

CLIENT REGISTRATION FORM (KYC)



ULJK Financial Services Pvt. Ltd.

Member : National Stock Exchange of India Ltd. (NSE)
Clearing No. 12819 SEBI Regn. No. : INB 2312819-33 • INF 2312819-33

Office : 703, Stock Exchange Towers, 7th Floor, Dalal Street, Mumbai-400 001.
• Tel.: 2272 1687 / 1688 Telefax: 3028 4712 • Fax : 91-022-2272 1686
• Email: uljk@bom3.vsnl.net.in • Website: www.uljk.in

DIRECT INDIVIDUAL CLIENTS

DIRECT NON INDIVIDUAL CLIENTS


Client Name : _____


Client Code : _____ Group/Family Code : _____

UCC Uploaded : _____ Verified By : _____

I/We, bearing Client Code _____ with you hereby acknowledge the receipt of photocopy of full set of this KYC form & agreement duly signed by the Broker.

Date _____


Sign  _____

 _____

INDEX

| Page No(s). | Particulars of Document Page | Significance of Document | Mandatory/ Voluntary |
|-------------|--|--|----------------------|
| 1 | Document checklist Individual | For general idea of the client and to identify the Status | Mandatory |
| 2 | Document checklist Non-Individual | and Proof of Identity and Proof of Address of Clients | |
| 3 to 5 | KYC Form (Individual) | To provide general information | Mandatory |
| 6 to 9 | KYC Form (Non Individual) | about Client | |
| 10 | Brokerage & Charges Levied | To provide general information of types of charges and brokerage rate | Mandatory |
| 11 to 15 | Broker - Client Agreement (NSE) Part - A | To finalize the terms & conditions and rights and liabilities under Broking Services between Broker and Direct Client | Mandatory |
| 16 to 24 | Combined Risk Disclosure Document along with Annexure -1 | To provide basic information or insight to the client about the risks associated with securities market visà- vis their rights and obligation | Mandatory |
| 24 | Disclosure for Proprietary Trading | To provide information about broker's pro trading | Mandatory |
| 25 to 27 | Information/Policy for general Information for the clients | Provides idea about Broker's RMS Policy, Exposure Limit, Brokerage Rate and other policies, restrictions etc. | Mandatory |
| 28 to 33 | Broker - Client Agreement (NSE) Part - B | To finalize the terms & conditions and rights and liabilities under Broking Services between Broker and Client in addition to Part A as stated above | Voluntary |


Date _____

Sign  _____


INDEX

| Page No(s). | Particulars of Document Page | Significance of Document | Mandatory/ Voluntary |
|-------------|---|--|----------------------|
| 34 to 35 | Voluntary Documents for requests / Instructions for smoother operations of client account | Voluntary document for operational convenience of client account | Voluntary |
| 36 | Voluntary Documents for request to remit fund electronically | Voluntary document for operational convenience of client account | Voluntary |
| 37 | Voluntary Document for Electronic Contract Note | Voluntary Document for Operational Convenience of Client | |
| 38 & 39 | Voluntary Document for Declaration of Proprietary Firm & Mobile No. | Voluntary Document for Operational Convenience of Client Voluntary Document for Operational Knowledge of Client | |
| 40 to 44 | Voluntary Document for Do's Don'ts for Client | | |

Date _____

Sign  _____

INSTRUCTIONS FOR FILLING FORM

- * Please fill in CAPITAL (BLOCK) Letters with BLACK Ink.
- * Please sign in full wherever marked .
- * All documents of proof are required to be self-attested by the client & Sub-brokers signature & stamp.
- * Client /Investor awareness & education is available in hard copy at our office.
- * Our Company policies including 'Prevention of Money Landing' PMLA and insider trading norms are also available online at www.uljk.in kindly read the send.
- * Kindly sign in case of any cancellations / white ink corrections.
- * ULJK FIN. holds discretionary powers for opening of any client & rejection of incomplete forms & documents.

MANDATORY DOCUMENTS CHECKLIST FOR INDIVIDUAL

| Checklist | For Office use only |
|---|---|
| <p>A. Proof of Identity: (Please provide photocopy of any one)</p> <p><input type="checkbox"/> Pan Card (Compulsory) <input type="checkbox"/> Voter ID <input type="checkbox"/> Passport*</p> <p><input type="checkbox"/> Driving Licence*</p> <p>* The Proofs should be Valid for atleast Next 2 Months.</p> | |
| <p>B. Proof of Address:</p> <p>If billing address is different from permanent address, please provide proof for each address.</p> <p><input type="checkbox"/> Passport * <input type="checkbox"/> Driving Licence* <input type="checkbox"/> Ration Card</p> <p><input type="checkbox"/> Voter ID <input type="checkbox"/> Rent Agreement* <input type="checkbox"/> Telephone Bill #</p> <p><input type="checkbox"/> Electricity Bill # <input type="checkbox"/> Bank Passbook # <input type="checkbox"/> Bank Statement #</p> <p>(Mobile bill not allowed)</p> <p>* The Proofs should be valid for at least Next 2 Months.</p> <p># The Proofs should not be more than 2 Months old:</p> | |
| <p>C. Proof of Bank Account:</p> <p><input type="checkbox"/> Cancelled Cheque with client name printed if not than Bank Verification letter in original (cumpulsory) (Please provide photocopy of any one)</p> <p><input type="checkbox"/> Bank Passbook <input type="checkbox"/> Bank Statement <input type="checkbox"/> Bank Verification Letter (Original)</p> | |
| <p>D. Proof of Demat Account:</p> <p>For Existing DP Account Holder</p> <p><input type="checkbox"/> Client master & DP Statement#</p> <p># The name and DP account number should be the same as information filled in the application form. DP statement should clearly show DP-ID and Client ID</p> | |
| <p>E. Financial Documents</p> <p>Latest ITR Copy (to be given every year)</p> | |
| <p>Mandatory Additional Documents for Sole Prop.</p> <p><input type="checkbox"/> Undertaking for Demat Account</p> <p><input type="checkbox"/> Verification from Bank stating that the account is in the name of proprietorship firm and name of proprietor on Bank letterhead.</p> | <p>Mandatory Additional Documents for HUF</p> <p><input type="checkbox"/> Pan card of Karta</p> <p><input type="checkbox"/> Proof of Identity of Karta</p> <p><input type="checkbox"/> Undertaking</p> |

Date _____

Sign  _____

MANDATORY DOCUMENTS CHECKLIST FOR NON-INDIVIDUAL

| Checklist | For Office use only |
|--|---|
| <p>A. Proof of Identity:</p> <p><input type="checkbox"/> Pan Card (Compulsory)</p> | |
| <p>B. Proof of Address: (Please provide photocopy of anyone)</p> <p>If billing address is different from permanent address, please provide proof for each address.</p> <p><input type="checkbox"/> Rent Agreement* <input type="checkbox"/> Telephone Bill #</p> <p><input type="checkbox"/> Electricity Bill # <input type="checkbox"/> Bank Statement #</p> <p>(Mobile bill not allowed)</p> <p>* The Proofs should be valid for at least Next 2 Months.</p> <p># The Proofs should not be more than 2 Months old</p> | |
| <p>C. Proof of Bank Account:</p> <p><input type="checkbox"/> Cancelled Cheque with client name printed if not than Bank Verification letter in original (compulsory) (Please provide photocopy of any one)</p> <p><input type="checkbox"/> Bank Passbook <input type="checkbox"/> Bank Statement</p> <p><input type="checkbox"/> Bank Verification Letter (Original)</p> | |
| <p>D. Proof of Demat Account:</p> <p>For Existing DP Account Holder</p> <p><input type="checkbox"/> Client master & DP Statement#</p> <p># The name and DP account number should be the same as information filled in the application form. DP statement should clearly show DP-ID and Client ID</p> | |
| <p>Mandatory Additional Documents for Corporate</p> | <p>Mandatory Additional Documents for Partnership / Trust</p> |
| <p><input type="checkbox"/> Pan Card of Directors</p> <p><input type="checkbox"/> Address Proof of Directors</p> <p><input type="checkbox"/> Board Resolution</p> <p><input type="checkbox"/> MOA & AOA</p> <p><input type="checkbox"/> Balance Sheet of last 2 years (updated every year)</p> <p><input type="checkbox"/> Copy of Latest shareholding pattern</p> | <p><input type="checkbox"/> Pan Card of Partners / Trustees</p> <p><input type="checkbox"/> Address Proof of Partners / Trustees</p> <p><input type="checkbox"/> Partnership / Trust Deed</p> <p><input type="checkbox"/> Letter of Authority</p> <p><input type="checkbox"/> Balance Sheet of last 2 years</p> |

