

FORM NO.: _____

SR. NO. _____



ULJK Financial Services Pvt. Ltd.

SEBI REGN NO.: INZ000259732

CLIENT REGISTRATION FORM

Date : _____
UCC Code : _____
Name : _____

Regd. Office: 1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.
Tel.: 91-22-6651 0110/6651 0111 • Fax: 91-22-6651 0119
Email: customersupport@uljk.in • Website: www.uljk.in

ANNEXURE – 1
INDEX OF DOCUMENTS

| S.N. | Name of the Document | Brief Significance of the Document | Pg. No |
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| | | B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list. | 12-16 |
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Details of Trading and Clearing Member

Name of stock broker : **ULJK FINANCIAL SERVICES PVT. LTD.**
 Registered Office : 1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.
 Telephone Numbers : 91-22-6651 0110/6651 0111 • Fax: 91-22-6651 0119
 Email : customersupport@uljk.in
 Website : www.uljk.in
 CIN : U67120MH2005PTC152903
 PAN : AABCJ5491J
 GST : 27ZAABCJ5491J1Z8
 SEBI Registration No. and Date : INZ000259732 (NSE Cash + F&O and BSE Cash + F&O)
 BSE Member Code No.: 6815 • NSE Member Code No.: 12819
 Clearing Member Name (F&O) : Stock Holding Corporation of India Ltd.
 Clearing Member Add. : SHCIL House, Plot No. 51, TTC Industrial Area, MIDC, Mahape,
 Navi Mumbai - 400 710.
 Phone No. : +91 9773360477
 Compliance officer's name : Nilesh Purshottam Mavani
 Phone No. : +91 9833241938
 Email Id : customersupport@uljk.in
 Director's Name : Madhavi Umesh Vora
 Phone No. : +91 9821087776
 Email Id : madhavivora@uljk.in

For any grievance/dispute please contact **ULJK FINANCIAL SERVICES PVT. LTD.** at the above address or email id: **grievances@uljk.in** and Phone no. **022-6651 0110**. In case not satisfied with the response, please contact the concerned exchange(s) at their Contact details given below:

BSE Limited (BSE)

Tel. No.: 022-22721233/34
 Fax No.: 022-22723677
 Investor Services email id.: is@bseindia.com
 Investor Services Tel. No.: 022 22728097
 E-mail id: stanies.crasto@bseindia.com

NSE Limited (NSE)

Tel. No.: 022 2659 8190 / 1800220058
 Investor Services email id.: ignse@nse.co.in

SEBI for filing complaints on SCORES Tel.: 1800 266 7575 or 1800 22 7575 • www.scores.gov.in

PROPRIETARY TRADE DECLARATION

Disclosure in Terms of SEBI Circular No. SEBI/MRD/SE/CIR-42/2003 dated November 19, 2003 **ULJK Financial Services Pvt. Ltd.** besides doing client based business also does its own investment and/or trading. "Proprietary Trading Disclosure noted".

KRA & CERSAI REGISTRATION DETAILS

Already Registered with KRA? ☐ Yes ☐ No

Name of the KRA and registration details (✓ Tick whichever is applicable)

☐ NDML ☐ CVL ☐ DOTEX ☐ CAMS ☐ KARVY ☐ BSE KRA

KRA Status: _____ Date of Registration: ____/____/____

Already Registered with CERSAI? ☐ Yes ☐ No

CKYC Number: _____ Date of Registration: ____/____/____

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/ Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/ State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

- (*Documents having an expiry date should be valid on the date of submission.)
- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

| Types of entity | Documentary requirements |
|--|---|
| Corporate | <ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorized signatories list with specimen signatures. |
| Partnership firm | <ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorized signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners. |
| Trust | <ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees. |
| HUF | <ul style="list-style-type: none"> PAN of HUF. Deed of declaration of HUF/ List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta. |
| Unincorporated Association or a body of individuals | <ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures. |
| Banks/Institutional Investors | <ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures. |
| Army/ Government Bodies | <ul style="list-style-type: none"> Self certification on letterhead Authorized signatories list with specimen signatures. |
| Registered Society | <ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary. |
| FPI Category I & II | <ul style="list-style-type: none"> FPI Certificate • Constitution Documents • Copy of Board Resolution Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity Authorized signatories list with specimen signatures. |

Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

A Clarification / Guidelines on filling 'Personal Details' section

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

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

- 1 In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address'.
Document Code Description
01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02 Property or Municipal Tax receipt.
03 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04 Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Id entities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

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

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

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

E Clarification on Minor

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

Important Instructions for filling CKYC form:

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

ULJK Financial Services Pvt. Ltd.

KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL

MANDATORY

For office use only

Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

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

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

| | | | | | |
|---|---|--|---|----------------------|--|
| | Prefix | First Name | Middle Name | Last Name | |
| <input type="checkbox"/> Name* (Same as ID proof) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Maiden Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Father / Spouse Name* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Mother Name* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Date of Birth* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Gender* | <input type="checkbox"/> M- Male | <input type="checkbox"/> F- Female | <input type="checkbox"/> T-Transgender | PHOTO | |
| Marital Status* | <input type="checkbox"/> Married | <input type="checkbox"/> Unmarried | <input type="checkbox"/> Others | | |
| PAN* | <input type="text"/> | <input type="checkbox"/> Form 60 furnished | | | |
| Citizenship* | <input type="checkbox"/> IN-Indian | <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>) | | | |
| Residential Status* | <input type="checkbox"/> Resident Individual | <input type="checkbox"/> NRI | <input type="checkbox"/> Foreign National | | <input type="checkbox"/> Person of Indian Origin |
| Occupation Type* | <input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) | <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) | | | |



Signature/Thumb impression

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

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

| | | | |
|---|----------------------|-------------|----------------------|
| <input type="checkbox"/> A- Passport Number | <input type="text"/> | Expiry Date | <input type="text"/> |
| <input type="checkbox"/> B- Voter ID Card | <input type="text"/> | | |
| <input type="checkbox"/> C- Driving Licence | <input type="text"/> | Expiry Date | <input type="text"/> |
| <input type="checkbox"/> D- NREGA Job Card | <input type="text"/> | | |
| <input type="checkbox"/> E- National Population Register Letter | <input type="text"/> | | |
| <input type="checkbox"/> F- Proof of Possession of Aadhaar | <input type="text"/> | | |
| <input type="checkbox"/> E- KYC Authentication | <input type="text"/> | | |
| <input type="checkbox"/> Offline verification of Aadhaar | <input type="text"/> | | |
| <input type="checkbox"/> NRI - PIS RBI approval number | <input type="text"/> | date | <input type="text"/> |

(Mandatory for NRE & Optional for NRO)

Address

| | |
|-----------|----------------------|
| Line 1* | <input type="text"/> |
| Line 2 | <input type="text"/> |
| Line 3 | <input type="text"/> |
| District* | <input type="text"/> |

City/Town/Village*

PIN/Post Code*

State /U. T. Code*

ISO 3166 Country Code*

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

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

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

| | | | |
|---|----------------------|-------------|----------------------|
| <input type="checkbox"/> A- Passport Number | <input type="text"/> | Expiry Date | <input type="text"/> |
| <input type="checkbox"/> B- Voter ID Card | <input type="text"/> | | |
| <input type="checkbox"/> C- Driving Licence | <input type="text"/> | Expiry Date | <input type="text"/> |
| <input type="checkbox"/> D- NREGA Job Card | <input type="text"/> | | |
| <input type="checkbox"/> E- National Population Register Letter | <input type="text"/> | | |

| | |
|--|-----------------|
| <input type="checkbox"/> F- Proof of Possession of Aadhaar | X X X X X X X X |
| II <input type="checkbox"/> E- KYC Authentication | X X X X X X X X |
| III <input type="checkbox"/> Offline verification of Aadhaar | X X X X X X X X |
| IV <input type="checkbox"/> Deemed proof of Address - Document Type code | |

