			

F. INTRODUCER'S DETAILS

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

G) GROSS ANNUAL INCOME DETAILS

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

H) IN CASE OF NRIS / FOREIGN NATIONALS

RBI Approval Reference Number _____ RBI Approval Date

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

I) BANK DETAILS

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

J) ADDITIONAL DETAILS

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

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

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

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

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name				
		First / Sole Holder	Second Holder (if any)	Third Holder (if any)
1.	Are you U.S Person? (Refer KYC Handout - Customer Copy)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other
3.	Specify country of citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other

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

DECLARATION

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

1) _____ Sole / First Holder 2) _____ Second Holder 3) _____ Third Holder

Date :

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

 Place : _____

G) OPTION FORM FOR ISSUE OF DIS BOOKLETDate

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

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




(Select one of the options given below)

I / We hereby state that:

OPTION 01

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




Yours faithfully

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

OR**OPTION 02**

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

Yours faithfully

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

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

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

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

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

Note:-

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

ADDITIONAL INFORMATION

Type of Account (Please tick whichever is applicable)

Status	Sub - Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Directors Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Individual Director <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National Depository Receipts <input type="checkbox"/> Others (Specify) _____	

STANDING INSTRUCTIONS

I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account Statement Required	<input type="checkbox"/> As per SEBI Regulation	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction cum-Holding statement at the email id	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We would like to share the email id with the RTA	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We Would like to receive the Annual Report (Tick the applicable box, if not marked the default option would be in Electronics)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We wish to receive dividend / Interest directly in my bank account as per bank details through ECS (if not marked, the default option would be Yes) [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We instruct the DP to receive each and every credit in my / our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We wish to receive debit/credit information in my / our demat account directly form depository at my Email ID & Mobile number as mentioned in the KYC Form	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/>
I/We wish to receive Consolidated Account Statement (CAS) from the Depository	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Confirmation to opt this demat account for BSDA (Basic Services Demat Account)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Demat Debit and Pledge Instruction (DDPI) Contract note	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Contract note	<input type="checkbox"/> Electronics <input type="checkbox"/> Physical <small>In case of Physical please check Tariff sheet</small>	

Nomination Option:-

- I/We wish to make a nomination. (Details are provided in Nomination Form Prescribed by SEBI)
- I/We wish to Opt out a nomination. (Declaration Form opting out of nomination as prescribed by SEBI)

SMS Alert Facility Refer Terms & Condition given as Annexure 2.4	MOBILE NO. +91 [(Mandatory, if you are giving DDPI (If POA is not granted & you do not wish to avail of this facility, cancel this option).]
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I have read and understood the Terms and Conditions for SMS Alert and TRUST Facility as prescribed by CDSL.
Refer - <https://www.cdslindia.com/downloads/Operating%20Instruction/DP%20Annexures -as-of-June-2019.pdf>

Easi	To register for easi, please Visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, trans actions and value of the portfolio online.
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DECLARATION

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

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

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

Annexure-K

601, Atlantis Tower, Plot No. 13 A,
Scheme NO. 78, Indore 452010 (MP)
T. 0731.4217100, F. 0731.4217199
E-mail : depository@arihantcapital.com
Website : www.arihantcapital.com

DP ID :

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Client - ID :

(To be filled by Participant)

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I/We request you to open a depository account in my/our name as per the following details :
(Please fill all the details in CAPITAL LETTERS only)

Date :-

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

A) DETAILS OF ACCOUNT HOLDER(S):

Name Sole / First Holder		PAN
Name Second Holder		PAN
Name Third Holder		PAN

B) TYPE OF ACCOUNT

<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund
<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> HUF	<input type="checkbox"/> Other (Please Specify)

C) For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

Name	PAN
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D) INCOME DETAILS (please specify)

Income range per annum <input type="checkbox"/> Below ₹ 20 Lac <input type="checkbox"/> ₹ 20-50 Lacs <input type="checkbox"/> ₹ 50 Lacs - 1 Crore <input type="checkbox"/> Above ₹ 1 Crore	and	Network Amount ₹ <table style="display: inline-table; border: 1px solid black; width: 100px; height: 15px; vertical-align: middle;"></table> As on (date) <table style="display: inline-table; border: 1px solid black; width: 100px; height: 15px; vertical-align: middle;"></table> (Network should not be older than 1 year)
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E) IN CASE OF NRIS / FOREIGN NATIONALS