Verified by _____

Sign _____



CLIENT TYPE

CLIENT REGISTRATION FORM FOR INDIVIDUAL

(This information is the sole propriety of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except with the of express permission of clients)

PHOTOGRAPH
Please sign on
the photograph

Account: Individual HUF Sole Proprietor
Residential Status: Resident Indian NRI Others

CONTACT DETAILS



| | | | |
|--|--|-------------------------|--|
| Name of the Client: | | | |
| | (Last Name) | (First Name) | (Middle Name) |
| Name as per Pan Card : | | | |
| Trade Name : (in case of Sole Proprietor) | | | |
| Father's Name : | | | |
| Date of Birth : | DD / MM / YYYY | Age : | Sex : <input type="checkbox"/> Male <input type="checkbox"/> Female |
| Nationality : | | Marital Status : | <input type="checkbox"/> Married <input type="checkbox"/> Unmarried |
| Education : | <input type="checkbox"/> Undergraduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Other _____ | | |
| Residence Address : | | | |
| | | | |
| | City : | Pin code : | |
| | State : | Country : | |
| Telephone No. : | STD | Fax Number : | |
| Mobile No. : | | SMS Facility : | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Email : | | | |



CONTACT DETAILS CONTINUE

| | | | | | | | | | |
|---|--|---|--|---------------------------|---|---|------|--|--|
| CONTACT DETAILS CONTINUE | | | | | | | | | |
| Name of the Employer /Establishment : | | | | | | | | | |
| Office Address : | | | | | | | | | |
| | | City : | | | Pin code : | | | | |
| | | State : | | | Country : | | | | |
| Telephone No. : | | STD | | Fax Number : | | | | | |
| Email : | | | | | | | | | |
| Designation : | | Period of Service/Business : | | | Yrs | | Mths | | |
| UIN (MAPIN ID) : | | | | | | | | | |
| Pan No. : | | | | | | | | | |
| Occupation: | | <input type="checkbox"/> Self Employed <input type="checkbox"/> Employed <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Other (Specify) _____ | | | | | | | |
| INCOME DETAILS (To be provided every Financial Year) | | | | | | | | | |
| Income Range per annum | | <input type="checkbox"/> Up to Rs. 1 lakh <input type="checkbox"/> Rs. 1 to 5 Lakh <input type="checkbox"/> Rs. 5-10 Lakh <input type="checkbox"/> Rs. 10-25 Lakh <input type="checkbox"/> > Rs. 25 Lakh | | | | | | | |
| Investment Experience | | ____ Years in Stocks | | ____ Years in Derivatives | | ____ Years in other Investment related fields | | | |
| BANK DETAILS (PLEASE TICK TO SET DEFAULT) | | | | | | | | | |
| Bank Name : | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | | |
| Branch & Address : | | | | | | | | | |
| A/c No. : | | | | | | | | | |
| A/c. Type : | | | | | | | | | |
| IFSC Code : | | | | | | | | | |
| MICR No. : | | | | | | | | | |
| DEMAT DETAILS (PLEASE TICK TO SET DEFAULT) | | | | | | | | | |
| DP Name : | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | | |
| DP Address : | | | | | | | | | |
| DPType : | | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL | | | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL | | | | |
| Client ID : | | | | | | | | | |
| DP ID : | | | | | | | | | |



| OTHER BROKER | | | |
|--|-------------------------------|--|---|
| Whether registered with any Broker - Member: If registered with multiple members, provide details for all <input type="checkbox"/> Yes <input type="checkbox"/> No | | | |
| If Yes, Broker's Name : | | CI Code : | |
| Name of the Exchange | | SEBI Regn. No. : | |
| TRADING PREFERENCE | | | |
| Name of Exchange : | | Sign |  |
| Bombay Stock Exchange Ltd. | | Yes/ No | |
| • Capital Market Segment | | | |
| • Futures & Options Market | | | |
| ACTION TAKEN | | | |
| Details of any action taken by SEBI / Stock Exchange/any other authority for violation of securities laws/other economic offences Yes <input type="checkbox"/> No <input type="checkbox"/> | | | |
| If yes Provide Annexure | | | |
| INTRODUCTION DETAILS | | | |
| Name of the Introducer : | | | |
| | (Surname) | (First Name) | (Middle Name) |
| Address of the Introducer : | | | |
| | | | |
| | | | |
| | (Signature of the Introducer) | | |
| IN PERSON VERIFICATION | | | |
| Name and designation of the employee who interviewed the client : | | (Signature of the Employee) | |
| (Name) : | | | |
| (Designation) : | Date : | | |
| DECLARATION | | | |
| I hereby confirm that the above information is true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein immediately. If admitted to dealings, I shall honour all our commitments of payments / deliveries as per the stipulated time frame as required. I shall NOT act as a sub broker unless specifically registered and approved for the same with SEBI. I undertake to inform you of any changes to the above information immediately. In case any of the above information is found to be false, untrue, misleading or misrepresenting I am aware that I may be held liable for it. | | | |
| Place : | |  Signature : | |
| Date : | | | |
| In case of HUF or Sole Proprietor please affix with relevant seal | | | |

CLIENT TYPE

CLIENT REGISTRATION FORM FOR NON INDIVIDUAL

(This information is the sole propriety of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except with the of express permission of clients)

Account: Partnership Bank
 Body Corporate Trust

CONTACT DETAILS

| | | | |
|-------------------------|----------------|-----------------------|--|
| Trade Name : | | | |
| Name as per Pan Card: | | | |
| UIN Number : | | | |
| Date of Incorporation : | DD / MM / YYYY | Date of Commencement: | DD / MM / YYYY |
| Registered Address : | | | |
| | | | |
| | | | |
| | City : | Pin code : | |
| | State : | Country : | |
| Telephone No. : | STD | Fax Number : | |
| Mobile No. : | | SMS Facility : | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Email : | | | |
| | | | |

| | | | | | | | | | | |
|---|--|---|-------------------|-------------------------------------|---|---|--|--|--|--|
| Nature of Business : | | | | | | | | | | |
| Pan No. : | | | | | | | | | | |
| Correspondence Address : | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| City : | | | Pin code : | | | | | | | |
| State : | | | Country : | | | | | | | |
| Telephone No. : | | STD | | | | Fax Number : | | | | |
| Email Id : | | | | | | | | | | |
| INCOME DETAILS (To be provided every Financial Year) | | | | | | | | | | |
| Income Range per annum | | <input type="checkbox"/> Up to Rs. 1 lakh <input type="checkbox"/> Rs. 1 to 5 Lakh <input type="checkbox"/> Rs. 5-10 Lakh <input type="checkbox"/> Rs. 10-25 Lakh <input type="checkbox"/> > Rs. 25 Lakh | | | | | | | | |
| Investment Experience | | ____ Years in Stocks | | ____ Years in Derivatives | | ____ Years in other Investment related fields | | | | |
| BANK DETAILS (please tick to set default) | | | | | | | | | | |
| Bank Name : | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | | | |
| Branch & Address : | | | | | | | | | | |
| A/c No. : | | | | | | | | | | |
| A/c. Type : | | | | | | | | | | |
| IFSC Code : | | | | | | | | | | |
| MICR No. : | | | | | | | | | | |
| DEMAT DETAILS (please tick to set default) | | | | | | | | | | |
| DP Name : | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | | | |
| DP Address : | | | | | | | | | | |
| DPTypе. : | | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL | | | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL | | | | | |
| Client ID : | | | | | | | | | | |
| DP ID : | | | | | | | | | | |