Address

| | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|-----------|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--------------------|--|--|--|--|--|--|------------------------|--|--|--|--|--|--|
| Line 1* | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Line 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Line 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| District* | | | | | | | PIN/Post Code* | | | | | | | State /U. T. Code* | | | | | | | ISO 3166 Country Code* | | | | | | |

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction C at the end)

| | | | | | | | | | | | | |
|------------|--|---|--|------------|--|---|--|--------|--|---|--|--|
| Tel. (Off) | | — | | Tel. (Res) | | — | | Mobile | | — | | |
| Email ID | | | | | | | | | | | | |

☐ 5. REMARKS (If any)

| | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | |

☐ 6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: DD—DD—YYYY Place:

Signature / Thumb Impression of Applicant

☐ 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UDAl ☐ Data received from Offline verification
☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC ☐ IPV Done

Pos Code:

IPV Done ☐ on dd/mm/yyyy

| | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---------------------------------|--|--|--|--|--|--|--|--|--|--|--|--|---------------------|-----------------------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|
| KYC VERIFICATION CARRIED OUT BY | | | | | | | | | | | | | INSTITUTION DETAILS | | | | | | | | | | | | | | |
| Date: | | | | | | | | | | | | | Name | ULJK Financial Services Pvt. Ltd. | | | | | | | | | | | | | |
| Emp. Name: | | | | | | | | | | | | | Code | | | | | | | | | | | | | | |
| Emp. Code: | | | | | | | | | | | | | [Institution Stamp] | | | | | | | | | | | | | | |
| Emp. Designation: | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Emp. Branch: | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| [Employee Signature] | | | | | | | | | | | | | | | | | | | | | | | | | | | |

ULJK Financial Services Pvt. Ltd.

KNOW YOUR CLIENT (KYC) APPLICATION FORM - LEGAL ENTITY/OTHER THAN INDIVIDUALS **MANDATORY**

For office use only

Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

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

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

☐ Name*

Entity Constitution Type* ☐ Others (Specify) (Please refer instruction B at the end)

Date of Incorporation/Formation* -- Date of Commencement of Business* --

Place of Incorporation/Formation* Country of Incorporation/Formation*

TIN or Equivalent issuing Country*

PAN* ☐ Form 60 furnished

TIN/GST Registration Number

☐ 2. PROOF OF IDENTITY (POI)* (Please refer instruction B at the end)

☐ Officially valid documents in respect of person authorised to transact

☐ Certificate of Incorporation/Formation ☐ Registration Certificate Regn Certificate No.

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board/Managing Committee ☐ Power of Attorney granted to its manager, officers/employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship only) ☐ Activity Proof - 2 (For Sole Proprietorship only)

☐ 3. ADDRESS DETAILS (Please see instruction C at the end)

3.1 Registered Office Address/Place of Business*

Proof of Address* ☐ Certificate of Incorporation/Formation ☐ Registration Certificate ☐ Other Document

Address

Line 1*

Line 2

Line 3

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

3.2 Local Address in India (If different from above)*

Address

Line 1*

Line 2

Line 3

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

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID provided may be used) (Please refer instruction D at the end)

Tel. (Off) - Fax -

Mobile - Email ID

Mobile - Email ID

☐ 5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)

[illegible]

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any change therein immediately.

- Date: DD - DD - YYYY Place:

8. ATTESTATION / FOR OFFICE USE ONLY

ULJK Financial Services Pvt. Ltd.

KNOW YOUR CLIENT (KYC) APPLICATION FORM - RELATED PERSON

MANDATORY

For office use only

Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

☐ 1. DETAILS of Related Person* (Please refer instruction E at the end)

☐ Addition of Related Person

☐ Deletion of Related Person

☐ Update Related Person Details

KYC Number of Related Person (if available*) if KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary
☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

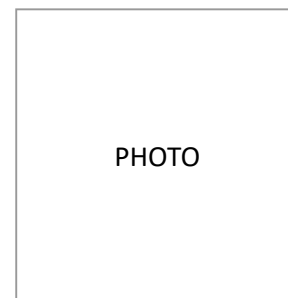
☐ 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

☐ Name* (Same as ID proof) Prefix First Name Middle Name Last Name
Maiden Name
Father / Spouse Name*
Mother Name*
Date of Birth* --
Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
Nationality* ☐ IN-Indian ☐ Others (ISO 3166 Country Code)
PAN* Form 60 furnished ☐

☐ 1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

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

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhaar
II ☐ E- KYC Authentication
III ☐ Offline verification of Aadhaar



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

Signature/Thumb impression

☐ 1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

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

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

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter

| | |
|--|-----------------|
| <input type="checkbox"/> F- Proof of Possession of Aadhaar | X X X X X X X X |
| II <input type="checkbox"/> E- KYC Authentication | X X X X X X X X |
| III <input type="checkbox"/> Offline verification of Aadhaar | X X X X X X X X |
| IV <input type="checkbox"/> Deemed proof of Address - Document Type code | |

Address

| | | | | | | | | | | | | | | | | | | | | | |
|-----------|--|--|--|--|--|----------------|--|--|--|--|--|--------------------|--|--|------------------------|--------------------|--|--|--|--|--|
| Line 1* | | | | | | | | | | | | | | | | | | | | | |
| Line 2 | | | | | | | | | | | | | | | | | | | | | |
| Line 3 | | | | | | | | | | | | | | | | City/Town/Village* | | | | | |
| District* | | | | | | PIN/Post Code* | | | | | | State /U. T. Code* | | | ISO 3166 Country Code* | | | | | | |

☐ 1.4 CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction D at the end)

| | | | | | | | | | | | |
|------------|--|---|--|------------|--|---|--|--------|--|---|--|
| Tel. (Off) | | — | | Tel. (Res) | | — | | Mobile | | — | |
| Email ID | | | | | | | | | | | |

☐ 2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: DD-DD-YYYY Place:

Signature / Thumb Impression of Applicant

☐ 3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UDAl ☐ Data received from Offline verification
☐ Digital KYC process ☐ Equivalent e-document

Pos Code:

| KYC VERIFICATION CARRIED OUT BY | | | | | | | | | | INSTITUTION DETAILS | | | | | | | | | |
|---------------------------------|--|--|--|--|--|--|--|--|--|---------------------|-----------------------------------|--|--|--|--|--|--|--|--|
| Date: | | | | | | | | | | Name | ULJK Financial Services Pvt. Ltd. | | | | | | | | |
| Emp. Name: | | | | | | | | | | Code | | | | | | | | | |
| Emp. Code: | | | | | | | | | | [Institution Stamp] | | | | | | | | | |
| Emp. Designation: | | | | | | | | | | | | | | | | | | | |
| Emp. Branch: | | | | | | | | | | | | | | | | | | | |
| [Employee Signature] | | | | | | | | | | | | | | | | | | | |

Annexure

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

Name of Applicant: _____ PAN of the Applicant: _____

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



Name & Signature of the Authorised Signatory(ies)

Date _____

A. BANK ACCOUNT(S) DETAILS

| Bank - 1 |
|--|
| Bank Name |
| Branch |
| Address |
| |
| |
| Account No. |
| Account Type: <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ |
| MICR Code: <div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> |
| IFSC Code (for RTGS) <div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> |

| Bank - 2 |
|--|
| Bank Name |
| Branch |
| Address |
| |
| |
| Account No. |
| Account Type: <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ |
| MICR Code: <div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> |
| IFSC Code (for RTGS) <div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> |





