

SMK SHARES & STOCK BROKING PVT. LTD.

MEMBER: BOMBAY STOCK EXCHANGE LIMITED.

MEMBER: NATIONAL STOCK EXCHANGE OF INDIA LTD.

DEPOSITORY PARTICIPANT : CDSL

CLIENT REGISTRATION FORM

Client Name : _____

Client Code : _____ **Banch :** _____

Dealer Name: _____ **Dealer Code :** _____

Regd. Off.: 224, P. J. Tower, Dalal Street, Fort, Mumbai - 400 001. Telephone No : 2272 1175 / 76
Corp. Off. : 617, 6th Floor, Palm Spring Centre Link Road, Near D-mart, Malad (West), Mumbai - 400 064.
Tel.: 40507777/28801777 Fax : 40507771 Email: smkinvestorgrievance@rediffmail.com Website: www.smkshares.com

**INSTRUCTIONS & CHECK LIST FOR FILLING
INDIVIDUAL CLIENT REGISTRATION FORM**

1. Each client has to use one client registration form. In case of joint names/family members please submit separate client registration form for each person
- 2 Please fill up form in capital letter
- 3 All columns must be compulsorily filled up, score off blank spaces or write not applicable
- 4 Please sign at all the places where I (initial signature) & S (full signature) is marked on all the pages including over the photograph.
- 5 Please countersign any over writing
- 6 Please enclose Self certified photo copy of following documents along with client registration form

(1) PAN Card

(2) Identity proof (any one):

- (a) copy of valid passport
- (b) copy of valid driving license
- (c) copy of voter's card

(3) Address Proof (any one):

- (a) Copy of ration card
- (b) Electricity Bill (should not be more than three month old)
- (c) Any landline telephone bill (should not be more than three month old)
- (d) Flat maintenance bill (containing the above address)
- (e) Copy of Rent Agreement
- (f) Copy of Insurance Policy

(4) Proof of bank account:

- (a) Copy of bank statement/pass book (with entries not older than three months)
- (b) A cancelled cheque leaf containing pre printed name of the client.

(5) Copy of client master or latest transaction statement of Demat Account.

Note: In case of more than one bank account or demat account give details & proof of all account. If any information required to be given does not fit in the form, annexure may be used.

(6) Financial details : (Compulsory for trading in Derivatives Segment- Illustrative List:

- | | |
|--|--|
| 1. Copy of ITR Acknowledgement | 2. Copy of Annual Accounts |
| 3. Copy of Form 16 in case of Salary Income | 4. Net Worth Certificate |
| 5. Salary Slip | 6. Bank Account Statement for last 6 month |
| 7. Copy of Demat Account Holding Statement | 8. Any other relevant documents substantiating ownership of Assets |
| 9. Self declaration along with relevant supporting documents | |

7 Originals will be required for verification at the time of submission of the Application

8 Information tendered herein is the Sole Property of SMK SHARES & STOCK BROKING PVT. LTD. & would not be disclosed to any one unless required by law or except with the express permission of clients.

INDEX

PART I : MANDATORY DOCUMENTS

Sr. No.	Document	Brief Significance	Pages From - To	Whether Mandatory/ Voluntary
1	Individual Client Registration Form	Form for providing details of the individual client to the member	1-4	Mandatory
2	Non Individual Client Registration Form	Form for providing details of the non-individual client to the member	5-12	Mandatory
3	Member Client Agreement - BSE	Agreement between member and client for trading in BSE	13-15	Mandatory
4	Member Client Agreement - NSE	Agreement between member and client for trading in NSE	16-18	Mandatory
5	Combined Risk Disclosure Document	Document informing the client of the risk associated in dealings in securities	19-23	Mandatory
6	Policies and Procedures for client dealings	Various policies and procedures of the Trading Member relating to dealings with the clients	24-26	Mandatory
7	Additional literature for AML requirements	Information about Anti Money Laundering	27-29	Mandatory
8	KYC Acknowledgment Letter	Receipt of Copy of know your Client Form (KYC)	30	Mandatory

PART II : VOLUNTARY DOCUMENTS

9	Running Account Authorizations	Authority to the Trading Member to maintain a running account	31	Voluntary
10	Concent for ECN		32	Voluntary
11	Family Account Adjustment		33	Voluntary
12	Knowledge Centre	Do's & Don'ts in Capital Market	34	Voluntary
15	Various formats for reference			

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INDIVIDUAL CLIENT REGISTRATION FORM

To,
SMK SHARES & STOCK BROKING PVT. LTD.

(Member of Bombay Stock Exchange Limited)

(Member of National Stock Exchange of India Limited)

Regd. Off.: 224, P. J. Tower, Dalal Street, Fort, Mumbai - 01.

Tel. No : 2272 1175 / 2272 1176

Corp. Off.: 617, 6th Floor, Plam Spring Center Link Road,
Near D-mart, Malad (West), Mumbai - 64.

Tel.: 40507777 / 28801777 Fax : 40507771

CASH SEGMENT

BSE SEBI Regn. No. : INB010986030

NSE SEBI Regn. No. : INB230986037

BSE Clearing No. : 0777

NSE Clearing No. : 09860

Add Affix recent
photograph
Please sign across the
photograph

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Dear Sir/Madam,

I request you to register me as your client and enable me to trade in the Cash Segment of National Stock Exchange of India Ltd. and Bombay Stock Exchange Limited. I have read the Rules, Bye-laws and Regulations of the National Stock Exchange of India Ltd. and Bombay Stock Exchange Limited. I have also read risk disclosure document & client broker agreement attached herewith and I agree to abide by them. In this regard, I give the following information:

1.	Name of the Client	:			
(a)	As preferred by the Client	:	(Surname)	(Name)	(Middle Name)
(b)	As appearing on the PAN Card	:			
(c)	As appearing on Income Tax Database	:			
2.	Unique Identification No. (Where obtained)	:			
3.	PAN No.	:			
4.	Date of Birth	:			
5.	Gender	:	Male / Female		
6.	Marital Status	:	Single / Married / Divorced / Widowed		
7.	Educational Qualification	:			
8.	Residential Status	:	Resident Indian / Non-Resident Indian / Other		
9.	NRI Customers under RBI PIS Scheme (RBI PIS permission details)	:			
10.	Address	:			
	Residence	:			
	State	:	Country :	Nationality :	
	Tel.No.	:	Fax No.		
	E-mail	:	Mobile No.		
11.	Correspondence Address (if different from above then enclosed valid proof)	:			
12.	Occupation (Tick Whichever is applicable)	:	<input type="checkbox"/> Employed	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Business
		:	<input type="checkbox"/> Professional	<input type="checkbox"/> House-Wife	<input type="checkbox"/> Other
13.	Office Name & Address If Employed / Self Employed / Business / Professional	:			
	City	:	Pin Code :		
	State	:	Country :		
	Tel. No. :	:	Fax No.:		

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14. Financial Details of the Constituent : Income Range (Per Annum) (Tick Where applicable)
- | | | | |
|----------------|----|----------------|--------------------------|
| Below | | Rs.1,00,000/- | <input type="checkbox"/> |
| Rs.1,00,000/- | To | Rs.5,00,000/- | <input type="checkbox"/> |
| Rs.5,00,000/- | To | Rs.10,00,000/- | <input type="checkbox"/> |
| Rs.10,00,000/- | To | Rs.25,00,000/- | <input type="checkbox"/> |
| Above | | Rs.25,00,000/- | <input type="checkbox"/> |