DETAILS PARTNERS/KARTA/PROMOTERS/WHOLE TIME DIRECTORS/AUTHORIZED PERSONS

| | Partners/Karta/Promoters/ Whole time Directors / Authorized Persons | Partners/Karta/Promoters/ Whole time Directors / Authorized Persons | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--------------------------|---|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| | Please sign on photographs | Please sign on photographs | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Name : | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Designation : | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pan No. : | <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> | | | | | | | | | | | | | | | | | | | | | <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> | | | | | | | | | | | | | | | | | | | | |
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| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Residential Address : | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Telephone No. : | STD | STD | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mobile No. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sign | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Please sign on photographs | Please sign on photographs | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Name : | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Designation : | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pan No. : | <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> | | | | | | | | | | | | | | | | | | | | | <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> | | | | | | | | | | | | | | | | | | | | |
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| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Residential Address : | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Telephone No. : | STD | STD | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mobile No. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sign | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |



| OTHER BROKER | | |
|--|-------------------------------|-----------------------------|
| Whether registered with any Broker - Member: If registered with multiple members, provide details for all <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| If Yes, Broker's Name : | CI Code : | |
| Name of the Exchange | SEBI Regn. No. : | |
| TRADING PREFERENCE | | |
| Name of Exchange : | Yes/ No | Sign |
| National Stock Exchange of India Ltd. | | |
| • Capital Market Segment | | |
| • Futures & Options Market | | |
| ACTION TAKEN | | |
| Details of any action taken by SEBI / Stock Exchange/any other authority for violation of securities laws/other economic offences Yes <input type="checkbox"/> No <input type="checkbox"/> | | |
| If yes Provide Annexure | | |
| INTRODUCTION DETAILS | | |
| Name of the Introducer : | | |
| | (Surname) | (First Name) |
| | | (Middle Name) |
| Address of the Introducer : | | |
| | | |
| | | |
| | (Signature of the Introducer) | |
| IN PERSON VERIFICATION | | |
| Name and designation of the employee who interviewed the client : | | |
| (Name) : | | (Signature of the Employee) |
| (Designation) : | Date : | |
| DECLARATION | | |
| I hereby confirm that the above information is true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein immediately. If admitted to dealings, I shall honour all our commitments of payments / deliveries as per the stipulated time frame as required. I shall NOT act as a sub broker unless specifically registered and approved for the same with SEBI. I undertake to inform you of any changes to the above information immediately. In case any of the above information is found to be false, untrue, misleading or misrepresenting I am aware that I may be held liable for it. | | |
| Place : | | Signature : |
| Date : | | |
| Please affix with relevant seal | | |



Mandatory

BROKERAGES & CHARGES LEVIED

This page should be filled by Sub-broker / Authorised Person / Branch Manager/Back Office

Cash Segment

| Brokerage Slab | Slab % | Minimum | Other Side |
|-----------------|--------|---------|----------------|
| Delivery based | | | Not applicable |
| Daily square up | | | |

| | | | |
|---------------------|------------------------------|-----------------------------|-----------------------------|
| Service Tax | Yes <input type="checkbox"/> | No <input type="checkbox"/> | |
| Stamp Duty | Yes <input type="checkbox"/> | No <input type="checkbox"/> | |
| Transaction Charges | Yes <input type="checkbox"/> | No <input type="checkbox"/> | With applicable Service Tax |
| SEBI Fees | Yes <input type="checkbox"/> | No <input type="checkbox"/> | |
| Demat Charges | Yes <input type="checkbox"/> | No <input type="checkbox"/> | With applicable Service Tax |
| Auction Commission | Yes <input type="checkbox"/> | No <input type="checkbox"/> | With applicable Service Tax |

Derivatives Segment

| Brokerage Slab | Futures % | Options % | Minimum | Other Side |
|----------------------|-----------|-----------|---------|------------|
| Daily square up | | | | |
| Settlement Square up | | | | |

| | | | |
|-------------------------|------------------------------|-----------------------------|-----------------------------|
| Service Tax | Yes <input type="checkbox"/> | No <input type="checkbox"/> | |
| Stamp Duty | Yes <input type="checkbox"/> | No <input type="checkbox"/> | |
| Transaction Charges | Yes <input type="checkbox"/> | No <input type="checkbox"/> | With applicable Service Tax |
| SEBI Fees | Yes <input type="checkbox"/> | No <input type="checkbox"/> | |
| Clearing Member Charges | Yes <input type="checkbox"/> | No <input type="checkbox"/> | With applicable Service Tax |

In addition to above any other charges may be forwarded to the client as and when applicable.

For Office use only

Brokerage slab code: _____

Verified by
Name: _____

Verified by
Signature: _____



AGREEMENT BETWEEN STOCK BROKER & CLIENT

NSE

This agreement is entered with and executed at _____ this _____ day of _____ 20 ____
between:



M/s. ULJK Financial Services Pvt. Ltd. a body corporate, registered / incorporated under the Companies Act, 1956, being a member of the National Stock Exchange of India Ltd. (hereinafter called "the Exchange"), and having its registered office at 703, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001. (hereinafter called "the stockbroker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part:

AND

M/s./Mr./Mrs. _____ an individual/a body corporate,
registered/incorporated under the Companies Act, 1956, / firm registered under Indian Partnership Act having its registered office at _____
_____ (hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and Include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives lits successors, as the case may be, of the Other Part.



WHEREAS

The Stock broker is registered as the stock broker of the Exchange with SEBI registration number INB 231281933 in the Capital Market Cash Segment & INF 231281933 in Futures & Options segment.

Whereas the client is desirous of Investing / trading in those securities/contracts /other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder from time to time.

Whereas the client has satisfied itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker. Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided: and client aware of the precise nature of the Stock Broker liability conducted, including any limitations, the liability & the capacity in which the Stock Broker Acts.

WHEREAS the stock broker and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

For ULJK Financial Services Pvt. Ltd.



Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

PART OF THE AGREEMENT - MANDATORY CLAUSES

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the client registration form' provided by the client to the stock broker at the time of opening of the account or at anytime thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
 - a. He has read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his investment decisions and trades.
 - c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
 - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/ Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
3. The Client agrees to pay to the stock broker brokerage and statutory levies. as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye -laws of the relevant stock exchange/SEBI.
4. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
5. Without prejudice to the stock brokers other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the clients liabilities/ obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

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6. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/ Regulations/Byelaws and circulars.
7. The client agrees to immediately furnish information to the stock broker 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.
8. The stock broker agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange.
time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange.
9. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.
10. The stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/ to be received by the client.
11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
12. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom it may have had transactions in securities.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate

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entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).

16. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
17. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
22. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case maybe.
23. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.
25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.


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26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information requirements Provided however that the stock broker may so disclose information about its/his client to any person or authority with the express permission of the client.

This agreement can be altered amended and/or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligation of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

| | CLIENT | STOCK BROKER'S |
|-----------------------|--|---|
| Name / Trade Name | | M/s. ULJK FINANCIAL SERVICES PVT. LTD. |
| Title / Designation | | Director / Authorised Signatory |
| Signature |  _____ | |
| Company Stamp / Seal | | |
| Witness (1) Signature | | |
| Witness (1) Name | | |
| Witness (1) Address | | |
| Witness (2) Signature | | |
| Witness (2) Name | | |
| Witness (2) Address | | |

For ULJK Financial Services Pvt. Ltd.

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Mandatory

COMBINED RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET/CASH SEGMENT AND DERIVATIVES SEGMENT (TO BE GIVEN BY THE BROKER TO THE CLIENT)

This document is issued by the member of the The National Stock Exchange of India Ltd. (herein after referred to as NSE) which has been formulated by the Exchange in coordination with the Securities and Exchange Board of India (hereinafter referred to as 'SEBI') and contains important information on trading in Equities and F&O Segments of NSE. All prospective constituents should read this document before trading on Capital Market/Cash Segment or F&O segment of the Exchanges.

NSE/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy does not disclose all the risks and other significant aspects of trading.

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

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

It must be clearly understood by you that your dealings on NSE through a member shall be subject to your fulfilling certain formalities set out by the member, which may interalia include your filling the know your client form, client registration form, execution of an agreement, etc., and are subject to the Rules, Byelaws and Regulations of NSE and its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE or its Clearing Corporation/ Clearing House and in force from time to time.

NSE does not provide of purport to provide any advice and shall not be liable to any advice and shall not be liable to any person who enters into any business relationship with any trading member and/or sub-broker of NSE and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks



Mandatory

involved in such trading. If you are unsure, you must seek professional advice on the same.