RBI Approval Reference Number	RBI Approval Date
SEBI Registration Number (for FIIs)	<table style="display: inline-table; border: 1px solid black; width: 100px; height: 15px;"></table>

F) BANK DETAILS

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

G) Please tick, if applicable, for any of your authorized signatories/promoters/partners/karta/trustees/whole time directors:

<input type="checkbox"/> Politically Exposed Person (PEP)
<input type="checkbox"/> Related to a Politically Exposed Person (PEP)

H) CLEARING MEMBER DETAILS (to be filled up by Clearing Members only)

Name of Stock Exchange
Name of Clearing Corporation/ Clearing House
Clearing Member ID
SEBI Registration Number
Trade Name
CM-BP-ID (to be filled up by Participant)

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

J) List of family members (Separate Annexure maybe used in case number of members is higher)					
Sr.N.	Name of Coparcener/Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener / Member (please specify)

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. in case of HUF details of karta to be given)

Sole / First Holder	Name	Signature(s)
First Signatory/Karta of HUF		
Second Signatory		
Third Signatory		

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. in case of HUF this is not applicable)

<input type="checkbox"/> Any one singly	
<input type="checkbox"/> Jointly by	
<input type="checkbox"/> As per resolution	
<input type="checkbox"/> Others (please specify)	

- Notes:**
- In case of additional signatures, separate annexures should be attached to the application form.
 - Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
 - For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
 - Strike off whichever is not applicable.

POLICIES AND PROCEDURES
(Equity & Derivatives Segment)

(1) Policy for Penny Stock

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

(2) Setting up client's exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/ limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange / SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

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

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

(3) Applicable brokerage rate

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

(4) Imposition of penalty/delayed payment charges

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

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

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

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

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

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/ credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

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

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

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

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

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

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

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

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

(9) Deregistering a client

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

- (i) If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and / or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

10) Inactive Client account

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

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

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

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

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



Signature of the client

POLICIES AND PROCEDURES

(Commodity Segment)

1. Refusal of orders for penny/illiquid Commodity

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

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

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

2. Setting up client's exposure limits

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

The Commodities Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in commodities through the Commodities Broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / commodities or the order being outside the limits set by the Commodities Broker / exchange / SEBI and any other reasons which the Commodities Broker may deem appropriate in the circumstances. Losses, if any, incurred by the client on account of such refusal or delay, shall be borne exclusively by the client alone.

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

3. Applicable brokerage rate

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

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

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

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

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

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

The client would be responsible for monitoring his/her/its position (dealings/trades and valuation of commodity(ies)) on his/her/its own and provide the required/deficit margin / commodity(ies) forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the Commodities Broker to the client and/or whether or not such communication is received by the client. The client is not entitled to trade without adequate margin and that it shall be client's own responsibility to ascertain beforehand the margin requirements for its orders/trades/deals and to ensure that the required margin is made available to the Commodities Broker in such form and manner as may be required by the Commodities Broker. The client shall ensure that funds/commodities are made available in time and in designated form at designated bank(s) and depository account(s) of the Commodities Broker, for meeting his/her/its pay-in/settlement obligation of funds and commodities. The Commodities Broker shall not be responsible for any claim/loss/damage arising out of non-availability/short availability/delayed availability of funds/commodities by the client in the designated account(s) of the Commodities Broker for meeting the pay-in/settlement obligation of either funds or commodities. If the client gives orders/trades in the anticipation of the required commodities being available subsequently for pay-in/settlement through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of commodities/funds for pay-in/settlement for any reason whatsoever including but not limited to any delays/shortages at the exchange or Commodities Broker level/non-release of margin by the Commodities Broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square-off / closing outs etc., shall be solely to the account of the client and the Commodities Broker shall not be responsible for the same in any form or manner whatsoever.