B. DEPOSITORY ACCOUNT(S) DETAILS

| Demat - 1 |
|--|
| Depository: <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL |
| DP Name |
| Beneficiary Name |
| DP ID: <div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> |
| BO ID: <div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> |

| Demat - 2 |
|--|
| Depository: <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL |
| DP Name |
| Beneficiary Name |
| DP ID: <div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> |
| BO ID: <div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> |

C. TRADING PREFERENCES

*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

| Exchanges | Segments | |
|-----------|----------|---|
| BSE | Cash |  |
| | F&O |  |
| NSE | Cash |  |
| | F&O |  |

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

| D. OTHER DETAILS | | |
|---|---|---------------|
| 1. Gross Annual Income details (please specify) : Income Range per annum | | |
| <input type="checkbox"/> Upto Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/- <input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <input type="checkbox"/> Rs. 25,00,001/- to Rs. 100,00,000/- <input type="checkbox"/> Above Rs. 100,00,001/- Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year) | | |
| 2. Occupation (please tick any one and give brief details) | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others | For Ind. only |
| 3. Please tick, if applicable | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) | |
| 4. Is the entity involved/providing any of the following services <input type="checkbox"/> YES <input type="checkbox"/> NO - For Foreign Exchange / Money Changer Services <input type="checkbox"/> YES <input type="checkbox"/> NO – Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) <input type="checkbox"/> YES <input type="checkbox"/> NO - Money Lending / Pawning <input type="checkbox"/> YES <input type="checkbox"/> NO | | For NI only |
| 5. Any other information | | |
| 6. GST Registration Number | | |
| GST Implementation Location | | |

E. PAST ACTIONS

- Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: _____

F. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

- If client is dealing through the Authorised Person, provide the following details:
Authorised Person's Name:_____ SEBI Registration number:_____
Registered office address: _____
Ph:_____ Fax:_____ Website:_____
• Whether dealing with any other stock broker/Authorised Person (in case dealing with multiple stock brokers/
Authorised Person, provide details of all)
Name of stock broker:_____
Name of Authorised Person, if any:_____
Client Code:_____ Exchange:_____
Details of disputes/dues pending from/to such stock broker/Authorised Person:

"Pursuant to SEBI Circular dated August 3rd, 2018, w.e.f. April 1st, 2019 Sub-Broker has been migrated to AP."

G. ADDITIONAL DETAILS

- Mode of Receiving Contract Notes and other documents ☐ Physical ☐ Electronic
Specify your Email id, if applicable: _____
- Internet Trading/ Wireless Trading Facility ☐ Yes ☐ No
- Number of years of Investment/Trading Experience: _____
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: _____
- Any other information: _____

H. INTRODUCER DETAILS (optional)

Name of the Introducer: _____
(Surname) (Name) (Middle Name)

Status of the Introducer: Authorised Person/Existing Client/Others, please specify _____

Address and phone no. of the Introducer: _____

Signature of the Introducer: _____

DECLARATION

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

Place _____

()

Date _____

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

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

| | Documents verified with Originals | Client Interviewed By | In-Person Verification done by |
|-----------------------------|--------------------------------------|-----------------------|-----------------------------------|
| Name of the Employee | | | |
| Employee Code | | | |
| Designation of the employee | | | |
| Date | | | |
| Signature | | | |

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



Signature of the Authorised Signatory

Date _____

Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST

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

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

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

2. Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted. (Not more than 4 months old)
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

NOMINATION FORM

**[Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts – Extension of timelines and relaxations for existing account holders]
Form for Nomination (To be filled in by individual applying singly or jointly)**

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|--------------|---|---|---|---|---|---|------------------------------------|---|------------------|---|---|--------------|---|---|-------------------------------|---|---|---|---|---|---|---|
| TM/DP | ULJK FINANCIAL SERVICES PVT. LTD. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Name & Address | 1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001. | | | | | | | | | | | | | | | Nomination Registration No. | | | | | Dated | | | | | | | | | | |
| Date | D | D | M | M | Y | Y | Y | Y | DP ID | | | | | | | | | Client ID | | | | | | | | | | | | | |
| <input type="checkbox"/> I/We wish to make a nomination. [As per details given below] | | | | | | | | | | | | | | | | | | UCC | | | | | | | | | | | | | |
| Nomination Details | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our death. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nomination can be made upto three nominees in the account. | | | | | | | | Details of 1st Nominee | | | | | | | | Details of 2nd Nominee | | | | | | | | Details of 3rd Nominee | | | | | | | |
| 1. First Name | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Middle Name | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Last Name | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2. Share of each Nominee | | | | | | | | % | | | | | | | | % | | | | | | | | % | | | | | | | |
| Equally (If not equally, please specify percentage) | | | | | | | | Any odd lot after division shall be transferred to the first nominee mentioned in the form. | | | | | | | | | | | | | | | | | | | | | | | |
| 3. Relationship With the Applicant (If Any) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4. Address of Nominee(s) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| City | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| State | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pin | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Country | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5. Mobile No./Tele. No. of nominee(s) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6. E-mail ID of nominee(s)# | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7. Nominee Identification details [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> PAN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Aadhaar | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Saving Bank a/c. no. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Proof of Identity | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Demat Account ID | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sr. Nos. 8-14 should be filled only if nominee(s) is a minor: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 8. Date of Birth (in case of minor nominee(s)) | | | | | | | | D | D | M | M | Y | Y | Y | Y | D | D | M | M | Y | Y | Y | Y | D | D | M | M | Y | Y | Y | Y |
| 9. Name of Guardian (Mr./Ms.) {in case of minor nominee(s)} | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

**RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS
AS PRESCRIBED BY SEBI AND STOCK EXCHANGES**

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock

broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

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

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
37. The stock broker/stock broker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

38. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
39. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

40. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
41. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
42. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
43. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT
(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially

executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/

glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

2.1 Effect of "Leverage" or "Gearing":

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

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

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior

to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

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

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

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

4. GENERAL

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

GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS**BEFORE YOU BEGIN TO TRADE**

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market

transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

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

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

A. Refusal of orders for "Penny Stocks"

ULJK Financial Services Pvt. Ltd. discourages/restricts trading in Penny Stocks by the clients as they are susceptible to manipulation and risky for investors and in turn to ULJK Financial Services Pvt. Ltd.

"Penny Stocks" in general terms shall include securities traded in any National Exchanges having low market price, market capitalization, volumes etc based on parameters like given below:

- a) Stocks appearing in the list of illiquid securities issued by the Exchanges from time to time.
- b) Stocks which are highly illiquid and have low market capitalization.
- c) Stocks categorized by exchange in ASM, GSM, Unsolicited SMS or securities restricted for trading by Exchanges etc
- d) Any other securities based on internal evaluation of ULJK Financial Services Pvt. Ltd.

The classification can be changed at the sole discretion of ULJK Financial Services Pvt. Ltd. without any notice to the Client. ULJK Financial Services Pvt. Ltd. reserves the right to allow or otherwise refuse orders in any Penny Stocks at its complete discretion notwithstanding the fact that the client has adequate credit balance or any other reason. ULJK Financial Services Pvt. Ltd. may decide to allow placement of orders in Penny Stocks through a designated or centralized desk only.