- 14.a) Networth (self declaration) : _____
as on _____
15. Are you or have you 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? If yes, please give details
- _____
- _____

- 15.a) Are you a family member and/ or close relative of a person of 15 above? If yes, please give details
- _____
- _____

16. Particulars Bank Account : (Through which transactions will generally be routed)
- Name of the Bank : _____
- Branch : _____
- Address of Bank with Tel. No. : _____
- Account No. : _____
- Type of Account : ☐ Saving ☐ Current ☐ NRI ☐ OD ☐ Others
- IFSC Code : _____ MICR Code : _____

17. Particulars of Demat Account : (All the Pay-Out will be transfered to Serial No.1)

	Client ID	DP ID	DP Name
1			
2			
3			
4			

18. Investment/Trading Experience : No Prior Experience
- : _____ Years in Stock
- : _____ Years in Derivatives
- : _____ Years in Other investment related field

19. Trading Preference

Exch / Segment	Cash	Derivatives	Mutual Funds
BSE/NSE			

Kindly put a tick in exchange segment combination in which client wants to trade, and a cross where the client does not want to trade. In case an exchange/ segment combination is crossed off, the same would be activated in the future only on a specific letter from the client

20. Whether register with any other Broker-Member(s) : (If registered with multiple member, Provide Details of all)
- Name of the Member : _____
- Name of the Exchange : _____ BSE / NSE
- Client Code No. : _____
21. Details of any action taken by SEBI/Stock exchange / RBI / any other financial sector regulator for violation of securities laws/ other economic offences.
- A. In the last three years : _____
- B. Prior to that : _____
22. **Reference** : _____
- Introduction : Introduced by another constituent / Partner or Employee of trading member / any other person
- Name of the Introducer : _____
- (Surname) (Name) (Middle Name)
- Signature : _____
- UCC of the Introducer (if registered with the Trading Member) : _____
- In case the Introducer is not registered with the Trading Member, kindly provide PAN number and address details of the introducer
- Introducer PAN Number (Kindly enclose copy of PAN card) : _____
- Introducer Address (Kindly enclose proof of address) : _____
23. **In-Person verification & Interview details : For SMK SHARES & STOCK BROKING PVT. LTD.**
- Name of the Employee : _____
- Designation : _____
- Signature of Employee : _____
- Date & Stamp : _____
24. **Nomination : Person nominated who is entitled to receive funds/securities balances in the event of death of the client.**
- Name of Nominee : _____
- Relationship with the client : _____
- Address of Nominee : _____
- Witness - 1**
- Name : _____
- Address : _____
- Signature : _____
- Witness - 2**
- Name : _____
- Address : _____
- Signature : _____

25. Purpose and intended nature of the business relationship (as per PMLA requirements) :

26. Account settlement (as per SEBI requirement) : _____ Once a month / Once a quarter

Declaration / Undertaking:

I / We hereby undertake that the details furnished below by me are true to the best of my knowledge and belief. In case if any of the information below or information provided in the Annexures is/are found to be false or untrue then I will be held liable & responsible for it. I understand & agree that if any of the statement are found to be incorrect or false or any information or particulars have been closed or omitted therefrom I will be liable to be debarred from doing business on the Exchange. I also agree to provide such further information required by you or the Exchange or any other authority as required under Law, from me. I undertake to inform you of any changes in the information provided herein and in the Annexures, immediately in writing. I further undertake to pay margins as per Rules, Bye-Laws & Regulations of CM segment the Exchange from time to time against my open positions. I hereby confirm and declare that the Member has informed me that they do client based business & proprietary trading as well. I hereby confirm that I have taken note of the same & acknowledged the same.

SIGNATURE : **S** 633 _____

NAME : _____

PLACE : _____

DATE : _____

FOR OFFICE USE ONLY

Unique Constituent Code : _____

Original Documents Verified By : _____

Website tally of PAN Number By : _____

Signature of employee with date : _____

Risk Profile of Client :

Low / Medium / High

INSTRUCTIONS & CHECK LIST FOR FILLING NON-INDIVIDUAL CLIENT REGISTRATION FORM

1. Please fill up form in capital letter
2. All columns must be compulsorily filled up, score off blank spaces or write not applicable
3. Please sign at all the places where I (initial signature) & S (full signature) is marked on all the pages with seal of company.
4. Please countersign any over writing
5. Please enclose Self certified photo copy of following documents along with client registration form

<u>Types of entity</u>	SEBI/ Exchanges/ Trading Member requirements	FIU/ PMLA requirements
<u>In all cases</u>	(i) Copies of the balance sheet for the last 2 financial years (copies of annual balance sheet to be submitted every year) (ii) Copy of a cancelled cheque containing preprinted name of the client and ISFC Code (in case the cancelled cheque does not contain the name of the client and/or ISFC Code, extra documentary proof from the bank for the same) (iii) Demat Master issued by the DP bearing DP Stamp/ Recent holding statement containing the name of the client (iv) Resolution on letterhead Note: In case of more than one bank account or demat account give details & proof of all account. If any information required to be given does not fit in the form, annexure may be used.	
<u>Company</u>	(i) Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the company secretary/ Wholetime director/ MD/ CA (copy of updated shareholding pattern to be submitted every year)	<u>THREE CERTIFIED COPIES OF</u> (i) Certificate of incorporation; (ii) Memorandum and Articles of Association; (iii) A resolution from the Board of Directors and power of attorney granted to its managers, officers or employees to transact on its behalf
<u>Partnership Firm</u>	(i) Copy of latest profit sharing ratio of all those holding more than 5% share in the profits duly certified by the partner(s) (copy of updated profit sharing ratio to be submitted every year)	<u>THREE CERTIFIED COPIES OF</u> (i) Registration certificate; (ii) Partnership deed; and (iii) An officially valid document in respect of the person holding an attorney to transact on its behalf.
<u>Trusts</u>	(i) List of Trustees certified by managing trustee/ CA	<u>THREE CERTIFIED COPIES OF</u> (i) Registration certificate; (ii) Trust deed; and (iii) An officially valid document in respect of the person holding an attorney to transact on its behalf
<u>AOP/BOI</u>	(i) List of Managing Body duly certified by office bearer/ CA	<u>THREE CERTIFIED COPIES OF</u> (i) Resolution of the managing body of such association or body of individuals; (ii) Power of attorney granted to him to transact on its behalf;

<u>AOP/BOI</u>		<p>(iii) An officially valid document in respect of the person holding an attorney to transact on its behalf; and</p> <p>iv) Such information as may be required by the banking company or the financial institution or the intermediary to collectively establish the legal existence of such an association or body of individuals.</p>
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6. Also enclose Self certified photo copy of following documents of directors/authorized person/partner
 - (a) Photo copy of PAN Card
 - (b) Any one identity Proof like copy of valid passport/driving license/voter card
 - (c) Any one Address Proof like copy of Ration card/Electricity Bill/land line telephone bill.
 - (d) Copy of bank statement / pass book
7. Originals will be required for verification at the time of submission of the application.
8. Information tendered herein is the Sole Property of SMK Shares & Stock Broking Pvt. Ltd. & would not be disclosed to any one unless required by law or except with the express permission of clients.