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

1. BASIC RISKS INVOLVED IN TRADING ON THE STOCK EXCHANGE (EQUITY AND OTHER INSTRUMENTS)

1.1 Risk of Higher Volatility :

Volatility refers to the dynamic changes in price that securities undergo when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security/contract, greater is its price swings. There may be normally greater volatility in thinly traded securities /contracts than in active securities /contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

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

1.2.1 Buying/selling without intention of giving and/or taking delivery of a security, as part of a day trading strategy, may also result into losses, because in such a situation, stocks may have to be sold/purchased at a low/high prices, compared to the expected price levels, so as not to have any obligation to deliver/receive a security.

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:



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Most Exchanges have a facility for investors to place 'limit orders', "stop loss orders" etc.'. The placing of such orders (e.g., 'stop loss' orders, or 'limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it possible to execute such orders.

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

1.5 Risk of Announcements :

Issue make news announcements that may impact the price of the securities /contracts. These announcements may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumours:

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

1.7 System Risk:

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

- 1.7.1 During periods of volatility, on account of market participants continuously modifying their order



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quantity or prices or placing fresh orders, there may be lags in order execution and its confirmations.

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

1.8 System/Network Congestion:

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

2. As far as Futures and Options segment is concerned, please note and get yourself acquainted with the following additional features:

2.1 Effect of “Leverage” or “Gearing”

The amount of margin is small relative to the value of the derivatives contract so the transactions are ‘leveraged’ or ‘geared’. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives trading and also trade with caution while taking into account one’s circumstances, financial resources, etc. If the prices move against you, you lose a part of or whole margin equivalent to the principal investment amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

- A. Futures trading involves daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index. If the index has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading next day.
- B. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs



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in your account, the broker/member may liquidate a part of or: whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

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

2.2 Risk of Option holders

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

2.3 Risks of Option Writers

- 1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
- 2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
- 3. Transactions that involve buying and writing multiple options In combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing,

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a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. GENERAL

3.1 Commission and other charges

Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

3.2 Deposited cash and property

You should familiarise yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which has been specifically identifiable as your own will be prorated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the member, the same shall be subject to arbitration as per the byelaws/regulations of the Exchange.

3.3 For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.

3.4 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of securities through the mechanism provided by NSE.

3.5 The term members shall mean and include a trading member, a broker or a stock broker, who has been admitted as such by NSE and who holds a registration certificate as a stock broker from SEBI.

I /We hereby acknowledge that I /We have received and understood this risk disclosure statement and Annexure-1 containing my /our rights and obligations.

Client Signature  _____

Date: _____

Mandatory

ANNEXURE-1 INVESTORS' RIGHTS AND OBLIGATIONS:

- 1.1 You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the stock market or the trading firm's insolvency or bankruptcy.
 - 1.1.1 Please ensure that you have a documentary proof of your having made deposit of such money or property with the member stating towards which account such money or property deposited.
 - 1.1.2 Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE and the scheme of the Investors' Protection Fund in force from time to time.
 - 1.1.3 Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules. Byelaws/Regulations of NSE or its Clearing Corporation / Clearing House.
- 1.2 Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.
- 1.3 You should exercise due diligence and comply with the following requirements of the NSE and/or SEBI.
 - 1.3.1 Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE and whether they are enabled to trade may be verified from NSE website (www.nseindia.com).
 - 1.3.2 Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.
 - 1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client form, which may also include details of PAN or Passport or Driving Licence or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by SEBI/BSE at anytime, as is available with the investor.
 - 1.3.4 Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE or its Clearing Corporation / Clearing House from time to time, because this may be useful as a proof of your dealing arrangements with the member.
 - 1.3.5 Give any order for buy or sell of a security in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.
 - 1.3.6 Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order no., trade number, trade time, trade price, trade quantity, name of security, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/sent by the member to the



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investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE without delaying.

- 1.3.7 Facility of Trade Verification is available on NSE website (www.nseindia.com). where details of trade as mentioned in the contract note may be verified from the trade date upto five trading days. Where trade details on the website, do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of NSE.
- 1.3.8 Ensure that payment/delivery of securities against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE or its Clearing Corporation / Clearing House. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member. Delivery of securities is made to the pool account of the member rather than to the beneficiary account of the member.
- 1.3.9 In case pay-out of money and/or securities is not received on the next working day after date of pay-out announced by NSE or its Clearing Corporation / Clearing House, please follow-up with the concerned member for its release. In case pay-out is not released as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE.
- 1.3.10 Every member is required to send a complete 'Statement of Accounts', for both funds and securities settlement to each of its constituents, at such periodicity as may be prescribed by time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE, without delaying.
- 1.3.11 Case of a complaint against a member/registered sub-broker, you should address the complaint to the Office as may be specified by NSE from time to time.
- 1.4 In case where a member surrenders his membership, NSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE, ensure that you lodge a claim with NSE/NSCCL/ Clearing House within the stipulated period and with the supporting documents.
- 1.5 In case where a member is expelled from trading membership or declared a defaulter, NSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE, ensure that you lodge a claim with NSE within the stipulated period and with the supporting documents.
- 1.6 On the trading system of NSE, ensure that you lodge a claim with NSE within the stipulated period and with the supporting documents.
- 1.7 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant




Mandatory

Rules/Bye -laws and the scheme under the Investors' Protection Fund (IPF) may be payable first out of the amount vested in the Committee for Settlement of Claims against Defaulters, on pro-rata basis II the amount is inadequate. The balance amount of claims, if any, to a maximum amount of Rs.10 lakhs per investor claim, per defaulter/expelled member may be payable subject to such claims being found payable under the scheme of the IPF.

Notes:

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with 3 trading member of NSE for the purpose of acquiring and / or selling of securities through the mechanism provided by NSE.
2. The term 'member' shall mean and include a member or a broker or a stock broker, who has been admitted as such by NSE and who holds a registration certificate as a stock broker from NSE.
3. NSE may be substituted with names of the relevant exchanges, wherever applicable.

Client Signature  _____

Date: _____

DISCLOURE REGARDING PROPRIETARY TRADING

In pursuance to SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated 19.11.2003 ULJK FINANCIAL SERVICES PVT. LTD. hereby informs its client that it is doing proprietary trading for itself in the Cash segment and Derivatives segment of both the exchanges i.e. NSE. Such positions may carry the same risks as client positions.

Kindly note the same and acknowledge the receipt.

I/We _____ self/Karta/
Proprietor of _____ having client
code _____ with ULJK FINANCIAL SERVICES PVT. LTD. acknowledge the receipt
of the above.

Client Signature  _____

Date: _____



Mandatory

This is a mandatory /compulsory document from Broker and requires your utmost care, attention and understanding. This is an additional requirement from Broker which if contravenes any rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges, shall be null and void. [Refer SEBI Circular No. MIRSD / SE/Cir-19/2009 dated 03.12.2009]

Dealing in Penny Stocks: Generally, the Broker warns clients to transact into any penny stocks as trading in such scrips is very risky. Further, the client is also required to adhere to exchange/members' guidelines and due diligence while trading in such scrips. As such, we the broker, do hereby warn the client not to deal in any penny stocks. However, we at our sole discretion, may allow or disallow the clients (on case to case basis) to deal in penny stocks, subject to rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances at related point of time.

Client's Exposure Limit: The client's combined limit for Capital and Derivatives market, is fixed as 'per the Ledger balance in line with respective client's trade history/experience, if available, his financial capacity and/or credit worthiness and referrals. Further, Client's Ledger Credit balance, Securities hold in Beneficiary Account, POA stock as well as margin amount etc. is also being considered. The limit can be increased / decreased based on credit balance of funds / securities along with other criteria at Broker's sole discretion.

Brokerage Rate: The Broker discloses that it shall charge a brokerage at the rate being agreed by the client with Broker (including its branches or sub-brokers) depending upon market circumstances or as may be prescribed in KYC document / Back office Software. However, the Broker shall adhere to the maximum permissible limit (presently not to exceed 2.5 %) as may be prescribed by SEBI / Exchanges from time to time. On option segment of Exchange, it is hereby disclosed that brokerage shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

Penalty/Delayed payment Charges by either party: The Client discloses that he/she/it is aware and agrees that pay-in of Securities or Funds are required to be delivered / made to Broker on T + 2 day. In case of any default or if any amount is overdue from Client over such period as may be allowed by you, penalty / delayed payment charges @ 18 % p. a. (depending upon prevalent market rate) may be charged. However, this facility shall not be construed / resulted into permanent practice leading to funding by broker to client in contravention of applicable laws.