ULJK Financial Services Pvt. Ltd. shall not be responsible for non-execution or delay or refusal in execution or cancellation of such orders and consequential opportunity loss or financial loss to the client on account of the above restrictions or prohibitions at any time. Clients shall indemnify in respect of any loss including loss due to regulatory actions against ULJK Financial Services Pvt. Ltd. by virtue of Client trading in penny stocks.

b. Setting up client's exposure limit

1. ULJK Financial Services Pvt. Ltd. shall set client's exposure limits depending on the type of securities provided as Margin/available funds in the client's ledger plus Fixed Deposits/Bank Guarantees provided by the Client and the Client profile/financial status. Exposure limits are also set based on categories of stocks/position (derivatives) Client can trade.
2. Securities that are acceptable as margin and their categorization may be changed by ULJK Financial Services Pvt. Ltd. from time to time at its sole discretion. Further Client categorization may also be changed based on various factors including trading pattern of clients, profile/residential status/financial status of client.
3. ULJK Financial Services Pvt. Ltd. from time to time shall apply such haircuts as may be decided by ULJK Financial Services Pvt. Ltd. on the approved securities against which the Exposure limits are given to the client. ULJK Financial Services Pvt. Ltd. may from time to time change the applicable hair cut or apply a haircut higher than that specified by the Regulators/Exchanges as part of its Risk Management System.
4. Subject to the client's exposure limits, Client may trade in securities and/or take positions in the futures and options segment. Client shall abide by the exposure limits, if any, set by ULJK Financial Services Pvt. Ltd. or by the Exchange or Clearing Corporation or SEBI from time to time.
5. Limits/Exposure provided shall vary based on the intraday/delivery/carry forward positions made by the client. The exposure limits set by ULJK Financial Services Pvt. Ltd. does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the Client shall bear the loss on account of withdrawal of such limits.
6. The Client agrees to compensate ULJK Financial Services Pvt. Ltd. in the event of ULJK Financial Services Pvt. Ltd. suffering any loss, harm or injury on account of exposure given and/or withdrawn.
7. In case of sale of Securities, such sale may at the discretion of ULJK Financial Services Pvt. Ltd. be provided only to the extent of the availability of securities in the account of the Client (DP free Stock, DP lien/ hold marked securities, beneficiary and collateral stock).
8. Further the credit received against sale may be used for exposure as may be decided by ULJK Financial Services Pvt. Ltd. from time to time. In case of derivatives, Clients shall be allowed to trade only up to the applicable client-wise position limits set by the Exchanges/Regulators from time to time.
9. ULJK Financial Services Pvt. Ltd. may from time to time demand additional margin from the Client in the form of funds or securities if there is a requirement for the same and the Client shall be required to provide the same.

c. Applicable brokerage rate

Brokerage and other charges leviable by ULJK Financial Services Pvt. Ltd. on the clients are provided in the client registration Form and is duly signed by the Client.

If there is any upward revision of brokerage, the same will be informed to the Clients in advance by giving a 15

days prior notice. Brokerage and other charges are subject to the maximum limits as prescribed by SEBI/ Exchanges/Government and other Regulatory authorities from time to time.

d. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period

Delayed Payment Charges (DPC) shall be charged to Clients in case of default or delay in payment of pay-in/ Margin and other dues within the prescribed time limit. DPC shall be charged @ 2% per month on pro-rata basis on any delayed payments towards net debit of the Client across all segments and Exchanges. Such delayed payment charges shall be directly debited to the account of the Client at the end of every month or such other period as determined by ULJK Financial Services Pvt. Ltd. from time to time. Note that charging DPC is a penal measure to ensure timely pay-in by Clients. Subject to the foregoing provisions of the law, any Penalty charged to ULJK Financial Services Pvt. Ltd. on behalf of the clients shall be debited to the clients.

e. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues.

ULJK Financial Services Pvt. Ltd. shall have the sole discretion to square off the open position of the Client and/ or sell clients' securities (including securities maintained as margin with ULJK Financial Services Pvt. Ltd. and securities lying in client's beneficiary/demat account) in case the Client fails to meet its settlement/margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by ULJK Financial Services Pvt. Ltd. Further, the square off of client's open position or the selling of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by ULJK Financial Services Pvt. Ltd. ULJK Financial Services Pvt. Ltd. shall have no obligation of communicating the same to the Client. ULJK Financial Services Pvt. Ltd. shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the Client due to such squaring off of the open position of the client. ULJK Financial Services Pvt. Ltd. reserves the right to square off client's open positions or sell clients' securities under following circumstances:

- (i) Where the limits given to the Client have been breached.
- (ii) Where the Client has defaulted on their existing obligation and/or had failed to make payments/deliver securities to ULJK Financial Services Pvt. Ltd. within the stipulated time period.
- (iii) Where the margin or security placed by the Client with ULJK Financial Services Pvt. Ltd. falls short of the applicable minimum margin as may be required to be maintained by the client.
- (iv) Where Mark to Market Loss on the open position has reached 80 % of the margins placed with ULJK Financial Services Pvt. Ltd. and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
- (v) if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time. ULJK Financial Services Pvt. Ltd. shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

f. Conditions Under Which Client May Not Be Allowed To Take Further Positions Or Broker May Close existing Positions of Client:

In addition to the right to sell securities and close out client's open positions, ULJK Financial Services Pvt. Ltd. shall have the right to refuse to execute trades/allow the Client to take further positions and/or close out the existing positions of Client under following circumstances:

- a. Regulatory directive/restriction;
- b. Non-receipt of funds/securities and/or bouncing of cheque received from the Client towards the obligations/ margin/ledger balances;
- c. Due to technical reasons;
- d. Securities breaching the limits specified by the Exchanges/regulators from time to time
- e. Failure to meet margin including mark to market margins by the client;
- f. Securities to be transacted by Client are not in dematerialized form
- g. Due to any force majeure event beyond the control of ULJK Financial Services Pvt. Ltd.
- h. Any other conditions as may be specified by ULJK Financial Services Pvt. Ltd. from time to time in view of market conditions, regulatory requirements, internal policies etc and risk management system; ULJK Financial Services Pvt. Ltd. shall not be responsible for any loss incurred and the Client shall indemnify ULJK Financial Services Pvt. Ltd. in this regard.

g. Shortages in obligations arising out of internal netting of trades.

In case the client defaults on its existing obligation which results in delivery shortage to the Exchange, the same shall be compulsory auctioned as per defined Exchange procedures from time to time. Where the client defaults

on its existing obligation and in the event the trade has been internally netted-off at ULJK Financial Services Pvt. Ltd., there could be internal shortages. The Client agrees to the laid down policy and procedure followed for handling shortages arising out of internal netting of trades, as mentioned herein below

- (i) The internal shortages will be marked against the Client randomly at the sole discretion of ULJK Financial Services Pvt. Ltd. taking into account the delivery obligations through Exchanges.
- (ii) In all such transaction identified as internal shortages, the defaulting selling Client would be debited in ledger as per the price calculated at Higher of closing price on T' day or T+1 day as per Daily Bhav Copy (NSE Bhav Copy will be referred first over BSE) + 10% penal charges. Simultaneously, the buyer who was eligible to receive shares on T+2'day would be credited in the ledger with the same amount charged to the defaulting selling client.
- (iii) The defaulting Client and corresponding buying clients will not have any claim for Profit/ Loss against ULJK Financial Services Pvt. Ltd. ULJK Financial Services Pvt. Ltd. shall not be responsible for such losses to the clients on account of such shortages. All losses to the Client on this account shall be borne solely by the Client and the Client shall indemnify ULJK Financial Services Pvt. Ltd. in this respect.
- (iv) For all cases of shortages i.e. market or internal, in case Client has executed a sale transaction in subsequent settlement on or before the receipt of pay-out for buy transaction in the same scrip, the Client needs to ensure the availability of securities through SLBM and/or otherwise in his demat account to meet pay-in obligation for his sale transaction.

h. Temporarily suspending or closing a client's account based on the client's request.