NON - INDIVIDUAL CLIENT REGISTRATION FORM

To,
SMK SHARES & STOCK BROKING PVT. LTD.
(Member of Bombay Stock Exchange Limited)
(Member of National Stock Exchange of India Limited)
Regd. Off.: 224, P. J. Tower, Dalal Street, Fort, Mumbai - 01.
Tel. No : 2272 1175 / 2272 1176
Corp. Off.: 617, 6th Floor, Plam Spring Center Link Road,
Near D-mart, Malad (West), Mumbai - 64.
Tel.: 40507777 / 28801777 Fax : 40507771

CASH SEGMENT

BSE SEBI Regn. No. : INB010986030
NSE SEBI Regn. No. : INB230986037
BSE Clearing No. : 0777
NSE Clearing No. : 09860

Dear Sir/Madam,

I/We request you to register me/us as your client and enable me/us to trade in the Cash Segment of National Stock Exchange of India Ltd. and Bombay Stock Exchange Limited. I/We have read the Rules, Bye-laws and Regulations of the National Stock Exchange of India Ltd. and Bombay Stock Exchange Limited. I/We have also read risk disclosure document & client broker agreement attached herewith and I/We agree to abide by them. In this regard, I/We give the following information:

1. Name of the Company/Firm/HUF : _____
2. Unique Identification No. (Where obtained) : _____
3. Registered Office Address : _____

State : _____ Country : _____
Tel.No. : _____ Fax No. _____
E-mail : _____ Mobile No. _____
Correspondence Address (if different from
above then enclosed valid proof) : _____

State : _____ Country : _____
Tel.No. : _____ Fax No. _____
E-mail : _____ Mobile No. _____
4. Date of Incorporation/ Formation : _____
5. Date of Commencement of Business : _____
6. Nature of Business : _____
7. Registration No. (with ROC, SEBI or any Govt. authority) : _____
8. PAN No. : _____
9. Name & Residential Address of Promoters (In case of Company), Karta & Co-parceners (In case of HUF), Partners (In case of Partnership Firm) : Kindly provide in Annexure for Natural Persons
10. Name & Residential Address of Directors : Kindly provide in Annexure for Natural Persons
11. Names and Designation of persons authorised to deal in securities on behalf of the Company/firm/others and their residential address : Kindly provide in Annexure for Natural Persons
12. Shareholding Pattern/ Profit Sharing Ratio : _____
13. Income as per IT Return Give last three years details : _____

14. Networth as on _____ : _____
15. **Particulars of Bank Account** (Through which transactions will generally be routed)
- Name of the Bank : _____
- Branch : _____
- Address of Bank with Tel. No. : _____
- Account No. : _____
- Type of Account : ☐ Saving ☐ Current ☐ NRI ☐ OD ☐ Others
- IFSC CODE : _____ MICR Code : _____

16. **Particulars of Demat Account : (All the Pay-Out will be transfered to Serial No.1)**

Client ID	DP ID	DP Name

17. Investment/Trading Experience : No Prior Experience
- : _____ Years in Stock
- : _____ Years in Derivatives
- : _____ Years in Other investment related field

18. **Trading Preference**

Exch / Segment	Cash	Derivatives	Mutual Funds	
BSE/NSE				

Kindly put a tick in exchange segment combination in which client wants to trade, and a cross where the client does not want to trade. In case an exchange/ segment combination is crossed off, the same would be activated in the future only on a specific letter from the client.

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(Signature of the client)

19. **Whether register with any other Broker-Member(s) : (If registered with multiple member, Provide Details of all)**

- Name of the Member : _____
- Name of the Exchange : _____ BSE / NSE
- Client Code No. : _____

20. **Details of any action taken by SEBI/Stock exchange/any other authority against the constituent or its Partners/Promoters / Whole time Directors / authorised person in charge of dealing in securities for violation of securities laws / other economic offences**

- A. In the last three years : _____
- B. Prior to that : _____

21. **References**

- Introduction : Introduced by another constituent / Partner or Employee of trading member / any other person

Name of the Introducer

(Surname)

(Name)

(Middle Name)

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Signature : _____
UCC of the Introducer (if registered with the Trading Member) : _____

In case the Introducer is not registered with the Trading Member, kindly provide PAN number and address details of the introducer

Introducer PAN Number (Kindly enclose copy of PAN card) : _____

Introducer Address (Kindly enclose proof of address) : _____

22. In-Person verification & Interview details : For SMK SHARES & STOCK BROKING PVT. LTD.

Name of the Employee : _____

Designation : _____

Signature of Employee : _____

Date & Stamp

23. Purpose and intended nature of the business relationship (as per PMLA requirements) : _____

24. Account settlement (as per SEBI requirement) : _____ Once a month / Once a quarter

Declaration / Undertaking:

I / We hereby undertake that the details furnished below by me are true to the best of my knowledge and belief. In case if any of the information below or information provided in the Annexures is/are found to be false or untrue then I will be held liable & responsible for it. I understand & agree that if any of the statement are found to be incorrect or false or any information or particulars have been closed or omitted therefrom I will be liable to be debarred from doing business on the Exchange. I also agree to provide such further information required by you or the Exchange or any other authority as required under Law, from me. I undertake to inform you of any changes in the information provided herein and in the Annexures, immediately in writing. I further undertake to pay margins as per Rules, Bye-Laws & Regulations of CM segment the Exchange from time to time against my open positions. I hereby confirm and declare that the Member has informed me that they do client based business & proprietary trading as well. I hereby confirm that I have taken note of the same & acknowledged the same.

SIGNATURE : **S** 1033 _____

SIGNATURE OF AUTHORISED PERSON WITH COMPANY SEAL

NAME : _____

PLACE : _____

DATE : _____

FOR OFFICE USE ONLY

Unique Constituent Code : _____

Original Documents Verified By : _____

Website tally of PAN Number By : _____

Signature of employee with date : _____

Risk Profile of Client :

Low / Medium / High

ANNEXURE FOR NATURAL PERSONS

Name of the Person	Designation/ Relationship with the client	If existing client of member, UCC	In case not an existing client	
			Identity details (PAN No/ DIN no./ other officially valid documents) #	Residential Address

Kindly enclose documentary proof

Kindly provide the details of the following persons above:

In case of body corporate

Persons holding more than 5% of the shareholding directly or indirectly

All the Directors

Persons authorized to transact on behalf of the company

In case of Partnership firms/ LLPs

All the partners

Persons authorized to transact on behalf of the firm

In case of HUF

Karta

All other co-parceners

Persons authorized to transact on behalf of the HUF

In Case of Association of Persons(AOP)/ Body of Individuals (BOI)

Members of the Managing Body (by whatever name called)

Persons authorized to transact on behalf of the AOP/ BOI

In Case of Trusts

All the Trustees

All persons authorized to transact on behalf of the Trust

In all other cases

All persons authorized to transact on behalf of the client/ main managerial personnel

Annexure

(Personal Details of Director / Partner / Promoter / Authorised Signatory/ Trustee / Karta)

In connection with the Client Registration Application submitted to you by _____

of which I am a director / partner / promoter / authorised signatory / Trustee / Karta _____

I furnish you the following **personal details** relating to me :