Sell of Securities or Closing Open Position: The Client also agree and confirm that in case of any delay (beyond permissible time limit as per SEBI's or Exchange's rules, regulations, bye law / circulars and other applicable laws/ provisions) or in-ordinate delay in making the payment or clearance of or meeting up of any obligations, dues, debit balances, margin, MTOM debit balance etc. by client, then client's open positions might be squared-off, credit balances of securities or securities lying with Broker might be sold off, credit balance of funds might be adjusted against client's obligation, debit balances or liabilities WITHOUT ANY NOTICE from Broker as per prevalent RMS policy from time to time.



Mandatory

Shortages in Obligation and Internal Auction: Clients are required to make Securities / Funds pay in on T+2 day. In case of default in security pay-in by the client and the shortage is at member level i.e. internal shortage, then the benefit calculated at 2 to 5 % on the next day's Current Market Rate or Standard Rate of the day of sale whichever higher after pay-out day shall be recovered from the defaulting client and passed on to the respective beneficiary client.

In case of the default of securities pay-in by the client and the shortage is from the exchange, auction value of the respective exchange plus penalty (decided by the member from time to time) plus brokerage and other statutory charges shall be recovered from the defaulting client.

In the case of funds default by the client, the member shall be liquidating the stocks to recover the money. Any shortfall arising out of liquidating securities by the members shall also be recovered from the defaulting client along with interest (decided by the member from time to time).

Restrictions/Prohibition to take further position or closing existing position: Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of Outstanding / debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Even, broker can firstly setoff or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to 'take further / fresh position.

Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements etc. from client side, broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client as per RMS policy. Such Circumstances may include (but not limited to):

- a) failure to meet pay-in obligation on T+2 day,
- b) delay in meeting the pay-in or margin requirement,
- c) delay or failure in clearance of outstanding or dues to the broker,
- d) returning or frequent returning of cheques of the client,
- e) Unnecessary / Unwarranted dispute from client without any substantial cause / reason,
- f) Client's attitude of not coming to an amicable settlement for any dispute that can be settled without involvement of Exchange and / or SEBI,
- g) As per prevalent RMS policy of the Broker,
- h) Any direction from SEBI/Exchange or such other authorities,
- i) Under such other circumstances as the Broker might think just and proper on case to case basis.

Mandatory

Suspension / Deregistering of Client Account: The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in following circumstances:

1. As per Client's prior written request of at least 2 days submitted to Broker at its Mumbai R.O. duly acknowledged by Broker (subject to clearance of entire outstanding/obligations)
2. Dormant or in-active status of client account beyond specified time limit as may be prescribed by Broker.
3. Under any circumstances mentioned in (a) to (i) above.

Policy for Dormant / In-active account:

As per Broker's RMS policy, the account in which no transactions has took place during the period of 6 months from the date of last transaction, the same shall be considered as Dormant / In-active account. Such transaction date may relate to any of the following date, whichever is later:

- a) Entry related to contract or bill generation for buy/sell transaction or
- b) Entry related to payment of funds or securities by client or
- c) Entry passed by the broker by way of JV due to any dues / obligation recoverable from client including but not limited to auction charges, any penalty amount whether or not imposed by Exchange or SEBI or other authorities etc.

To designate the client's account as Dormant / In-active account, the period of 6 months shall be counted from the last day of respective month in which any of the aforesaid last transaction took place. In case Broker treats the account of client as a dormant / in-active account, the funds or securities lying with the broker shall be refunded / returned to clients immediately on demand by the client.

In order to reactive the account, client needs to instruct the Broker in writing at least 2 days in advance at its Mumbai R.O. The Broker will try to promptly reactivate the said account subject to fulfillment of such conditions as Broker may consider fit and proper. Such written request DULY SIGNED BY CLIENT may also be sent by way of Fax on 022-2272 1686 to Mr. Nilesh Mavani (Compliance officer) or by e-mail on grievances@uljk.in. from client's own e-mail account registered with Broker. However, Broker may, in its own discretion, waive / reduce the period of 2 days as the circumstances may warrant on case to case basis.

Client Signature  _____

Date: _____

Client Code: _____

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PART B OF THE AGREEMENT - VOLUNTARY CLAUSES

1. The Client shall not, acting alone or in concert with others, directly or indirectly exceed the limits of open interests as specified by the Stock Exchange(s) from time to time.
2. All monies, securities or any other collateral, which the Stock Broker may hold on Client's account, shall be held subject to a general lien for the discharge of Client's obligations to the Stock Broker.
3. The Client hereby agrees to make all margin payments as demanded by the Stock Broker in the form of cash or securities in the proportion as defined by the Stock Broker or Exchange from time to time without prior notice thereof. In case where payment is received by way of cheque, the Stock Broker would have the discretion to execute the orders only upon the realization of the funds of the said cheque.
4. The Client also authorizes the Stock Broker to withhold transfer of shares or payout of funds to his account in case he/it fails to furnish margin cheques as demanded by the Stock Broker and hold the same towards margin requirements. The Stock Broker shall execute the above orders or any fresh order only after the fulfillment of the margin obligations.
5.
 - a. The Stock Broker 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 Stock Broker's requirement of payment of Margin in the form of cash immediately failing which the Stock Broker may sell, dispose, or transfer the securities already placed with it as Margin or square off / .liquidate all or some of the outstanding 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! liquidation/ sale shall be borne by the Client, and the Stock Broker is hereby fully indemnified and held harmless by the Client in this behalf.
 - b. The Stock Broker, in its absolute discretion, would decide the eligible securities, which could be deposited by the Client for meeting current or future margin obligations. Also, the Stock Broker would be free to continuously review the eligibility of securities already deposited by the Client. The Client agrees and authorises the Stock Broker to determine the market value of securities placed as Margin after applying a haircut that the Stock Broker deems appropriate. The Client's positions and securities placed as margin are valued at the latest market price available ('marked to market') on a continuous basis by the Stock Broker. The Client undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If 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 Stock Broker intimates such shortfall. If any security is not found to be of Good Delivery at any time after its deposit with the Stock Broker, the Stock Broker is entitled to reduce the amount attributable to such security in the Client account and the Client shall immediately replace the same, failing which the

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Stock Broker is entitled to revise the limits of the Client and/or square-off any outstanding position. Notwithstanding anything mentioned anywhere else in this agreement, the Client agrees that any securities placed/pledged by him/her/ it as Margin may be used by the Stock Broker in which ever way to discharge the Client's obligation towards the Stock Broker, whether on account of margin, settlement obligation or any other account.

6. a. If payment/securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the Client's account, all or some of the positions of the Client as well as the securities placed as Margin may be liquidated by the Stock Broker at its sale discretion, without any reference or prior notice to the Client. The resultant or associated losses that may occur due to such squaring off or sale of securities shall be borne by the Client, and the Stock Broker is hereby fully indemnified and held harmless by the Client in this behalf. Such liquidation or close out of positions shall apply to any segment in which the Client does business with the Stock Broker. In case the Client does not provide the required collateral/margin within the time frame specified by the Stock Broker, the Stock Broker shall have the right to:
 - i. Appropriate and/or transfer cash and/or sell all or any securities and collateral in the Client account;
 - ii. Prevent any new orders from being placed and/or executed by the Client.
 - b. Any reference in these terms to sale or transfer of securities by the Stock Broker shall be deemed to include sale of the securities, which form part of the Margin, maintained by the Client with the Stock Broker. In exercise of the Stock Broker's right to sell securities under the Agreement, the Client agrees that the choice of specific securities to be sold shall be solely at the Stock Broker's discretion.
7. The manner in which any collateral/margin shall be secured in favour of the Stock Broker shall vary from time to time. In case collateral/ margin is in the form of approved securities, the same shall be secured in favour of the Stock Broker in either or / both of the following manner:
 - a. The Client shall transfer his shares into the designated demat account of Stock Broker as Collateral towards his margin requirement. Such designated demat will be solely determined by the Stock Broker from time to time and/ or
 - b. (i) The Client shall create an irrevocable pledge over the securities that it proposes to secure in favour of the Stock broker as collateral/margin, by issuing appropriate pledge instructions to the Designated Depository Participant in the manner prescribed by the relevant Depository from time to time.
 - (ii) The pledge created shall be a continuing security and may be invoked by the Stock Broker in the event of shortfall in collateral/ margin/obligation in client account or associated client accounts.