ULJK Financial Services Pvt. Ltd. may suspend or close the trading account of the Client pursuant to SEBI or any other Regulatory directive for such period as may be prescribed by the respective Regulator.

ULJK Financial Services Pvt. Ltd. may further at its sole discretion and with/without information to the client, prohibit or restrict or block the Client's access to the use of the web site or related services and the Client's ability to trade due to market conditions and other internal policies including policy with respect to prevention of money laundering.

Trades in the account of the client during the period of such temporary closure/suspension shall not be permitted. Notwithstanding any such suspension/closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure/suspension shall continue to subsist and binding on the client.

Client can initiate temporary closure of its account at any time by giving a request to ULJK Financial Services Pvt. Ltd. in writing 15 days in advance. However, such closure will be affected subject to clearance of all dues and settlement obligations by the client. In case the account has been temporarily suspended at the request of the client, the account shall be reactivated only on submission of a written request for reactivation by the client.

i. Deregistering a Client

ULJK Financial Services Pvt. Ltd. may deregister the client under following circumstances:

- 1. Client breaches the terms and conditions of the Rights and Obligation Documents.
- 2. Client provides any false information or declarations along with KYC or otherwise.
- 3. Client denies furnishing documents or information required by ULJK Financial Services Pvt. Ltd.
- 4. Client is suspected to be involved in any activities in violation of applicable Rules and Regulations.
- 5. On account of any Regulatory directive, market conditions and other internal policies of ULJK Financial Services Pvt. Ltd. including policy with respect to prevention of money laundering.
- 6. At its sole discretion, if ULJK Financial Services Pvt. Ltd. is of the opinion that condition exists for deregistration of client.

Such deregistration/termination shall not affect the rights and liabilities of the parties in respect of the transactions executed before the date of such deregistration/termination.



(Signature of the constituent)


Brokerage and Schedule of Charges

MANDATORY

Further, I agree to the following terms of doing business:

| Particulars | Cash Segment | | Futures | | | Options | | | | | |
|-------------|------------------|----------|------------------|------------------|----------|------------------|------------------|----------|------------------|------------------|----------|
| | Min (₹/Paise) | Max % | Min (₹/Paise) | Min Per Lot ₹ | Max % | Min (₹/Paise) | Min Per Lot ₹ | Max % | Min (₹/Paise) | Min Per Lot ₹ | Max % |
| Single Side | | | | | | | | | | | |
| Both Sides | | | | | | | | | | | |
| Delivery | | | | | | | | | | | |

- Note:**
- 1) Inter settlement arising out of purchase and sale transactions affected by constituent shall be debited to constituent account.
 - 2) Statutory and Exchange Charges:
 - a) Securities Transaction Charges, SEBI Turnover Fees, Transaction Charges shall be levied as per the prevailing rate;
 - b) Statutory levies including but not limited to GST & Stamp duty shall be levied as per the prevailing rate;
 - c) The above rates are subject to change by the Regulatory Authorities and Government Agencies
 - 3) Charges for issue of Duplicate Contract, Bills, statements etc Rs. 50/- per document type.
 - 4) Cheque Bounce/ Stop Payment charges Rs. 500/- + Tax per cheque.
 - 5) Brokerage shall not exceed maximum permissible limit as per rules & regulations of Exchange/SEBI.
 - 6) Delay Payment Charges On Outstanding Bill Amount If Not Paid Within Due Date :
1.5 % Per Month (Levied Every 15 Days)
 - 7) Rs. 20 + GST , Per debit instruction for utilization of NSE/BSE CUSA Pool Accounts.
 - 8) "Margin collateral charges @1% per month will be charged for all exchange segment".

| | |
|-----------|---|
| Name: | |
| Signature |  |
| Date: | |

RUNNING ACCOUNT AUTHORISATION**VOLUNTARY**

To,

ULJK FINANCIAL SERVICES PVT. LTD.

1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,


Re: Running Account Authorisation

In order to facilitate operations of my/our trading account opened, I/We would like to authorise ULJK Financial Services Pvt. Ltd. (hereinafter referred as "ULJK") to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct /revoke you otherwise.
2. I/We request you to settle my fund account as below: (Tick on appropriate option)

☐ **Monthly** ☐ **Quarterly**

3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
5. In case where I/we and I have traded within 30 calendar days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a ULJK may retain funds in the manner specified below:
 - i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
 - ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
 - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at registered office.
8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.

| | |
|-----------|---|
| Name: | |
| Signature |  |
| Date: | |

AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

To,

Date: _____

ULJK FINANCIAL SERVICES PVT. LTD.

1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.


I/We hereby agree and consent to receive from ULJK Financial Services Pvt. Ltd. (ULJK) the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/holding statement(s)/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and the rules made there under to my/our below mentioned E-mail Id/Mobile No.

E-Mail ID.: _____

Mobile No.: _____

I/We further hereby agree that ULJK shall fulfill the legal obligation, if the above documents are sent electronically to the said E-mail Id/Mobile No. and I/we am/are aware that I/we will not receive the statements/documents in paper form. In this regard, I/we further confirm and agree that: -

1. The above is my/our personal E-mail Id/Mobile No. The same has been created by me/us and not by someone else. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above-mentioned E-mail account. ULJK shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/documents may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/our aforesaid E- mail Id/SMS.
2. E-mails/ SMS sent to any of the above-mentioned E-mail accounts/Mobile No., which has not bounced back, shall be deemed to be duly delivered to me/us. I/We am/are aware that non-receipt of bounced email/SMS notification by the member shall amount to delivery of the Contract Note and other documents to the above-mentioned E-mail Id(s)/Mobile No.
3. ULJK shall not take cognizance of out-of-office/out of station auto replies and I/we shall be deemed to have received such electronic mails/SMS. Such Statements shall be deemed to have been delivered on the day when the E-mail/ SMS are sent by ULJK.
4. ULJK shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
5. ULJK shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from ULJK.
6. I/We shall inform ULJK by way of a letter in writing duly signed by me/us or informed through an internet platform if there is any change in the E-mail/Mobile No. given above.
7. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with ULJK. My/Our non-verification or not accessing the Statement on a regular basis shall not be a reason for disputing the same at any time.
8. Further I/we agree and undertake to indemnify ULJK and its group companies, that they will not be held liable/responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc. that may arise in future on account of my/our above authorization request.
9. Clients can view the digital contract notes using the username & password through the website apart from the contract notes sent to the client through mail/SMS.
10. The digital contract notes will be archived at an interval of 1 year. If the client intends to view the digital contract notes for a period prior to 1 year client may request for the same in writing.
11. In case of bounced E-mail/SMS, ULJK shall send physical copy of contract note to me/us within the stipulated time under the extant regulations of SEBI/stock exchanges.

| | |
|-----------|---|
| Name: | |
| Signature |  |

Family Declaration - Email/ Mobile Updation in Family Codes

(Compulsory in case having common email & mobile in more than one account in ULJK Financial Services Pvt. Ltd.)

To,
ULJK FINANCIAL SERVICES PVT. LTD.

Date: _____

1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.

Dear Sir/Madam,

Subject: Family Declaration for registering common Mobile / Email details

I request you to register the following mobile number and/or email id in my demat and/or trading account(s) to be opened with you.