1. Full Name : _____
2. Date of Birth : _____
3. Gender : _____ Male / Female
4. Designation : _____
5. Education Qualification : _____
6. Experience : _____
7. Residential Status : _____ Resident Indian / NRI / Others
8. Equity Stake, share or other interest in the Company/ Firm
9. Residential Address : _____
: _____
: State : _____ Country : _____
: Tel. No.: _____ Mobile No.: _____
: Email : _____
10. PAN No. : _____
11. Investment Experience : _____ Years in stocks
: _____ Years in Derivatives
: _____ Years in any other investment related field
12. Particular of Bank Account
Name of the Bank : _____
Branch : _____
Address of Bank : _____
: _____
Telephone No. : _____
Account No. : _____
Type of Account : _____ Saving / Current / OD
13. Whether registered with any other broker-Member (s) :
Name of Member : _____
Name of Exchange : _____ BSE / NSE
Client Code No. : _____

Affix recent
photograph of
Director/ Authorised
Signatory
Partner / Trustee
Sign across
the photograph

I hereby declare that all the information and particulars given by me in this form is true & correct to the best of my knowledge and belief and undertake to immediately keep you informed in writing of any changes therein. I also declare and agree that if any of the above information / statements are found to be incorrect or false or untrue or misleading or misrepresenting or any information or particulars have been suppressed or omitted therefrom. The above mentioned Co. / Firm / _____ and I will liable to be debarred from doing business both in derivatives & Cash Segments. I also agree to furnish such further information as the member or the Exchange may require from me and I agree that if I fail to give such information, The member shall have the right to debar the above mentioned Company/Firm/ _____ and me from doing business both in the derivatives and Cash Segments.

Place : _____

Signature : **S** 1/2 _____

Date : _____

Name : _____

Note : If any information required to be given does not fit in the form, an annexure may be used.

Annexure

(Personal Details of Director / Partner / Promoter / Authorised Signatory/ Trustee / Karta)

In connection with the Client Registration Application submitted to you by _____

of which I am a director / partner / promoter / authorised signatory / Trustee / Karta _____

I furnish you the following **personal details** relating to me :

1. Full Name	:	_____	Affix recent photograph of Director/ Authorised Signatory Partner / Trustee Sign across the photograph
2. Date of Birth	:	_____	
3. Gender	:	Male / Female	
4. Designation	:	_____	
5. Education Qualification	:	_____	
6. Experience	:	_____	
7. Residential Status	:	Resident Indian / NRI / Others	
8. Equity Stake, share or other interest in the Company/ Firm	:		
9. Residential Address	:	_____	
	:	_____	
	:	State : _____ Country : _____	
	:	Tel. No.: _____ Mobile No.: _____	
	:	Email : _____	
10. PAN No.	:	_____	
11. Investment Experience	:	_____ Years in stocks	
	:	_____ Years in Derivatives	
	:	_____ Years in any other investment related field	
12. Particular of Bank Account	:		
Name of the Bank	:	_____	
Branch	:	_____	
Address of Bank	:	_____	
	:	_____	
Telephone No.	:	_____	
Account No.	:	_____	
Type of Account	:	Saving / Current / OD	
13. Whether registered with any other broker-Member (s) :	:		
Name of Member	:	_____	
Name of Exchange	:	BSE / NSE	
Client Code No.	:	_____	

I hereby declare that all the information and particulars given by me in this form is true & correct to the best of my knowledge and belief and undertake to immediately keep you informed in writing of any changes therein. I also declare and agree that if any of the above information / statements are found to be incorrect or false or untrue or misleading or misrepresenting or any information or particulars have been suppressed or omitted therefrom. The above mentioned Co. / Firm / _____ and I will liable to be debarred from doing business both in derivatives & Cash Segments. I also agree to furnish such further information as the member or the Exchange may require from me and I agree that if I fail to give such information, The member shall have the right to debar the above mentioned Company/Firm/ _____ and me from doing business both in the derivatives and Cash Segments.

Place : _____

Signature : **S** 22 _____

Date : _____

Name : _____

Note : If any information required to be given does not fit in the form, an annexure may be used.

Stock Broker - Client Agreement (BSE)

This agreement is made and executed at Mumbai on this _____ day of _____ 20____ between **M/s. SMK SHARES & STOCK BROKING PVT. LTD.**, a body corporate, incorporated under the the Companies Act, 1956, being a member of Bombay Stock Exchange Limited (hereinafter called "the Exchange"), and having its registered office at 224, P. J. Tower, Dalal Street, Fort, Mumbai - 400 001. (hereinafter called "the stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

Mr./Ms/M/s _____, an individual/ HUF/a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/registered office at _____

(hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the stock broker is registered as the stock broker of the Exchange with SEBI registration number **INB010986030** in the Capital Market/ Cash Segment.

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

Whereas the client has satisfied itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.

Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and

Whereas the stock broker has taken steps and 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.

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

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

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker at the time of opening of the account or at any time thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
 - a. He has read and understood the risks involved in trading on a stock exchange also he has understood, appreciated and assumed all risks associated with purchasing, selling and trading in various kinds of securities whether contained in the risk disclosure document or not.
 - b. He shall be wholly responsible for all his investment decisions and trades.
 - c. The failure of the client to understand the risk involved shall not render a contract as void or void able and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
 - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
 - f. The Client agrees & undertakes that all trades done by him are exclusively on his individual / own account & not on account of his family members / friends / relatives or any other parties even if he do so he will be liable for any penalty / consequences thereof.
3. The Client agrees to pay to the stock broker brokerage and statutory levies & other charges as are prevailing from time to time

and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and by laws of the relevant stock exchange/SEBI.

4. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
5. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debt 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.
6. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/ own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Bye-laws and circulars.
7. The client agrees to immediately furnish information to the stock broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
8. The stock broker agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedule and any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedule and procedures of the relevant stock exchange however any delay by stock brokers to client will not absolve the Client from his liabilities to the stock broker.
9. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client and/or his/her successors, heirs, legal / representatives and assigns shall be liable for any losses, costs & shall be entitled to any surplus which may result there from.
10. The stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered to be delivered or received/to be received by the client.
11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good delivery & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
12. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom it has transacted for whom it may have had transactions in securities.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transaction entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange. 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 to the relevant stock exchange(s).
16. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
17. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
22. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities

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

23. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under.
25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it 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 its his client to any person or authority with the express permission of the client.
27. The Client acknowledges and understand that the Stock Broker does not give any legal, investment or tax advice.
28. **ADDITIONAL CLAUSES FOR VOLUNTARY DOCUMENT**

The trading member and client agree that they may enter into additional clause(s)/ documentation(s) which are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning in the day to day activities, and also for special facilities like internet trading facility offered by the trading member, Securities Lending Borrowing etc. The client understands that he/she need not execute this document if he/ she does not wish to use that facility. The client also understands his/her right to terminate the document, in which eventuality, the trading member may terminate the special facility. Such additional voluntary clauses shall form part and parcel of this agreement.

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

In this agreement unless the context specifies otherwise, reference to the singular includes a reference to the plural and vice versa and reference to any gender includes a reference to all other Gender.

All references to the specific quantity / rate / fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

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

Signed for and on behalf of

Signed for and on behalf of

MEMBER:

CLIENT:

For SMK SHARES & STOCK BROKING PVT. LTD.

By :

Director/Authorised Signatory

Signature :  1333

Title

Witness :

Witness :

Stock Broker - Client Agreement (NSE)

i This agreement is made and executed at _____ this _____ day of _____ 20____ between: **M/s. SMK SHARES & STOCK BROKING PVT. LTD.**, a body corporate, incorporated under the Companies Act, 1956, being a member of the Stock Exchange, Mumbai (hereinafter called "the Exchange"), and having its registered office at 224, P. J. Tower, Dalal Street, Fort, Mumbai - 400 001. (hereinafter called "the stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

i Mr./Ms/M/s _____, an individual/a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/registered office at _____

(hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the stock broker is registered as the stock broker of the Exchange with SEBI registration number **INB230986037** in the Capital Market/ Cash Segment.