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

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

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

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

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

7. Temporarily suspending or closing a client's account

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

8. De-registering a client

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

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

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

9. INACTIVE CLIENT ACCOUNT

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

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

CLIENT ACCEPTANCE AND ACKNOWLEDGEMENT

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



Signature of the client

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

1. Stock broker is eligible for providing Internet Based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with datacard, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT website provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock broker's IBT system itself generates the initial password and its password policy is as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges. (All the clauses mentioned in the Rights and Obligations document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

Declaration

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

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

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



Signature of the client

RUNNING ACCOUNT AUTHORISATION

VOLUNTARY

To,
Arihant Capital Markets Ltd.
601, Atlantis Tower, Plot No. 13 A,
Scheme N0. 78, Indore 452010 (MP)

Date: _____

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

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

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

Quarterly Monthly

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

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

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

Electronic Contract Note (ECN) - Declaration

VOLUNTARY

To,
Arihant Capital Markets Ltd.
601, Atlantis Tower, Plot No. 13 A, Scheme N0. 78, Indore 452010 (MP)

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

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

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

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

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

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

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

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

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

THE CLIENT HEREBY AGREE TO THE BELOW MENTIONED

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

2. MARGINS

2.1 Payment through Cheque :

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

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

2.3 Type of Margin:

The Member may at its sole discretion prescribe the payment of Margin in the form of cash instead of securities. The Client accepts to comply with the Member's requirement of payment of Margin in the form of cash immediately falling which the Member may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion without further reference to the Client and any resultant or associated losses that may occur due to such square off/sale shall be borne by the Client. and the Member is hereby fully indemnified and held harmless by the Client in this behalf.

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

3. REPRESENTATIONS AND WARRANTIES

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

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

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

- 4.6 The Client also agrees and authorizes the Stock Broker, upon receipt of intimation from the designated depository participant, to debit the trading account of the client towards depository charges payable by the client to the designated depository participants and make onward payment to the designated Depository Participant.
- 5. DEFAULT AND CONSEQUENCES THEREOF**
- 5.1 The client agrees that he shall be deemed to have defaulted the terms of this Agreement in circumstances including but not restricted to the following:
- 5.1.1 Any delay in payment of margins, charges or delivery in respect of this agreement for transactions executed on behalf of the client.
- 5.1.2 Any contravention of the terms contained in this Agreement or on the web site.
- 5.1.3 Any misrepresentation or false statement or omission, or misleading information supplied by the client to the Stock Broker.
- 5.2 In the event of default under this agreement by the client, the Stock Broker shall be entitled to any or all of the following courses of action.
- 5.2.1 Immediate termination of this agreement and terminations of provision of services in terms of this agreement.
- 5.2.2 Other remedies as may be available in terms of law in force, at that point of time.
- 5.2.3 Arbitration in terms of this agreement.
- 5.2.4 Charge an amount that shall not exceed the actual losses incurred by the Stock Broker consequent to the default along with the interest at market rates.
- 5.2.5 The Client agrees, that without prejudice to any other remedy, the or right prescribed in the presents, the Stock Broker may charge daily interest at the rate of 2% per month or such other rate as may be communicated from time to time for any delay in the payment of charges, margin or any other sum due to the stock broker as the case may be.
- 6. LIEN/SET-OFF**
- 6.1 Notwithstanding anything contrary contained in this-agreement, the Stock broker shall have the unrestricted right of lien and set-off as provided in this agreement.
- 6.2 All the funds of the client in the bank account (for on-line clients) shall be subject to lien for the discharge of any or all payments due to the Stock Broker from the client, or in respect of any other obligation that client may have to the Stock Broker.
- 6.3 All securities in the demat account opened in terms of this agreement with the depository participant, shall be subject to lien for the discharge of any or all payments due to the Stock Broker or to the depository participant for the client or any other obligation that the client may have to the Stock Broker or to the depository participant, and may be held by the Stock Broker as a security against default, by the client in respect of the services already availed of by the client.
- 6.4 The enforcement of the lien aforementioned in this clause shall be at the sole and complete discretion of the Stock Broker and the Stock Broker alone may decide the securities to be sold, if any.
- 6.5 The client authorizes the Stock Broker to block securities against pending order or pledge securities in favour of the Stock Broker against any of his dues, provided that this requirement may be waived by the Stock Broker; at its discretion, by suitable modification to the terms and conditions.
- 6.6 The client agrees that the Stock Broker shall have the right of setoff amongst all trading account maintained by the client with the Stock Broker.
- 7. INVESTMENT OR ANY OTHER ADVICE**
- 7.1 The Client agrees that in the event of the Stock Broker or any employee or official of the Stock Broker providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk. and cost of the Client, and the Stock broker shall not be liable or responsible for the same.
- 7.2 The Stock Broker, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.
- 8. TERMINATION**
- 8.1 Unless specified otherwise, both parties shall be entitled to terminate this agreement at will and without giving any reasons to the other party but not without giving a notice in writing of not less than one month that shall be dispatched to the address mentioned in this agreement. However, such cancellation or termination shall not have any effect on any transaction(s) executed prior to the date of such notice of termination and the rights and obligations in respect of such transactions shall continue to subsist in terms of this agreement, and/ or the terms and conditions as prescribed.
- 8.2 This agreement shall become effective on the date first written above or the commencement of first transaction, whichever is earlier and shall remain in full force unless and until terminated.
- 9. JURISDICTION**
- The stock broker and the client declare that the transactions executed on the Exchange (NSE/BSE/MCX-SX) are Subject to rules, byelaws and regulations and circulars issued there under of the Exchange (NSE/BSE/MCX-SX) and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the byelaws and regulation of the Exchange for the purpose of giving effect to the provisions of the Rules, byelaws and regulations and circulars issued there under. Subject to this Courts in Indore shall have exclusive jurisdiction for the purpose of giving effect to these provision.
- 10. PROPRIETARY TRADING**
- The Member discloses herewith that it undertakes Proprietary trading in addition to Client based trading.
- 11. COMPLAINT OR GRIEVANCES**
- For any complaint or grievances please email us at : complaint@arihantcapital.com