Mobile No.: _____ Email ID: _____

I and my family members hereby request that mobile number and email id, as mentioned above shall be considered in your records for the purpose of receiving communication from ULJK Financial Services Pvt. Ltd. or Stock Exchanges/ Depositories with regard to trading/demat transactions executed by me/us through ULJK Financial Services Pvt. Ltd.

This facility shall be provided to me/us as an additional, for my/our convenience of receiving transaction details at a single mobile number and e-mail id. I/We understand that this facility is availed only by the family members where "family" means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines).

| Sr. No. | Client Name | Trading Code | BO ID | Relationship | Signature |
|---------|-------------|--------------|-------|------------------------------|-----------|
| 1. | | | | Self | |
| 2. | | | | Dependent Parent - Mother | |
| 3. | | | | Dependent Parent - Father | |
| 4. | | | | Spouse | |
| 5. | | | | Dependent Daughter | |
| 6. | | | | Dependent Son | |
| 7. | | | | | |
| 8. | | | | | |

Thanking You,

| | |
|-----------|---|
| Name: | |
| Signature |  |

BSE STAR MF/NSE MFSS**VOLUNTARY**

To,
ULJK FINANCIAL SERVICES PVT. LTD.

1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.

Sub: BSE STAR MF/NSE MFSS

Dear Sir/Madam,

I/We am/are registered as your client with Unique Client Code No. _____ and have executed the "Trading Member and Client Agreement" for the purpose of trading in the Capital Market segment of BSE Ltd. (BSE)/National Stock Exchange of India Ltd. (NSE).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF/NSE MFSS


For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stockbroking may be considered for the purpose of BSE STAR MF/NSE MFSS, and I/we further confirm that the details contained in the same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009, and as may be specified by the Exchange from time to time in this regard.

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

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

I/We, therefore, request you to register me/us as your client for participating in BSE STAR MF/NSE MFSS.

| | |
|-----------|---|
| Name: | |
| Signature |  |
| Date: | |

HUF DECLARATION

Date: _____

To,
ULJK FINANCIAL SERVICES PVT. LTD.
1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

I hereby request you to open our Trading account with you, for our HUF, Being Karta of my family, I hereby declare that following is the list of family members in our HUF.

| SR. NO. | NAME OF FAMILY MEMBERS | PAN | SEX | RELATIONSHIP | DATE OF BIRTH | SIGNATURE |
|---------|------------------------|-----|-----|--------------|---------------|-----------|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,
Yours faithfully,

Karta
(Affix stamp of HUF)




FEMA DECLARATION

To,
ULJK FINANCIAL SERVICES PVT. LTD.
1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.

This has reference to my/our application for opening of a trading & demat account with you.

In this connection, I/we hereby declare that I/we have complied and will continue to comply with FEMA Regulations with respect to buying and selling of securities in the Indian Capital Market.

Thanking you,
Yours truly,

| | First/Sole Holder | Second Holder | Third Holder |
|-----------|---|---|---|
| Name | | | |
| Signature |  |  |  |

Declaration to be given by partnership on Letter head of the firm

FORMAT

Date:

To,

ULJK FINANCIAL SERVICES PVT. LTD.

1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

We refer to the trading account being opened/opened with you in the name _____ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. _____ with depository _____ opened as a joint account in the names of the partner of the firm.

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

We hereby authorize _____, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with **ULJK FINANCIAL SERVICES PVT. LTD.** and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

| Name of Partners (In Block Letters) | Signatures |
|-------------------------------------|------------|
| | |
| | |

FORMAT OF RESOLUTION**FORMAT****ON LETTERHEAD OF COMPANY**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF _____ AT THEIR MEETING HELD ON _____.

RESOLVED THAT the Company do place orders with/give instructions to **ULJK Financial Services Pvt. Ltd.** for investment in securities market/dealing in Equities/Derivatives & other products in Derivatives & cash segment of BSE Limited (BSE) & National Stock Exchange of India Limited (NSE).

RESOLVED FURTHER THAT any one of the following Directors/Executives/Officers of the Company, whose specimen signatures are appended here under.

| No. | Name of Authorised person | Designation | Specimen Signature |
|-----|---------------------------|-------------|--------------------|
| | | | |
| | | | |
| | | | |

Be and are hereby authorized severally to

1. Sign, execute and deliver orders, instructions letters, notes, contracts, share transfer forms and such other documents as may deemed necessary from time to time for the aforesaid purpose, and
2. Take all such actions and do all such things, as may be deemed prudent, necessary and expedient for giving effects to the above resolution from time to time.

RESOLVED THAT Mr/Ms. _____ and / or _____. Authorised Signatory of _____ (the Company) whose specimen signatures are attested below be and are hereby authorised to sign, execute and submit applications, undertakings, agreements and other requisite documents as may deemed necessary for KYC applications with CVLKRA.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution canceling or amending the same is passed by the Board of Directors of the Company is furnished to **ULJK Financial Services Pvt. Ltd.**

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the Company be furnished to **ULJK Financial Services Pvt. Ltd.** and such other parties as may be required from time to time.

CERTIFIED AS TRUE COPY OF THE ORIGINAL

Director

ON THE LETTER HEAD OF COMPANY:
(For Corporates)

FORMAT

Certificate dated _____

submitted by _____ to

SHARE HOLDING PATTERN of _____ as on _____

EQUITY / PREFERENCE (Please indicate and use separate sheets for equity/preference shares)

| Sr. No. | Name \$ | Number of shares held | Face value per share | Amt Paid up (Rs. In lakh) | % of total |
|---------|---------|-----------------------|----------------------|---------------------------|------------|
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| Others | | | | | |
| TOTAL | | | | | 100 % |

\$ All initials to be expanded

NOTES :

Persons holding 5% or more of the paid up capital should be shown separately and not clubbed in Others.

Date :

Place : Authorised Signatory/Director (s)

CERTIFICATE

This is to certify that the shareholding in _____ as given above, based on my/our scrutiny of the books of accounts, records and documents it true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

For (Name of Accounting Firm)

Date:

Name of Partner/Proprietor

Chartered Accountant

Membership Number

(Please consult your professional tax advisor for further guidance on your tax residency FATCA/CRS Guidance)

PAN Client Code Name Gender M F OType of address given at KYC KRA Residential Residential & Business Business Place of Birth Country of Birth Nationality

| | | | | |
|--|--------------|------------|-------------------|--|
| Gross Annual Income Details in INR | Below 1 Lakh | 5-10 Lakh | 25 Lakh - 1 Crore | Networth in INR in Lakhs Rs.: <input type="text"/> Net worth as on <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| | 1-5 Lakh | 10-25 Lakh | > 1 Crore | |

| | | | | | |
|-----------------------|--|--------------------|---------------|-----------|--------------|
| Occupation Details | Business | Professional | Public Sector | Housewife | Retired |
| | Private Sector | Government Service | Agriculturist | Student | Forex Dealer |
| | Others (Please specify) <input type="text"/> | | | | |


Politically Exposed Person (PEP) Yes Related to PEP Not Applicable Are you a tax resident of any country other than India? Yes No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

| Country* | Tax identification Number# | Identification Type (TIN or Other, please specify) |
|----------|----------------------------|---|
| | | |
| | | |
| | | |
| | | |

* To also include USA, where the individual is a citizen / green card holder of The USA

In case Tax identification Number is not available, kindly provide its functional equivalent \$

| Certification | Signature |
|---|--|
| I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same. |  |
| | DATE <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| | PLACE <input type="text"/> |

For investor convenience, ULJK Financial Services Pvt. Ltd. is collecting this mandatory information for updating across all account in Equity, Commodity etc...