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

Whereas the client has satisfied itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.

Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and

Whereas the stock broker has taken steps and 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.

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

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

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker at the time of opening of the account or at any time thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
 - a. He has read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his investment decisions and trades.
 - c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
 - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
3. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange/SEBI.

4. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
5. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the 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.
6. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/ its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/ Regulations/Bye-laws and circulars.
7. The client agrees to immediately furnish information to the stock broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
8. The stock broker agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes herein 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.
9. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.
10. The stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.
11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
12. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom it may have had transactions in securities.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).
16. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
17. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
22. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his / its respective heirs, executors, administrators,

legal representatives or successors, as the case may be.

23. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.
25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it 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 its his client to any person or authority with the express permission of the client.
27. The Stock broker hereby disclose that it does client based business and proprietary trades as well.

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

28. ADDITIONAL CLAUSES FOR VOLUNTARY DOCUMENT

The trading member and client agree that they may enter into additional clause(s)/ documentation(s) which are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning in the day to day activities, and also for special facilities like internet trading facility offered by the trading member, Securities Lending Borrowing etc. The client understands that he/she need not execute this document if he/ she does not wish to use that facility. The client also understands his/her right to terminate the document, in which eventuality, the trading member may terminate the special facility. Such additional voluntary clauses shall form part and parcel of this agreement.

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

In this agreement unless the context specifies otherwise, reference to the singular includes a reference to the plural and vice versa and reference to any gender includes a reference to all other Gender.

All references to the specific quantity / rate / fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

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

Signed for and on behalf of

Signed for and on behalf of

MEMBER:

CLIENT:

For SMK SHARES & STOCK BROKING PVT. LTD.

By :

Director/Authorised Signatory

Signature : **S** 1033

Title

Witness :

Witness :

COMBINED RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET/CASH SEGMENT AND FUTURES & OPTIONS SEGMENT

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

BSE/NSE/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 has BSE/NSE/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 contractual relationship into which you are entering and the extent of your exposure to risk.

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

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

BSE/NSE 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 trading member and/or sub-broker of BSE/NSE and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

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

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

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

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

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

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

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

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

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

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

1.6 Risk of Rumours : Rumours about companies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary 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 due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason.

1.8 System/Network Congestion : Trading on BSE/NSE 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 the control of and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

2.1 Effect of "Leverage" or "Gearing" The amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'.

Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in derivatives carry a high degree of risk.

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

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

B. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the broker/member 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 the derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2. Risk of Option holders : 1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

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

2.3 Risks of Option Writers: 1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. GENERAL

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

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

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

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

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

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

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

Date : _____

INVESTORS' RIGHTS AND OBLIGATIONS

- 1.1 You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the stock market or the broking firm's insolvency or bankruptcy.
- 1.1.1 Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.
- 1.1.2 Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of BSE/NSE and the scheme of the Investors' Protection Fund in force from time to time.
- 1.1.3 Any dispute with the member with respect to deposits, margin money, etc. and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of BSE/NSE or its Clearing Corporation / Clearing House.
- 1.2 Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.
- 1.3 You should exercise due diligence and comply with the following requirements of the BSE/NSE and/or SEBI:
- 1.3.1 Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of BSE/NSE and whether they are enabled to trade may be verified from BSE/NSE website (www.bseindia.com / www.nseindia.com).
- 1.3.2 Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.
- 1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving Licence or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by SEBI/BSE/NSE at any time, as is available with the investor.
- 1.3.4 Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of BSE/NSE or its Clearing Corporation / Clearing House from time to time, because this may be useful as a proof of your dealing arrangements with the member.
- 1.3.5 Give any order for buy or sell of a security in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.
- 1.3.6 Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order no., trade number, trade time, trade price, trade quantity, name of security, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of BSE/NSE, without delaying.
- 1.3.7 Facility of Trade Verification is available on BSE/NSE website (www.bseindia.com / www.nseindia.com), where details of trade as mentioned in the contract note may be verified from the trade date upto five trading days. Where trade details on the website, do not tally with the details mentioned in the contract note, immediately get in touch with the investors Grievance Cell of BSE/NSE.
- 1.3.8 Ensure that payment/delivery of Securities against settlement is given to the concerned member within one working day prior to the date of pay-in announced by BSE/NSE or its Clearing Corporation / Clearing House. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and receipt or acknowledgement towards what such payment is made be obtained from the member. Delivery of securities is made to the pool account of the member rather than to the beneficiary account of the member.
- 1.3.9 In case pay-out of money and/or securities is not received on the next working day after date of pay-out announced by BSE/NSE or its Clearing Corporation / Clearing House, please follow-up with the concerned member for its release. In case pay-out is not released as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of BSE/NSE.
- 1.3.10 Every member is required to send a complete 'Statement of Accounts', for both funds and securities settlement to each of its constituents, at such periodicity as may be prescribed by time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of BSE/NSE, without delaying.
- 1.3.11 In case of a complaint against a member/registered sub-broker, you should address the complaint to the Office as may be specified by BSE/NSE from time to time.
- 1.4 In case where a member surrenders his membership, BSE/NSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of BSE/NSE, ensure that you lodge a claim with BSE/NSE Clearing

House within the stipulated period and with the supporting documents.

1.5 In case where a member is expelled from trading membership or declared a defaulter, BSE/NSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of BSE/NSE, ensure that you lodge a claim with BSE/NSE within the stipulated period and with the supporting documents.

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

Notes:

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

POLICIES & PROCEDURES (MANDATORY) OF SMK SHARES & STOCK BROKING PVT. LTD.

SMK SHARES & STOCK BROKING PVT. LTD. has specific Operational Policies & procedures in place for smooth operations & Risk management which are listed as follows

a. Refusal of orders for "Penny Stocks"

Although, the term "Penny Stock" has not been defined by BSE / NSE or any other stock exchange or by SEBI, a "Penny Stock" generally refers to a stock which has following characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid

(A list of illiquid securities is jointly released by NSE and BSE from time to time.)

SMK SHARES & STOCK BROKING PRIVATE LIMITED recognizes that it is the client's privilege to choose shares in which he / she would like to trade. However, SMK SHARES & STOCK BROKING PRIVATE LIMITED likes to pay special attention to dealing in "Penny Stocks". To this end:

- SMK SHARES & STOCK BROKING PRIVATE LIMITED may refuse to execute any client's orders in "Penny Stocks" without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny Stock" should be referred to Head – Dealing before such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny Stock" does not result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny Stock" does not operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in "Penny Stocks" at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of SMK SHARES & STOCK BROKING PRIVATE LIMITED.
- In case of sale of "Penny Stocks", clients should ensure the delivery of shares to SMK SHARES & STOCK BROKING PRIVATE LIMITED before the pay-in date.

b. Setting up client's exposure limit

- Exposure limit for each client is determined by the Risk Management Department based on client's net worth information, client's financial capacity, prevailing market conditions and margin deposited by client in the form of funds / securities with SMK SHARES & STOCK BROKING PRIVATE LIMITED. These limits may be set exchange-wise, segment-wise, and scrip-wise.
- The limits are determined by Risk Management Department based on the above criteria and the payment history of the client in consultation with Sales / Sales traders.
- SMK SHARES & STOCK BROKING PRIVATE LIMITED retains the discretion to set and modify, from time to time, any client's exposure limit decided as above.
- Whenever any client has taken or wants to take exposure in any security, SMK SHARES & STOCK BROKING PRIVATE LIMITED may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients will be told to reduce the position immediately or they will be requested to deposit extra margin to meet the shortfall. Otherwise, SMK SHARES & STOCK BROKING PRIVATE LIMITED may refuse to trade on behalf of such client at its own discretion.

c. Applicable brokerage rate

- Brokerage Rate is mutually decided between the SMK SHARES & STOCK BROKING PRIVATE LIMITED and each client based on client's net worth, expected trading volume, etc. The maximum brokerage chargeable will not exceed the rates prescribed by SEBI and the exchanges.
- The applicable brokerage rate will be mentioned in the Client registration form and any change in the brokerage rate in future will be communicated to the client.