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- (iii) All costs, charges and expenses incidental to or otherwise in relation to the creation, closure and/or invocation of a pledge shall be borne by the Client.
8. As regards Clause 5 of the Mandatory clauses set out in Part A of this agreement, the client agrees that it shall be at the sole discretion of the stock broker to determine which securities are to be sold or appropriated, which account is to be debited or which outstanding positions are to be closed / liquidated.
9. a. Auction in case of Purchases/Sales If one or more securities are purchased by the client and if any quantity either partially or fully is received short from the Exchange, the same shall be subject to the auction mechanism as defined by the Stock Exchange from time to time. Similarly if the client sells any security and fails to deliver the same either fully or partially for settlement then the same is also subject to the auction mechanism of the Exchange as defined by the Exchange from time to time. The loss, if any, on account of the auction initiated by the Exchange shall be entirely borne by the client.
- b. Close out in case of Purchases/Sales The client understands that in an event where the shares purchased/sold are not received either partially or fully in the auction mechanism as mentioned in clause 9(a.), such short quantity will be subject to the close out procedure as defined by the Stock Exchanges from time to time.
- c. Buying out in case of Internal Shortages If a Client fails to delivery anyone or more securities to the pool account of the Stock Broker in respect of the securities sold by him which turns out to be an internal position, before the pay-in date notified by the Exchange from time to time, such undischarged obligation in relation to delivering anyone or more securities shall be purchased on his behalf by the member. However, in case for any reason, whatsoever the member is unable to buy such quantity the outstanding obligation of the client shall be subject to close out procedures as defined by the Exchange from time to time. The loss, if any, on account of the close out shall be to the account of the Client.
10. The Client agrees to pay the Stock Broker brokerage, commission, fees, Account opening / maintenance charges, statutory levies, service tax, and other taxes and trade/transaction expenses including inter alia depository charges, settlement charges etc. as they exist from time to time. The Client authorises the Stock Broker to set off a part or whole of the collateral/ ledger balances Le. by way of appropriation of the relevant amount of cash or by sale or transfer of all or some of the securities or invoke the pledged shares, placed as margin / collateral with the Stock Broker, and / or any credit in any account of the Client in any of the segment of the Stock Exchange, against the outstanding dues in the account of the Client under this agreement and/or in any of the segment of the Stock Exchange. The adjustment so done shall be by way of passing a journal voucher.
11. The cancellation or modification of an order pursuant to the Client's request is not guaranteed. The order will be cancelled or modified only if the Client's request for cancellation or modification is duly received before the original order is executed.

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12. The Stock Broker shall send the trade confirmation to the Client, in form of contract note or otherwise via mail, e-mail, fax, courier, Registered A.D., oral communication or otherwise at the postal address, telephone / fax nos, e-mail address intimated by the Client to the Stock Broker. The Client understands that it is his/her/its responsibility to review the trade confirmations, the contract notes, the bills or statements of account immediately upon their receipt. All information contained therein shall be binding upon the Client, if the Client does not object in writing to any of the contents within specific period of time as per the by laws & regulation of respective exchanges. In all cases, the Stock Broker reserves the right to determine the validity of the Client's objection to the transaction. The Client agrees that the Stock Broker will not be responsible for the non-receipt of the trade confirmation due to any change in the correspondence address of the Client not intimated to the Stock Broker in writing.
13. The Client is aware that the Stock Broker may tape-record the conversations between the Client's representative and the Stock Broker, either personally or over the telephone, and hereby specifically permits the Stock Broker to do so. Such recordings may be relied upon by the Stock Broker as and when required to resolve disputes in connection with the trading transactions.
14. The Client agrees that he will not act as a Sub-Broker without prior written permission of the Stock Broker and without obtaining certificate of registration from Securities and Exchange Board of India (SEBI) to act as a sub-broker
15. The Client shall indemnify and keep indemnified the Stock Broker harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges and / or expenses that are occasioned or may be occasioned to the Stock Broker directly or indirectly, owing to bad delivery of shares / securities and or as a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealings / operations on the Exchange(s).

The Client confirms having read and understood the terms and conditions of this agreement and those relating to various services and products and accepts and agrees to be bound by the terms and conditions including those excluding/limiting the Stock Broker's and Exchanges' liabilities.
16. The Stock Broker may from time to time amend the agreement if required, for complying with any change in Statute, Regulation or with the requirements of any competent authority or if required under its corporate policies. The same shall be intimated to the Client by the Stock Broker. In case the Client continues to deal with the Stock Broker subsequent to the intimation of such amendments, it shall be deemed that the Client is agreeable to the new clauses. However the Client has the right to terminate the agreement through communication in writing subject to the meeting of the financial and other obligations under this agreement.
17. The Stock Broker shall not be responsible for any losses, costs, or damages resulting directly or indirectly from:



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- a. any action, omission, suspension or trading, decision or ruling of any exchange or regulatory, governmental or other body or of any other person which is beyond the Stock Broker's control (including floor broker, exchange, dealing or clearing house); or
 - b. any war, strike, lock-out, natural disaster, act of terrorism, delay in postal service or any other delay or inaccuracy in the transmission of orders or other information, or any breakdown, failure or malfunction of any telecommunication or computer system; the above Force Major events do not exempt the Client to fulfill the obligations in his account with the' Stock Broker.
18. The Exchange(s) may cancel a trade suo moto without giving any reason thereof. There may be insufficient bids or offers or suspension of trading due to price limits or circuit breakers. The electronic trading systems either at the exchange or in the Stock Broker's offices are vulnerable to temporary disruptions or failures. In the event of trade cancellation due to such events or vulnerabilities, Stock Broker shall be entitled to cancel relative contract(s) with the client. At times, due to such unforeseen circumstances the Stock Broker may not be able to execute the desired transactions (either the Client's own transactions or transactions for enforcing margins as provided in this agreement) on a timely basis. The Stock Broker does not accept responsibility for any losses that the Client may incur on such eventualities beyond the control of the Stock Broker. All notices or communications issued under this agreement shall be valid and binding if conveyed in writing through Letter, Fax (or Telegram or by personal delivery duly acknowledged by the other party / Courier / electronic communication) at the last known address, or by publishing the same in the prominent daily newspaper where the last known business / residential address of the Client is situated or if conveyed over telephone / fax on the last known number or on the recording machine of such number or a notice is pasted at the door of the last known address of either party.
19. In case anyone or more of the provisions contained in this Agreement becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.
20. No failure or delay by either party to exercise any right, power or privilege hereunder shall operate as a waiver nor shall any single or partial exercise of any right, power or privilege preclude any other or further exercise thereof or the exercise of any other right, power or privilege as herein provided.
21. All trades, transactions and contracts are subject to the Rules and Regulations of the respective Exchange(s) on which the trades have been executed and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the courts in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange(s). This part of the agreement can be altered, amended and lor modified by the parties mutually in

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writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and Regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

| | CLIENT | STOCK BROKER'S |
|-----------------------|--|---|
| Name / Trade Name | | M/s. ULJK FINANCIAL SERVICES PVT. LTD. |
| Title / Designation | | Director / Authorised Signatory |
| Signature |  _____ | |
| Company Stamp / Seal | | |
| Witness (1) Signature | | |
| Witness (1) Name | | |
| Witness (1) Address | | |
| Witness (2) Signature | | |
| Witness (2) Name | | |
| Witness (2) Address | | |

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From, _____,

To,

ULJK FINANCIAL SERVICES PVT. LTD.

Mumbai.

Dear Madam / Sir,

Sub: Authorization and Standing Instructions for F.Y. _____ valid up to 31st March 20____.