Please submit the form duly filled, signed, for all the holders, separately and submit it to our office at: ULJK Financial Services Pvt. Ltd., 1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.

FATCA & CRS Terms & Conditions

Details under FATCA & CRS. The Central Board of Direct Taxes has notified Rulers 114F to 114H, as part of the Income Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the propose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

For Non-Individuals

Details of ultimate beneficial owner including additional FATCA & CRS information

*Name of the entity

Type of address given at KYC KRA Residential & Business Residential Business Regd. Off.

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Customer ID/Folio Number

PAN

Date of Incorporation DD / MM / YYYY

City of incorporation

Country of incorporation

Entity Constitution Type

Please tick as appropriate

☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company
☐ Society ☐ Aop/BoiSociety ☐ Trust H Liquidator ☐ Limited Liability Partnership
☐ Artificial Judicial Person ☐ Others specify

Please tick the applicable tax resident declaration

Yes

No

1. Is Entity* a tax resident of any country other India.

Yes

No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

| Country | Tax identification Number# | Identification Type (TIN or Other, please specify) |
|---------|----------------------------|---|
| | | |
| | | |
| | | |
| | | |

In case Tax identification Number is not available, kindly provide its functional equivalent \$

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation/Tax residence is U.S. but entity is not a Specified U.S. Person, mention Entity's exemption code here

FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a,
Financial institution ☒
or
Direct reporting NFE ☒
(please tick as appropriate)

GIIN

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity

GIIN not available (Please tick as applicabe) ☒ Applied forIf the entity is a financial institution, ☒ Not required to apply for-please specify 2 digits sub-category☒ Not obtained-Non participating FI

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

| | | |
|----|---|--|
| 1. | Is the Entity a publicly traded company' (that is, a company whose shares are regularly traded on a established securities market) | Yes <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____ |
| 2. | Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) | Yes <input checked="" type="checkbox"/> (If yes, please specify name of the listed company any one stock exchange on which the stock is regularly traded) Name of listed company _____ Name of relation: <input type="checkbox"/> Subsidiary of the listed Company or <input type="checkbox"/> Controlled by a listed Company Name of stock exchange _____ |
| 3. | Is the Entity an active NFE | Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/> |
| 4. | Is the Entity an passive NFE | Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____ |

UBO Declaration

Category (Please tick applicable category) ☐ Unlisted Company ☐ Partnership Firm
☐ Limited Liability Partnership Company ☐ Unincorporated association/body of individuals
☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust
☐ Others (please specify) _____

Please list below the details of controlling person(s), confirming ALL countries of tax residency/permanent residency/citizenship and ALL Tax identification Numbers for EACH controlling person(s).

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

| Name - Beneficial owner / Controlling person | Tax ID Type - TIN or other, please specify. | Tax ID Type - TIN or other, please specify |
|---|---|--|
| Country - Tax Residency | Beneficial Interest - in percentage | Beneficial Interest - in percentage |
| Tax ID No. - or functional equivalent for each country" | Type Code - of controlling person" | Type Code - of controlling person" |
| 1. Name _____ Country _____ Tax ID No. _____ | Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office | Address _____ ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: _____ Country: _____ |
| 2. Name _____ Country _____ Tax ID No. _____ | Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office | Address _____ ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: _____ Country: _____ |
| 3. Name _____ Country _____ Tax ID No. _____ | Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office | Address _____ ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: _____ Country: _____ |

If passive NFE, please provide below additional details.

PAN/Any other Identification Number

(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)

City of Birth - Country of Birth**Occupation Type - Service, Business, Others****Nationality****Father's Name - Mandatory if PAN is not available****DOB - Date of Birth****Gender - Male, Female, Others**

| | | | | | | | | | | | | | | |
|------------------|--|-----------------|--|--|--|---|--|---|---|---|---|---|---|---|
| 1. PAN | | Occupation Type | | DOB | D | D | / | M | M | / | Y | Y | Y | Y |
| City of Birth | | Nationality | | Gender | Male <input checked="" type="checkbox"/> | | Female <input checked="" type="checkbox"/> | | | | | | | |
| Country of Birth | | Father's Name | | Others <input checked="" type="checkbox"/> | | | | | | | | | | |
| 2. PAN | | Occupation Type | | DOB | D | D | / | M | M | / | Y | Y | Y | Y |
| City of Birth | | Nationality | | Gender | Male <input checked="" type="checkbox"/> | | Female <input checked="" type="checkbox"/> | | | | | | | |
| Country of Birth | | Father's Name | | Others <input checked="" type="checkbox"/> | | | | | | | | | | |
| 3. PAN | | Occupation Type | | DOB | D | D | / | M | M | / | Y | Y | Y | Y |
| City of Birth | | Nationality | | Gender | Male <input checked="" type="checkbox"/> | | Female <input checked="" type="checkbox"/> | | | | | | | |
| Country of Birth | | Father's Name | | Others <input checked="" type="checkbox"/> | | | | | | | | | | |

Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.

* To include US, where controlling person is a US citizen or green card holder

" In case Tax Identification Number is not available, kindly provide functional equivalent.

FATCA & CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rulers 114F to 114H, as part of the Income-Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the propose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days.

Please note that you may receive more than one request for information. If you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name**Designation**

Place: _____

Date: _____

First Director/Partner/Trustee Second Director/Partner/Trustee Third Director/Partner/Trustee

Annexure-A
Investor Charter – Stock Brokers

VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

MISSION

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.

Services provided to Investors

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client's funds.
- Intimation of securities held in Client Unpaid Securities Account (CUSA) Account.
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor's grievances.

Rights of Investors

- Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- Receive complete information about the risks, obligations, and costs of any investment before investing.
- Receive recommendations consistent with your financial needs and investment objectives.
- Receive a copy of all completed account forms and agreements.
- Receive account statements that are accurate and understandable.
- Understand the terms and conditions of transactions you undertake.
- Access your funds in a timely manner and receive information about any restrictions or limitations on access.
- Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- Discuss your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

Various activities of Stock Brokers with timelines

| S.No. | Activities | Expected Timelines |
|-------|---|--|
| 1. | KYC entered into KRA System and CKYCR | 10 days of account opening |
| 2. | Client Onboarding | Immediate, but not later than one week |
| 3. | Order execution | Immediate on receipt of order, but not later than the same day |
| 4. | Allocation of Unique Client Code | Before trading |
| 5. | Copy of duly completed Client Registration Documents to clients | 7 days from the date of upload of Unique Client Code to the Exchange by the trading member |
| 6. | Issuance of contract notes | 24 hours of execution of trades |
| 7. | Collection of upfront margin from client | Before initiation of trade |
| 8. | Issuance of intimations regarding other margin due payments | At the end of the T day |
| 9. | Settlement of client funds | 30 days / 90 days for running account settlement (RAS) as per the preference of client. If consent not given for RAS – within 24 hours of pay-out |
| 10. | 'Statement of Accounts' for Funds, Securities and Commodities | Weekly basis (Within four trading days of following week) |

| S.No. | Activities | Expected Timelines |
|-------|---|--|
| 11. | Issuance of retention statement of funds/ commodities | 5 days from the date of settlement |
| 12. | Issuance of Annual Global Statement | 30 days from the end of the financial year |
| 13. | Investor grievances redressal | 30 days from the receipt of the complaint |