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

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on the part of the client in satisfying his / her margin obligation or settlement obligation then SMK SHARES & STOCK BROKING PRIVATE LIMITED shall levy delayed payment charges at the rate of 12% p.a. on such shortfall for the period of delay on such client. SMK SHARES & STOCK BROKING PRIVATE LIMITED shall recover such delayed payment charges from the client by debiting the client's account.
- No interest or charges will be paid by SMK SHARES & STOCK BROKING PRIVATE LIMITED to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

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

- SMK SHARES & STOCK BROKING PRIVATE LIMITED has the right to close out / liquidate or square off any open position of the client (limited to the extent of settlement / margin obligation), without giving any prior notice, all or any of the client's positions as well as securities / collaterals placed as margins for non-payment of margin or other amounts due from such client in respect of settlement or any other dues that are recoverable from the client by SMK SHARES & STOCK BROKING PRIVATE LIMITED. The proceeds of the same shall be adjusted against the client's liabilities / obligations. Any loss or financial charges on account of such close-out / liquidation shall be debited to the client's account.

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

- SMK SHARES & STOCK BROKING PRIVATE LIMITED shall have the right to adopt a policy of its choice for shortage in obligation arising out of internal netting of trades.
- The current procedure is, if client fails to give delivery of the securities sold then it is advised to client that securities may be purchased in market.
- In case of any auction take place that client who has failed to give delivery of securities sold will be debited for any auction charges there of.

g. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client

SMK SHARES & STOCK BROKING PRIVATE LIMITED shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- There is shortfall in the margin deposited by client with SMK SHARES & STOCK BROKING PRIVATE LIMITED
- There is insider trading restrictions on the client.
- There are any unforeseen adverse market conditions or any natural calamity affecting the operation of the market.
- There are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- The client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- SMK SHARES & STOCK BROKING PRIVATE LIMITED has reached its limit in that scrip.
- The client has breached the client-wise limit.
- The client has taken or intends to take new position in a security which is in the banned period.
- Due to abnormal rise or fall in the market, the markets are closed.

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

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, further dealing in such client's account will be blocked. Whenever trade has to be resumed in any suspended client account, a request in writing should be made by the client to the management and the management may ask for updated financial information and other details for reactivating such account. After receiving necessary documents, details, etc. and approval from the management, the client account will be reactivated and transaction will be carried out.
- Similarly, any client desirous of closing his / her account permanently is required to inform in writing and the decision in this regard will be taken by the management. After necessary approval from the management, the client code will be deactivated.

Only after scrutinizing the compliance requirements and a "no pending queries" confirmation is taken, securities and funds accounts will be settled.

i. Deregistering a Client

SMK SHARES & STOCK BROKING PRIVATE LIMITED may, at its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which SMK SHARES & STOCK BROKING PRIVATE LIMITED may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such client's account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare him / her as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of SMK SHARES & STOCK BROKING PRIVATE LIMITED or may act as detriment to SMK SHARES & STOCK BROKING PRIVATE LIMITED prospects.

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Customer's signature (if partner, corporate or other signatory then attest with company seal)

Date: _____

ADDITIONAL LITERATURE FOR AML REQUIREMENTS

As per the requirements of SEBI, implementation of Anti Money Laundering (AML)/ Combating Financing of Terrorism requires trading members as intermediaries to demand certain information from investors which may be of personal nature or has hitherto never been called for. Such information can include documents evidencing source of funds/income tax returns/bank records etc. This can sometimes lead to raising of questions with regard to the motive and purpose of collecting such information. To, sensitize about these requirements as the ones emanating from AML and CFT framework, General FAQs as published by The Financial Action Task Force (FATF), an inter-governmental body whose purpose is the development and promotion of policies, both at national and international levels, to combat money laundering and terrorist financing is reproduced herewith. Kindly feel free to visit the websites of <http://www.fatf-gafi.org/> and <http://fiuindia.gov.in> for more information on the subject

FAQ

What is Money Laundering?

The goal of a large number of criminal acts is to generate a profit for the individual or group that carries out the act. Money laundering is the processing of these criminal proceeds to disguise their illegal origin. This process is of critical importance, as it enables the criminal to enjoy these profits without jeopardising their source. Illegal arms sales, smuggling, and the activities of organised crime, including for example drug trafficking and prostitution rings, can generate huge amounts of proceeds. Embezzlement, insider trading, bribery and computer fraud schemes can also produce large profits and create the incentive to "legitimise" the ill-gotten gains through money laundering. When a criminal activity generates substantial profits, the individual or group involved must find a way to control the funds without attracting attention to the underlying activity or the persons involved. Criminals do this by disguising the sources, changing the form, or moving the funds to a place where they are less likely to attract attention. In response to mounting concern over money laundering, the Financial Action Task Force on money laundering (FATF) was established by the G-7 Summit in Paris in 1989 to develop a co-ordinated international response. One of the first tasks of the FATF was to develop Recommendations, 40 in all, which set out the measures national governments should take to implement effective anti-money laundering programmes.

How much money is laundered per year?

By its very nature, money laundering is an illegal activity carried out by criminals which occurs outside of the normal range of economic and financial statistics. Along with some other aspects of underground economic activity, rough estimates have been put forward to give some sense of the scale of the problem. The International Monetary Fund, for example, has stated in 1996 that the aggregate size of money laundering in the world could be somewhere between two and five percent of the world's gross domestic product. Using 1996 statistics, these percentages would indicate that money laundering ranged between US Dollar (USD) 590 billion and USD 1.5 trillion. The lower figure is roughly equivalent to the value of the total output of an economy the size of Spain. However it must be said that overall it is absolutely impossible to produce a reliable estimate of the amount of money laundered and therefore the FATF does not publish any figures in this regard.

How is money laundered?

In the initial - or placement - stage of money laundering, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money orders, etc.) that are then collected and deposited into accounts at another location. After the funds have entered the financial system, the second - or layering - stage takes place. In this phase, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channelled through the purchase and sales of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not co-operate in anti-money laundering investigations. In some instances, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance. Having successfully processed his criminal profits through the first two phases the launderer then moves them to the third stage - integration - in which the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets, or business ventures.

Where does money laundering occur?