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

 _____

CATEGORY DECLARATION**VOLUNTARY**

(For Commodity Segment)

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

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

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

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

 _____

AUTHORITY LETTER**VOLUNTARY**

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

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

Name of Authorised Person(s)

1.	2.

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

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

 _____

CONSENT FOR TRADING IN COMMODITY OPTION**VOLUNTARY**

To,
Arihant Capital Markets Limited,
601, Atlantis Tower, Plot No. 13 A,
Scheme NO. 78, Indore 452010 (MP)

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

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

 _____

Demat Debit and Pledge Instruction (DDPI)

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

SCHEDULE A - LIST OF DEMAT ACCOUNTS

DP NAME	NSDL DEMAT ID /CM BP ID	CDSL DEMAT ID /CM ID	PURPOSE
Arihant Capital Markets Ltd.	IN558703	1204300000000065	NSE Pool / Early Payin Account (CM ID- M50590)
	IN603131	1204300000000105	BSE CM Principal/ Early Payin Account (CM ID- 313)
	IN301983-11319671	1204300000015430	TM/CM-Client Securities Margin Pledge A/c
	IN301983-11319698	1204300000015426	TM-Client Securities Margin Pledge A/c
	IN301983-11323362	-	TM/CM-Client Securities Margin Pledge A/c – Commodity Segment
	IN301983-11319680	1204300000015445	TM-Client Securities Margin Funding A/c
ICCL	IN620031		MF Redemption BSE (CM Id - 313)

Note:- This Authorisation will continue to remain valid until revoke in writing by me/us. (As per SEBI Circular No. SEBI/HO/MIRSD/DOP/P/CIR/2022/44 dated April 04, 2022.

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

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



(Authorised Signatory)

Date:-

Place:-



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

ADDITIONAL CLAUSE FOR MUTUAL FUNDS

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

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

- 1. Pre-requisites for becoming Investor / Client for the BSE STAR MF/ NSE New MFSS platform :**
 - 1.1. The client who is desirous of investing in units of mutual fund schemes through the BSE STAR MF/ NSE New MFSS
 - 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the broker who is a Participant/ Mutual fund Intermediary (MFI) of the BSE STAR MF platform/ NSE New MFSS
 - 1.3. The client has satisfied itself of the capacity of the Participant/ MFI to deal in Mutual Fund units and wishes to execute its instruction through the PARTICIPANT/ MFI and the client shall from time to time continue to satisfy itself of such capability of the PARTICIPANT/ MFI before executing transacting through the PARTICIPANT/ MFI.
 - 1.4. The Client has approached to the PARTICIPANT/ MFI with the application for availing the BSE STAR MF/ NSE NEW MFSS platform.
 - 1.5. The client has submitted relevant KYC (Know Your Client) details to the PARTICIPANT/ MFI
- 2. Terms and Conditions:**
 - 2.1. The client shall be bound by circulars issued by NSE/ BSE's Rules, Regulations and Notices/circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
 - 2.2. The client shall notify the PARTICIPANT/ MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the PARTICIPANT/ MFI at the time of registering as a client for participating in the BSE STAR MF/ NSE NEW MFSS platform or at any time thereafter.
 - 2.3. The client shall submit to the PARTICIPANT/ MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the PARTICIPANT/ MFI.
 - 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
 - 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
 - 2.6. The client shall ensure continuous compliance with the requirements of the BSE, NSE, SEBI and AMFI.
 - 2.7. The Client shall pay to the PARTICIPANT/ MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that PARTICIPANT/ MFI renders to the Client.
 - 2.8. The client will furnish information to the PARTICIPANT/ MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
 - 2.9. In the event of non-performance of the obligation by the PARTICIPANT/MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL) or from any fund of NSEIL or NSCCL
 - 2.10. In case of any dispute between the PARTICIPANT/ MFIS and the investors arising out of the BSE STAR MF/ NSE NEW MFSS platform, BSE and / or ICCL and/or NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