DOs and DON'Ts for Investors

| DOs | DON'Ts |
|--|--|
| <ol style="list-style-type: none"> 1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product/operational framework/timelines related to various Trading and Clearing & Settlement processes. 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions. 6. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI/Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted. 7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades. 8. Receive funds and securities/commodities on time within 24 hours from pay-out. 9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges. 10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (30 or 90 days). 11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines. | <ol style="list-style-type: none"> 1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form. 4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system. 5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker. 6. Do not ignore any emails/SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed. 7. Do not opt for digital contracts, if not familiar with computers. 8. Do not share trading password. 9. Do not fall prey to fixed/guaranteed returns schemes. 10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/securities promising huge profits. 11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments. |

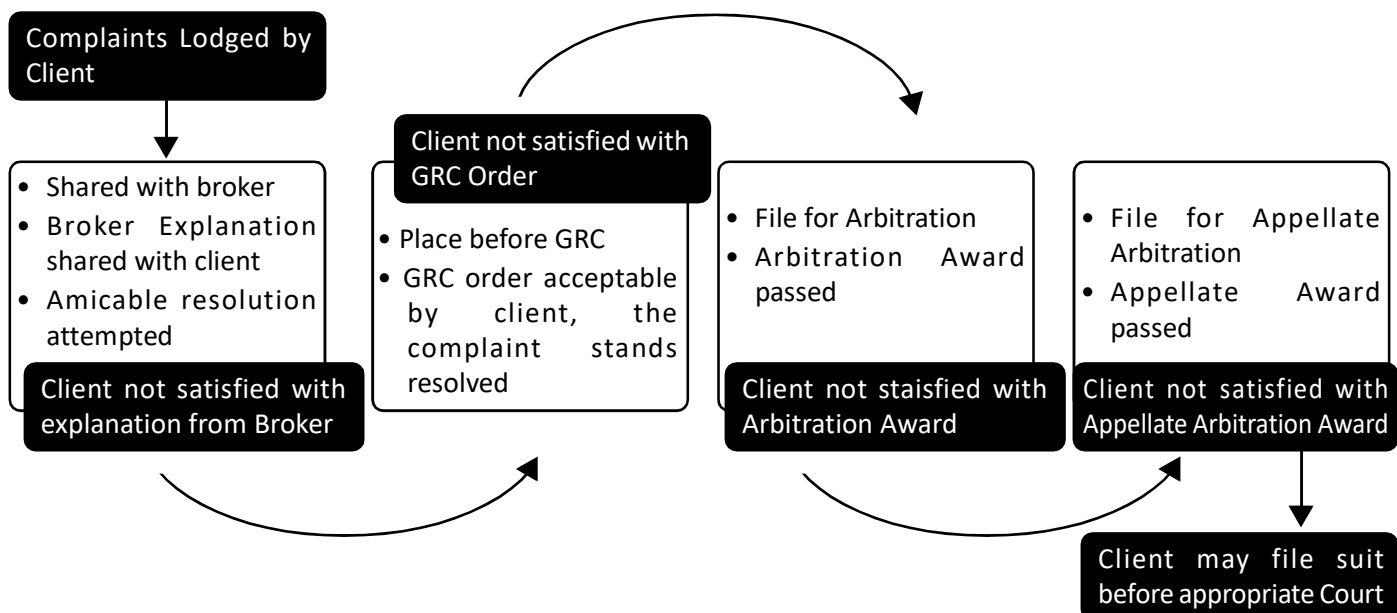
Grievance Redressal Mechanism

Level 1 – Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

Level 2 – Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

Level 3 – The complaint not redressed at Stock Broker/Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

Complaints Resolution Process at Stock Exchange explained graphically:



Timelines for complaint resolution process at Stock Exchanges against stock brokers

| S.No. | Type of Activity | Timelines for activity |
|-------|---|---|
| 1. | Receipt of Complaint | Day of complaint (C Day) |
| 2. | Additional information sought from the investor, if any, and provisionally forwarded to stock broker. | C + 7 Working days. |
| 3. | Registration of the complaint and forwarding to the stock broker. | C + 8 Working Days i.e. T day. |
| 4. | Amicable Resolution. | T + 15 Working Days. |
| 5. | Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution. | T + 16 Working Days. |
| 6. | Complete resolution process post GRC. | T + 30 Working Days. |
| 7. | In case where the GRC Member requires additional information, GRC order shall be completed within. | T + 45 Working Days. |
| 8. | Implementation of GRC Order. | On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order. |
| 9. | In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration | Within 7 days from receipt of order |
| 10. | If intention from stock broker is received and the GRC order amount is upto Rs. 20 lakhs | Investor is eligible for interim relief from Investor Protection Fund (IPF). The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor. |
| 11. | Stock Broker shall file for arbitration | Within 6 months from the date of GRC recommendation |
| 12. | In case the stock broker does not file for arbitration within 6 months | The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any. |

Handling of Investor's claims/complaints in case of default of a Trading Member/Clearing Member (TM/CM) Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

**INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002
(APPLICABLE TO INDIVIDUAL CLIENTS - FIRST HOLDER)**

CLIENTS DETAILS

| | |
|------------------------------------|---|
| Experience | Number of years of Investment / Trading Experience <input type="checkbox"/> <input type="checkbox"/> Any other Information |
| Education | <input type="checkbox"/> Non-Metric <input type="checkbox"/> SSC/HSC <input type="checkbox"/> Graduate <input type="checkbox"/> Lawyer <input type="checkbox"/> Other Specify |
| Residential Details | <input type="checkbox"/> Owned <input type="checkbox"/> Rented |
| Source of Income (Fund Details) | Do you intend to invest in stock market with: <input type="checkbox"/> Own Funds <input type="checkbox"/> Borrowed Funds a) Primary Source <input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Other Specify _____ b) Secondary Source <input type="checkbox"/> Royalties <input type="checkbox"/> Rental <input type="checkbox"/> Dividend <input type="checkbox"/> Other Specify _____ |

DETAILS OF RELATIVES, HAVING ACCOUNT WITH ULJK FINANCIAL SERVICES PVT. LTD.

(use Additional Sheet if more than 1 relatives having A/c.)

| | |
|--------------|---|
| Name | |
| Relationship | |
| UCC | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

Risk Assessment of Client in terms of PMLA 2002

| Type of Client | High Risk | Low Risk | Medium Risk | CSC (Client Special Category) | PEP (Politically Exposed Person) |
|----------------|-----------|----------|-------------|-------------------------------------|--|
| | | | | | |

at the time of account opening

| |
|--|
| |
|--|

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with ULJK Financial Services Pvt. Ltd.

For ULJK FINANCIAL SERVICES PVT. LTD.

Authorised Signatory

Acknowledgement

To,
ULJK Financial Services Pvt. Ltd.

1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001.


I/We hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:

- Account Opening Form
- Tariff Sheet
- Right and Obligations of Equity Market
- Risk and Disclosure document for Equity Market.
- Policies and Procedures
- Option Trading Form and Additional Risk Disclosure Document related to option trading.
- Guidance Note - Do's and Don'ts for trading on the Exchange(s) for Investors.
- Other disclosure/documents as agreed by me specifically in voluntary segment.

I/We am/are abiding by these terms & conditions. I/We reconfirm that I/we, Equity Broker shall refer any claim and/or disputes with respect to trade, deposits, margin money, etc to arbitration as per the Rules, Byelaws, and Regulation of the Exchanges and the circulars/notices issued there under as may be in force from time to time.

I/We also confirm that it is informed that the Risk Disclosure Document, Right and Obligations, Do's and Don'ts and other relevant documents are also available on member's website.

Yours faithfully,

| | |
|-----------|---|
| Name | |
| Signature |  |

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