As money laundering is a consequence of almost all profit generating crime, it can occur practically anywhere in the world. Generally, money launderers tend to seek out countries or sectors in which there is a low risk of detection due to weak or ineffective anti-money laundering programmes. Because the objective of money laundering is to get the illegal funds back to the individual who generated them, launderers usually prefer to move funds through stable financial systems. Money laundering activity may also be concentrated geographically according to the stage the laundered funds have reached. At the placement stage, for example, the funds are usually processed relatively close to the under-lying activity; often, but not in every case, in the country where the funds originate. With the layering phase, the launderer might choose an offshore financial centre, a large regional business centre, or a world banking centre -

any location that provides an adequate financial or business infrastructure. At this stage, the laundered funds may also only transit bank accounts at various locations where this can be done without leaving traces of their source or ultimate destination. Finally, at the integration phase, launderers might choose to invest laundered funds in still other locations if they were generated in unstable economies or locations offering limited investment opportunities.

How does money laundering affect business?

The integrity of the banking and financial services marketplace depends heavily on the perception that it functions within a framework of high legal, professional and ethical standards. A reputation for integrity is the one of the most valuable assets of a financial institution. If funds from criminal activity can be easily processed through a particular institution – either because its employees or directors have been bribed or because the institution turns a blind eye to the criminal nature of such funds – the institution could be drawn into active complicity with criminals and become part of the criminal network itself. Evidence of such complicity will have a damaging effect on the attitudes of other financial intermediaries and of regulatory authorities, as well as ordinary customers. As for the potential negative macroeconomic consequences of unchecked money laundering, one can cite inexplicable changes in money demand, prudential risks to bank soundness, contamination effects on legal financial transactions, and increased volatility of international capital flows and exchange rates due to unanticipated cross-border asset transfers. Also, as it rewards corruption and crime, successful money laundering damages the integrity of the entire society and undermines democracy and the rule of the law.

What influence does money laundering have on economic development?

Launderers are continuously looking for new routes for laundering their funds. Economies with growing or developing financial centres, but inadequate controls are particularly vulnerable as established financial centre countries implement comprehensive anti-money laundering regimes. Differences between national anti-money laundering systems will be exploited by launderers, who tend to move their networks to countries and financial systems with weak or ineffective countermeasures.

Some might argue that developing economies cannot afford to be too selective about the sources of capital they attract. But postponing action is dangerous. The more it is deferred, the more entrenched organised crime can become. As with the damaged integrity of an individual financial institution, there is a damping effect on foreign direct investment when a country's commercial and financial sectors are perceived to be subject to the control and influence of organised crime. Fighting money laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.

What is the connection with society at large?

The possible social and political costs of money laundering, if left unchecked or dealt with ineffectively, are serious. Organised crime can infiltrate financial institutions, acquire control of large sectors of the economy through investment, or offer bribes to public officials and indeed governments. The economic and political influence of criminal organisations can weaken the social fabric, collective ethical standards, and ultimately the democratic institutions of society. In countries transitioning to democratic systems, this criminal influence can undermine the transition. Most fundamentally, money laundering is inextricably linked to the underlying criminal activity that generated it. Laundering enables criminal activity to continue.

How does fighting money laundering help fight crime?

Money laundering is a threat to the good functioning of a financial system; however, it can also be the Achilles heel of criminal activity. In law enforcement investigations into organized criminal activity, it is often the connections made through financial transaction records that allow hidden assets to be located and that establish the identity of the criminals and the criminal organization responsible. When criminal funds are derived from robbery, extortion, embezzlement or fraud, a money laundering investigation is frequently the only way to locate the stolen funds and restore them to the victims. Most importantly, however, targeting the money laundering aspect of criminal activity and depriving the criminal of his ill-gotten gains means hitting him where he is vulnerable. Without a usable profit, the criminal activity will not continue.

What should individual governments be doing about it?

A great deal can be done to fight money laundering, and, indeed, many governments have already established comprehensive anti-money laundering regimes. These regimes aim to increase awareness of the phenomenon – both within the government and the private business sector – and then to provide the necessary legal or regulatory tools to the authorities charged with combating the problem. Some of these tools include making the act of money laundering a crime; giving investigative agencies the authority to trace, seize and ultimately confiscate criminally derived assets; and building the necessary framework for permitting the agencies involved to exchange information among themselves and with counterparts in other countries. It is critically important that governments include all relevant voices in developing a national anti-money laundering programme. They should, for example, bring law enforcement and financial regulatory authorities together with the private sector to enable financial institutions to play a role in dealing with the problem. This means, among other things, involving the relevant authorities in establishing financial transaction reporting systems, customer identification, record keeping standards and a means for verifying compliance.

Should governments with measures in place still be concerned?

Money launderers have shown themselves through time to be extremely imaginative in creating new schemes to circumvent a particular government's countermeasures. A national system must be flexible enough to be able to detect and respond to new money laundering schemes. Anti-money laundering measures often force launderers to move to parts of the economy with weak or ineffective measures to deal with the problem. Again, a national system must be flexible enough to be able to extend countermeasures to new areas of its own economy. Finally, national governments need to work with other jurisdictions to ensure that launderers are not able to continue to operate merely by moving to another location in which money laundering is tolerated.

What about multilateral initiatives?

Large-scale money laundering schemes invariably contain cross-border elements. Since money laundering is an international problem, international co-operation is a critical necessity in the fight against it. A number of initiatives have been established for dealing with the problem at the international level. International organisations, such as the United Nations or the Bank for International Settlements, took some initial steps at the end of the 1980s to address the problem. Following the creation of the FATF in 1989, regional groupings – the European Union, Council of Europe, Organization of American States, to name just a few – established anti-money laundering standards for their member countries. The Caribbean, Asia, Europe and southern Africa have created regional anti-money laundering task force-like organizations, and similar groupings are planned for western Africa and Latin America in the coming years.

Client Signature : **S** 27/33 _____

Place : _____ Date : _____

FROM: _____

To,

SMK SHARES & STOCK BROKING PVT. LTD.

224, P. J. Tower, Dalal Street,

Fort, Mumbai - 400 001.

DEAR SIR,

REF: TRADING ACCOUNT NO.

I hereby confirm that SMK Shares & Stock Broking Pvt. Ltd. have provided me the copies of KYC form, relevant agreement and all other documents submitted by me along with the KYC form.

Thanking you,

Yours Faithfully,

S 28/33

Client Name : _____

Client Signature : _____

VOLUNTARY**RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES**

CLIENT NAME: _____

ADDRESS: _____

Date: _____

TO,

SMK SHARES & STOCK BROKING PVT. LTD.

224, P. J. Tower, Dalal Street,

Fort, Mumbai - 400 001.