I/We am/are/ registered as your client/ applied to be your client and have executed the KYC and other Agreement for the purpose of trading in the Equity Segment of BSE/ NSE I/We am/are interested in availing the trading facility of BSE/ NSE for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF/ NSE New MFSS. For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF/ NSE New MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the BSE Notice dated December 2, 2009/ NSE circular dated November 24, 2009 and as may be specified by BSE / NSE from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in BSE StAR MF/ NSE New MFSS.

 _____

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

DEFINITIONS:

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

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

AVAILABILITY:

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

RECEIVING ALERTS:

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

FEES:

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

DISCLAIMER:

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

Common Info

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

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

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

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

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

How to freeze Your Account?

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

- 2) On line trading & demat closer facility is available at our re-KYC portal. erekyc.arihantcapital.com

IN PERSON VERIFICATION DECLARATION

To,

Arihant Capital Market Limited
601, Atlantis Tower, Plot No. 13 A,
Scheme NO. 78, Indore 452010 (MP)

I/We hereby declare that:-

1. Mr./Ms./M/s _____ has been Introduce as client of Arihant Capital Markets Limited by me/us.
2. I/we have meet above client personally and make IPV video of the client which is sharing via mail to you.
3. I/we have verified all the documents provided by the above client with Originals and same has been mark on the copy of all the documents of the client.
4. I hereby declare that the details furnished for above client are true and correct to the best of my knowledge and belief. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Thanking You,

Name:- _____

(Signature)

Branch/AP/Employee Code:- _____

Date:- _____

Place:- _____

ANNEXURE-A

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

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

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

Name of the Client:-

Signature:-

Date:-

Place:-

Arihant Capital Arihant Capital Markets Ltd.

DP ID

NSDL-IN301983	CDSL-12043000
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DP OFFICE:601, Atlantis Tower, Plot No. 13 A, Scheme NO. 78, Indore 452010 (MP)
Phone: (0731) 4217100-01, Fax: 91-731-4217254
E:-satyendra dwivedi@arihantcapital.com, W:- www.arihantcapital.com

Client ID

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DEPOSITORY CHARGES-SCHEDULE. 'A' Scheme Name: BSDA

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

Notes:

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

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Place:

Date:

NSDL Fees and charges to Depository Participants

Sr. No.	Service Offered	Charges/fees (amount) Rupees
1	<p>Settlement Fees</p> <p>A settlement fee at the rate of ₹ 4.00 per debit instruction in a Client's account shall be charged to the Participant of the Client.</p> <p>Provided however that for the accounts that fall under the Youth Plan, no Settlement Fees shall be charged in a Client's account, for a period of three years from the date of opening a new client account within a period of one year after the implementation of Youth Plan. To be eligible to qualify under Youth Plan, the first holder must be below the age of twenty-four years at the time of opening the client account. Provided further that the Youth Plan will be subject to a review after a period of one year from the date of implementation</p>	
2	<p>Pledge (For creation of pledge / hypothecation. No fee for closing/invoking pledge/hypothecation)</p>	<p>₹ 25/- per instruction</p>
3	<p>Margin Pledge</p> <p>Margin Pledge Initiation from client account to TM</p> <p>Re-Pledge from TM account to CM account</p> <p>Re-Pledge from CM account to CC account</p> <p>Re-pledge release by CM to TM account</p> <p>Margin Pledge release by TM / CM to Client Account</p> <p>Invocation by CM or TM</p> <p>No fee for re-pledge release / invocation by CC</p>	<p>₹ 5/- per instruction</p> <p>₹ 1/- per instruction</p> <p>₹ 1/- per instruction</p> <p>₹ 1/- per instruction</p> <p>₹ 5/- per instruction</p> <p>₹ 5/- per instruction</p> <p>NA</p>
4	<p>Fees for hold on securities for Non-Disposal Undertakings/Agreement (NDU)</p>	<p>0.01% of the value of securities upon creation of hold subject to a minimum of ₹ 25/-</p>
5	<p>Rematerialisation (no rematerialisation fee charged for Government Securities)</p>	<p>a) ₹ 10/- for every hundred securities or part there of subject to maximum fee of ₹ 5,00,000/-; or b) a flat fee of ₹ 10/- per certificate, whichever is higher.</p>
6	<p>Reconversion of mutual fund units in to SOA</p>	<p>₹ 10/- per instruction</p>
7	<p>Redemption of mutual fund units through Participants</p>	<p>₹ 4.50/- per instruction</p>
8	<p>Annual maintenance - corporate accounts</p>	<p>₹ 500/- per corporate account per annum</p>
9	<p>Transaction fee for online updation of nomination/KYC attributes with eSign.</p>	<p>₹ 20/- plus GST, per record.</p>

SUGGESTED FORMATS

DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM

To,

Dated: _____

Arihant Capital Markets Ltd.

601, Atlantis Tower, Plot No. 13A, Scheme N0. 78, Indore 452010 (MP)

Dear Sir,

We refer to the trading account being opened or opened with you in the name of _____ and declare and authorise you as under.

We recognise that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorise you to recognise the beneficiary account No. _____ with depository _____ opened as a joint account in the name of the undersigned who is the sole proprietor of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above mentioned account. We recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorise _____, partner in to execute/sign and submit such documents, agreement, deeds etc. as may be necessary to enter into the agreement and engage in business and to sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (in block letters)	Signature

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES/TRUSTS

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS/TRUSTEES OF _____ LTD./TRUST AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ 200 _____ AT _____ A.M./P.M.

Resolved that the Company/Trust be registered as Client with Arihant Capital Markets Ltd. (Member of National Stock Exchange of India Ltd.) (NSE), Member of the Bombay Stock Exchange Ltd.), (BSE) & MCX Stock Exchange Ltd. (MCX-SX) for the purpose of dealing in equities, derivatives, currency derivatives, debentures, debt & other products and the said Member be and is hereby authorized to honour instruction oral or written, given on behalf of the Company/Trust by any of the under noted authorized signatories,

SN.	Name	Designation	Operation Instruction Single or Jointly
1.			
2.			
3.			

Who are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with / through Arihant Capital Markets Ltd.

RESOLVED FURTHER THAT Mr. _____ and/or Mr. _____ Directors /Trustees of the Company / Trust be and are hereby authorised to sign, execute and submit such applications, undertaking, agreements and other requisite documents, writings and deeds as may deemed necessary or expedient to give effect to this resolution.

AND RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any Directors or of any one director and Company Secretary, who sign the same in token of their presence.

For _____ Ltd.

Chairman/Company Secretary/All Trustees

Specimen Signatures of the Authorized Persons.

SN.	Name	Specimen Signature
1.		
2.		
3.		

(The Above signature should be attested by the person signing the resolution for account opening on behalf of the Company / Trust)



OUR OFFERINGS

EQUITIES | DERIVATIVES | DEPOSITORY | CURRENCY | MUTUAL FUNDS | RESEARCH | IPO
NPS | PMS | MERCHANT BANKING | WEALTH MANAGEMENT | INSTITUTIONAL BROKING



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Registered Office

DP OFFICE: 601, Atlantis Tower, Plot No. 13 A,
Scheme NO. 78, Indore 452010 (MP)
+91 (0731) - 4217003
customersupport@arihantcapital.com

Corporate Office

#1011, Solitaire Corporate Park, Building No.10,
1st Floor, Andheri (E), Mumbai - 400093
+91 - (0)22 - 42254800 / 67114800

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

MCX - 56565;
2015 Certified

#HelpingIndiansInvest