With reference to my / our Client ID. _____ I / we hereby give you the following operational instruction in respect of my / our captioned account maintained with you :

1. To maintain my / our accounts with you on a running basis, i.e. you may instead of paying me / us any amounts or securities representing obligations / margins, retain, withhold, set-off and / or appropriate for such purpose and in such manner as you may deem fit and release the funds and / or securities due to me / us on my / our specific request, either written or oral.
2. If we agree to receive soft copies of the day end reports as required under the rules, regulations and bye-laws of NSE and SEBI. I / we further agree that you shall be entitled to consider the non-receipt of any delivery failure notifications by you as confirmation of delivery of the reports at my / our email id(s) provided by me / us in the application form.
3. I / we further agree and accordingly authorize you to place / deposit / submit the collaterals placed by me / us with you, onward with the Exchange and/ or its clearing Corporation and / or the Custodian(s) towards the margin requirements.
4. I / we agree to do the actual settlement of funds and securities at least once in a calendar _____ (quarter) along with the statement of the same.
5. I / we agree to bring any dispute arising from the statement of accounts and securities within working days from the date of receipt of the same.
6. I / we agree to pay late payment charges in case of any late payment @18%p.a. on actual from the amount due date till the date of receipt.
7. In case of my/our request / demand, you shall transfer the funds/securities within 1 working day if lying with you or within 3 working days if lying with Exchange/Clearing House.
8. Periodic settlement of running account may not be necessary for funds received towards collaterals / margin in form of Bank Guarantee, Fixed Deposit etc
9. There shall not be any inter-client adjustments for the purpose of settlement of my/our running account.



10. I/We Mr./Ms./M/s. _____ hereby declare that all trades entered by me/us with **ULJK FINANCIAL SERVICES PVT. LTD.** on NSE as/are for my/our personal/family/own account.
11. I/We confirm I/we do not operate for any client and no contracts/confirmation memos are issued by us.
12. I/We authorise you to transfer funds/securities to my/our account maintained with M/s.ULJK Securities Pvt. Ltd. (Members of BSE) against my/our obligations arising for my/our trades in BSE.
13. I/We request you to consider my/our telephonic instructions for order placing or order modification or order cancellation as a written instruction and give me/us all the confirmation on telephone instructed otherwise in writing.
14. I/We agree and authorise you to debit charges for depository services and any other incidental charges to my/our running account.
15. I/We shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes to anyone else for the trades done on NSE CM/F&O.
16. I/We agree not to hold you liable or responsible for delay in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion earthquake, riots, war, strikes, failure of systems, failure of internet links, Government/regulatory actions or any such other contingencies.

Thanking you,
Yours faithfully,

Client Signature  _____

Date: _____

I/we This authorization is signed by me/us only and not by my/our authorized person/POA holder. I/ we reserve the right to amend the aforesaid instructions by way of an amendment letter addressed by me/ us to you, subject to the same being agreed to by you.

Client Signature  _____

Date: _____

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From: _____

Date _____

To,
Manager - Accounts Department
ULJK FINANCIAL SERVICES PVT. LTD.
703, Stock Exchange Towers,
7th Floor, Dalal Street,
Mumbai-400 001.

Dear Sir,

Sub: Authority to remit Funds Pay Out electronically into my bank account

This has reference to my trading account number _____ with you. I hereby, irrevocably, authorise **ULJK FINANCIAL SERVICES PVT. LTD.** to credit my account Number _____ with _____ Bank, _____ Branch electronically i.e. through Net Banking, RTGS, EFT etc. for all the funds payout due to me. I confirm that I am the first holder and bonafide owner of the above-mentioned bank account. I am enclosing documentary proof in this regard for your reference and record.

Bank Name :
Bank Account Number (All digits) Account Type :
Branch Address :

IFSC Code (11 Digits-for RTGS to be obtained from the bank):
IFSC Code (11 Digit- for NEFT to be obtained from the bank):

I am aware and understand the risks associated with electronically transfer of funds and hereby indemnify **ULJK FINANCIAL SERVICES PVT. LTD.** from all liabilities / losses resulting either from delay in crediting of payout amount and / or non-execution of such. Electronic pay out instruction.

Thanking you,

Yours faithfully,



(_____)

Mobile Number: _____

Email id: _____

We confirm the Bank details mentioned above
Signature and Seal of Bank Authority

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AUTHORISATION FOR ELECTRONIC CONTRACT NOTE

Date.....

To
ULJK FINANCIAL SERVICES PVT. LTD.
703, Stock Exchange Towers,
7th Floor, Dalal Street,
Mumbai-400 001.

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segments. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receiver the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account(s)/email id on your record for sending the contract notes to me/us.

1.
2.

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/ email id(s).

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any nonreceipt/ delayed receipt for nay reason whatsoever.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that.

Signature:

Client Name:



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DECLARATION TO BE GIVEN BY THE PROPRIETOR OF SOLE PROPRIETORSHIP FIRM

(To be obtained on Pre-Printed Letter Head of the firm)

Date.....

To
ULJK FINANCIAL SERVICES PVT. LTD.
703, Stock Exchange Towers,
7th Floor, Dalal Street,
Mumbai-400 001.

Dear Sir/Madam

I refer to the trading account opened with you in the name of
and declare and authorize you as under:

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account no. with the depository opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfer (s) to/from the above mentioned account. I recognize and accept transfer made by you to the aforesaid beneficiary account as completion of obligations by you in respect of trade executed in the above trading account of the firm.

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advise you in writing of any change that take place in the constitution of the firm and will be personally liable to you for all the obligation that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

The cheques/DDs (electronic/physical) shall be issued by me from my individual account with any bank and the amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s..... with your company.

Yours truly,

Name of the Proprietor :

Signature of the Proprietor



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**DECLARATION FOR MOBILE NO.
(Signature of Client)**

I,.....having PAN No.....do hereby
declare that my mobile no. is..... . Further, I authorize
that the same may be used for giving me any information/alert/sms/call.

I further declare the above mentioned statement is true and correct.

.....

(Signature of Client)

Name :

Client Code :

Address :

Phone No.:

Date :

Verified by (to be done by)

Name of Employee.....

Signature.....

Date.....



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Do's and Don'ts while dealing in securities market

Dear Client

You are requested to go through carefully and understand the following do's and don'ts before you start dealing in securities market :

DO's : PRE-ACCOUNT OPENING

1. Always deal with market intermediaries registered with SEBI/Exchanges.
2. It is very important that one should make himself/herself familiar with the rules, regulations, byelaws and circulars issued by Stock Exchange/SEBI before entering into and/or carrying out any transaction.
3. Transact only through Stock Exchanges.
4. Please carry out due-diligence before registering as client with any intermediary. Client should carefully read and understand the contents stated in the Risk disclosure document, which forms part of investor registration requirement for dealing through brokers in stock market.
5. Clear all your doubts by raising your queries with the Relationship Manager prior to opening an account.

DON'Ts : PRE-ACCOUNT OPENING

1. Do not start trading until you have read and understood the Risk Disclosure Documents and Member-Client Agreement.

DO's : ACCOUNT OPENING

1. Please read and understand and thereafter execute the Member-Client Agreement with Globe, setting out the terms and conditions clearly.
2. Enter accurate and complete details in the form, fill up all fields. Do not leave any spaces blank.
3. All information provided should be factually correct and accurate since this will form the basis of your relationship with
4. Read and understand every document in the Registration kit carefully before signing.
5. Please provide accurate Email ID, Client ID, DP ID, Mobile Number, Contact Details and Bank account number.
6. The correspondence address should always be updated.
7. Submit your Permanent Account Number (PAN)
8. Understand the utility of maintaining a running account before signing the authorization for the same. Maintaining a Running Account with us is not compulsory.
9. Ensure that all details are correctly mentioned in the welcome letter sent by Globe after account opening.

DON'Ts : ACCOUNT OPENING

1. Do not sign the Member-Client Agreement without clearing your doubts in respect thereof.
2. Do not fill in wrong or incomplete details. Do not overwrite, cancel, misspell the details.

DO's : PRE-TRADING

1. Adopt trading / investment strategies commensurate with your risk bearing capacity, as all investments carry risk, the degree of which varies according to the investment strategy adopted.



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2. Assess the risk-return profile of the investments as well as the liquidity and safety aspects before making and/or acting upon your investment decision.
3. Make investments based on your sound reasoning, after taking into account all publicity available information, fundamentals and information made available.
4. Check the veracity of the information available.
5. Access the websites of Companies and Regulators for information.
6. Keep copies of the Member Client Agreement and your trading account related documents.
7. Familiarise yourself with the rules, regulations and circulars issued by stock exchanges/SEBI before carrying out any transaction.
8. Ask all relevant questions and clear your doubts with your broker before transacting.
9. Please be informed that there are no guaranteed returns on investment in stock markets. Investment in Capital Market are subject to market risk.
10. Ensure that you have adequate balance before you buy.
11. Ensure that you are holding securities before you sell.
12. Exercise due caution while trading in illiquid shares or penny stocks or Z, T2T category stock.

DON'Ts : PRE-TRADING

1. Do not trade in any product without knowing and/or understanding the associated risks and rewards.
2. Do not be influenced by information which is not originating from an appropriate source.
3. Do not believe any promises made about Assured Returns by employees or Sub-Broker or Authorized Persons or Marketing Associates.
4. Do not rely on any implicit/explicit promise made by the issuer or any third party or returns.
5. Do not be influenced into buying fundamentally unsound companies (penny stocks) based on sudden spurts in trading volumes or prices or non-authentic favorable looking articles/stories.
6. Do not match / synchronize trade with any other person for any thinly traded shares.
7. Do not be misled by rumors circulating in the market.
8. Do not indulge in any trading activity which results in disturbance of market equilibrium in any manner including manipulation of price of any scrips.
9. Do not follow the herd or play on momentum it could turn against you.
10. Do not be misled by so called hot tips.
11. Do not undertake deals for others or trade on your own name and then issue cheques from family members/friend accounts.
12. Do not pay in cash or do not issue a cheque in name of any employee of or any other person in respect of the transaction.
13. Do not get carried away by luring advertisements, if any.
14. Do not try to time the market.
15. Do not leave signed blank delivery instruction slips (DIS) of your depository account lying around carelessly or with anyone.
16. Do not sign blank DIS and keep them with Depository Participant or broker to save time. Remember your carelessness can be your peril.



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17. Do not invest based on bull run of the market index/scripts of other companies in same industry/ issuer company.
18. Do not start trading before reading and understanding the Risk Disclosure Documents.
19. Don't get misled by guarantees of repayment of your investments through postdated cheques.

DO's : TRADING

1. Call on the landline numbers of your local branch and give clear and unambiguous instructions while placing orders over the phone. In case our visit the branch office, kindly give your orders in writing.
2. Be vigilant in your transactions.
3. Be aware of the risk associated with you Cash Market and Futures & Options positions in the market and margin calls on them. In case of inadequate margin or nonpayment or margin in your account, your positions will be squared off by the Risk Management Team.
4. Please bear in mind that while it is our endeavor to inform you in case of a margin call, it is your responsibility to maintain margins will square up outstanding position in case of shortfall in margin and delay in payments.
5. Maintain secrecy of your password in case of Internet trading, since you will be solely responsible for all transactions effected from its usage.
6. Maintain secrecy of your password in case of Internet trading, since you will be solely responsible for all transactions effected from its usage.
7. If at any point of time you received response for resetting password against request which has not been made by you, please call us at Customer Care Helpdesk immediately.
8. Following is the procedure for handling short deliveries in case the seller client fails to deliver securities in our Pool account within specified pay-in time limit against his/her pay-in/selling obligations :

DON'Ts : TRADING

1. Do not give instructions which are not clear. they should be given verbally over recorded phone lines or in writing.
 2. Do not forget to take note of risks involved in the investment.
 3. Do not reveal your password to any other person.
 4. Do not engage your self in any activity which is in the nature of intermediary such as sub-broker without proper registration with SEBI/Exchanges.
- (a) The short delivering client is debited by an amount equivalent to 10% above the closing rate of the day prior to Pay-in/Pay-out day. The securities delivered short are purchased from the market on T + 3 day which is the Auction day on Exchange, and the purchase consideration is debited to the short delivering seller client along with the reversal entry of provisional amount debited earlier.
- (b) If securities can not be purchased from market due to any force majeure condition, the short delivering seller client is debited at the closing rate + 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.



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DO's : POST TRADING

1. Insist and ensure that for every executed trade you received duly signed contract note form your broker, highlighting the details of the trade, trade time and number, transaction price, brokerage along with your unique client-id, broker's name. Please note that the details of every executed trade are posted on our website in the form of digital contract notes on a daily basis. Access the website, wherever possible and satisfactory yourself in respect thereof.
2. Verify all details in contract notes, immediately on receipt. If you find any discrepancy, write to us at
3. Check you email account mentioned in the 'Know Your Client' form daily. All your account related information including trade confirmation, Contract Notes and margin calls will be emailed to you.
4. Crosscheck details of your trade with details as available on the Exchange website.
5. Insist on periodical statement of accounts for your scrutiny.
6. Pay the margin within the prescribed time. Collect/pay, your mark to market margins, on your positions, on a daily basis, from/to your Broker.
7. Ensure receipt of payment/deliveries within one working day of payout.
8. Deliver the shares in case of sale or pay the money in case of purchase before the pay-in day.
9. For payments, issue only crossed account payee cheque/DD/PO in name of Please ensure to write your full name on the back of the cheque & sign so as to disallow incorrect to any other account.
10. In case of disputes, please write to us at
11. Client should deliver, securities for pay-in in our pool account and for margin in our beneficiary account only. Management shall not be responsible for any delivery or securities to any third party demat account including demat accounts of our sub brokers, employees, business development representative and business partners etc. our sub broker, employees, business development representative and business partners etc.

DON'Ts : POST TRADING

1. Do not make/take payment in cash.
2. Do not believe if an Globe Capital Market Ltd. representative tells you that margins are not required or payments on time need not be made.
3. Do not hesitate to approach helpdesk. Helpdesk can be contacted at : E-mail :
4. Do not delay payment/delivered of securities to Broker/Sub-Broker.
5. Do not accept unsigned contract notes or signed by an unauthorized person.
6. Do not pay more than the agreed brokerage to the intermediary.
7. Do not sign blank delivery instruction slip(s) while meeting security payin obligation.
8. Do not accept unsigned contract note or contract note signed by any unauthorized person.
9. Don't forego taking due documents of transactions, in good faith even from people whom your know.



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DO's : DEPOSITORIES

1. Handle Delivery Instruction Slips (DIS) Books issued to you carefully.
2. Insist that the DIS numbers are pre-printed and your account number (client id) be pre-stamped.
3. While sending securities for demat, record the distinctive number of the securities sent.
4. Check the demat performance of the issuer company with your DP before deciding to send depository participant.
5. Scrutinize minutely both the transaction and the holding statements that you receive from your depository participant.
6. Always mention the details like ISIN, number of securities accurately. If in doubt, contact Depository Participant or your broker.
7. Authorize any corrections, over-writing or cancellation on the instruction slips by signing against the same.
8. Ensure that all joint holders of the demat account sign the slip.
9. If there is space for multiple instructions and it is not used full, please strike out the blank space for furnishing securities details.
10. Avoid over-writing, cancellations, misspellings, changing of the name and quantity of securities.
11. In case you are not transacting frequently make use of the freezing facilities

DON'Ts : DEPOSITORIES

1. Do not issue depository delivery instruction slip from any other family members/friends accounts. Issue the DIS only from your own depository account.
2. Do not sign blank Delivery instruction slip(s) while meeting security payin obligation.

DISCLAIMER

The information has been compiled to present the Client with a broad understanding of the subject and is general in nature. The Contents do not purport to explain or interpret Acts, Circulars, Rules, Regulations and Guidelines. The information is not intended as a source of advertising or solicitation and the contents of the same should not be construed as legal advice, Readers should take specific advice from qualified professionals when dealing with specific situations and should not consider this as an invitation for a broker client relationship.

We make no warranty to any kind with respect to the subject matter included herein. We are not responsible for any actions (or lack thereof) taken as a result of relying on or in any way using information contained herein and in no event shall we be liable for any damage or loss resulting from reliance or use of this information. Without limiting the above we shall each have no responsibility for any act, error or omission, whether such acts, errors or omissions result from negligence, accident or any other cause.

I hereby acknowledge that I have read and understood the above Do's and Don'ts.

Client Signature :

Client Name :

Place :

Date : DD MM YYYY