Dear Sir,

Re: Running Account Authorization

I am / We are regularly Trading with you for Cash and Derivative Market in BSE/NSE we hereby authorized you to do following on my / our behalf:

- I. I/We hereby give my/our consent to maintain my/our account for fund and securities as RUNNING ACCOUNT
- II. The Securities lying in my/our withhold A/c and credit balance lien in my / our account should be considered as margin deposits
- III. I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of BSE/NSE
- IV. The actual settlement of funds & Securities shall be done by you every Monthly /Quarterly interval. You will send quarterly/ monthly statement of Funds & Securities and I/We shall bring any discrepancy within 7 working days from the receipt of Statements
- V. You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation
- VI. I/We have noted the following :-
 1. This authorization must be renewed at least once a year
 2. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person
 3. I/we may revoke the authorization at any time by giving written notice of not less than 15 days in advance to you

Yours faithfully,

Signature of the Client : **S** 29/33 _____

Name of the Client : _____

Client Code : _____

VOLUNTARY

From : _____

To,
SMK SHARES & STOCK BROKING PVT. LTD.
224, P. J. Tower, Dalal Street, Fort, Mumbai - 400 001.
Tel. No.: 2272 1175 / 76

Ref.: Client Code No.: _____

Sub: Consent for electronic contract notes

Dear Sir,

I am/We are aware that contract notes, bills, ledgers, transaction statement (statement of funds/securities), margin and other statement, report, letter, circulars, etc. can be received through electronic mode i.e. email in accordance with SEBI circular SMDRP/POICY/CIR-56/00 dated 15/12/2000 and MRD/DOP/CIR-20/2005 dated 8/09/2005. In this regards I/we agree for the following:

1. To receive contract notes, bills, ledgers, transaction statement (statement of funds/securities), margin and other statement, report, letter, circulars etc. in electronic form through Email id: 1) _____, 2) _____ 3) _____
Provided by me/us to SMK Shares & Stock Broking Pvt Ltd in relation to trades/transaction done on the exchanges through SMK Shares & Stock Broking Pvt Ltd.
2. To complete the necessary formalities those are required under the provisions of the Information Technology Act, 2000 for getting the above facility. I/We shall initially download the specified software (Signature Verifier utility) or any other software as may be advised by Stock broker from time to time on the our computer and the same shall be used for receiving, viewing, storing the contract notes, bills, ledgers, transaction statement (statement of funds/securities), margin and other statement, report, letter, circulars etc. that shall be sent by the SMK Shares & Stock Broking Pvt Ltd from time to time in respect of the trades/transactions that have been executed by me/us through the terminal of the Stock broker.
3. Contract notes, bills, ledgers, transaction statement (statement of funds/securities), margin and other statement, report, letter, circulars, etc. sent by SMK Shares & Stock Broking Pvt Ltd from time to time to my/our email id shall be deemed to have been delivered to me and it shall be presumed that the same is in order unless any discrepancies are given in writing to SMK Shares & Stock Broking Pvt Ltd within 24 hours of the receipt of the same. I/we confirm that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above-mentioned e-mail ID.
4. I/ We hereby state that the handing over of the said contract(s) / bill(s) / confirmation notes, margin and other statement, or any communication in respect of my / our transactions relating to my / our trading account with SMK Shares & Stock Broking Pvt Ltd to any of the aforesaid addresses shall be treated as due discharge of obligation of the Member under the Rules and Regulations and bye-laws of SEBI and the stock exchange(s).
5. Contract notes, bills, ledgers, transaction statement (statement of funds/securities), margin and other statement, may also be kept on the web server of SMK Shares & Stock Broking Pvt Ltd i.e. on www.smkshares.com which can be downloaded by me/us through the login id and password provided by SMK Shares & Stock Broking Pvt Ltd to me/us.
6. The above service may require to use password/digital signature and I/we will be responsible for confidentiality and proper use at all time of password/digital signature for all transactions initiated through the service.
7. Incase when SMK Shares & Stock Broking Pvt Ltd is not able to provide contract notes to me/us through email due to some unforeseen circumstances, the SMK Shares & Stock Broking Pvt Ltd will ensure that the Contract Note will be sent in Physical form on address mentioned in KYC.
8. Any change in the email-id shall be communicated through a physical letter by me/us.

Your faithfully,

Date: _____

Place: _____

Signature:  _____

VOLUNTARY

I /we am / are aware that the below mentioned point are voluntary & I /we have an authority to set aside or revoke any of them whenever I /we am / are giving this authorization for my / our operational convenience.

From : _____

To,
SMK SHARES & STOCK BROKING PVT. LTD.
224, P. J. Tower, Dalai Street,
Fort, Mumbai - 400 001.

Dear Sir,

Ref.: Client Code No.: _____

Sub: Family Account Adjustment

As my family member(s) are also dealing with you/your group companies I hereby authorise you & shall keep authorised to adjust / retain / transfer any Credit Balance in any account in your books & with Debit balance in the account of my Family Members. I list the names of my family members as annexure - 1.

We request you to treat all the said instruction & authorisation in force up to date on which we instruct you otherwise in writing & provided no debit balance outstanding in my or any of the family member's account in the books of any of the companies.

Your faithfully,

Date: _____

Place: _____

Signature: **S** 31/33 _____

ANNEXURE - 1

Sr. No.	Name of my family-member(s) / associated firm(s)	Client Code
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

Do's & Don'ts in Capital Market

1. Always deal with market intermediaries registered with SEBI/Exchanges.
2. Before you begin to trade, furnish all your details in full in Kyc Form & submit all documents as required by member.
3. Always execute a Member-Client Agreement or the tripartite agreement with the trading member & SEBI registered sub-broker of the trading member of BSE as the case may be.
4. Please carry out due-diligence before registering as client with any Intermediary. Also, carefully read and understand the contents stated in the Risk Disclosure Document, which forms the part of client registration for dealing through intermediaries in the Stock Market.
5. Go through the Rules, Bye-laws, Regulations, Circulars, directives, notifications of the Exchange as well as of the Regulators, Governments and other authorities and details of Client - Trading Member Agreement to know your rights and duties vis-a-vis those of the member.
6. Before you begin to trade, obtain a clear idea from member about Brokerage Commissions, fees & other charges which will be levied on your trading.
7. Ask all relevant questions and clear your doubts with your member before transacting.
8. Give clear and unambiguous instructions to your broker/agent/depository participant.
9. State clearly who will be placing orders on your behalf. Give precise and clear instructions while placing, modifying or canceling orders.
10. Always insist on contract notes for all the transactions from the main broker within 24 hours of the trade execution. In case of doubt of the transactions, verify the genuineness of the same on the Exchange website www.bseindia.com.
11. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order time, Trade No., Trade time, Trade rate, Quantity, Name of the Security, Client Code allotted to you & Brokerage shown separately, Arbitration Clause.
12. Always make payment & Delivery of shares directly to the main broker before pay-in.
13. Deliver the shares in case of sale or pay the money in case of purchase within the time prescribed.
14. Pay required margins in time and only by Cheque and ask for receipt thereof from the member.
15. Obtain receipt for collaterals deposited with the member towards margins.
16. Insist on receiving Periodicals statements of your account for funds & Securities & report errors, if any, in the Statement immediately, but not later than 30 Calendar days of receipt thereof.
17. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.
18. Ensure that the DIS numbers are preprinted and your account number (Client - Id) is mentioned in the DIS book.
19. Scrutinize minutely both the transaction as well as the holding statements that you receive from your Depository Participant.
20. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
21. Adopt trading /investment strategies commensurate with your Risk bearing capacity as all investments carry risk, the degree of which varies according to the investment strategy adopted.
22. Be aware of your risk taking ability and fix stop-loss limits. Liquidate your positions at such level to reduce further losses, if any.
23. Apply your own prudent judgment for investments in futures and take informed decisions.
24. Collect / Pay Mark-to-Market margins on your futures positions on a daily basis from/to your member.

1. Don't deal with unregistered brokers/sub-brokers, intermediaries.
2. Do not start trading before reading and understanding the Risk Disclosure Agreement and entering into the prescribed agreement with the Member.
3. Do not accept unsigned/duplicate contract note/confirmation memo.
4. Do not accept contract note/confirmation memo signed by any unauthorized person.
5. Don't leave the custody of your Demat Transaction slip book in the hands of any Intermediary.
6. Do not delay payment/deliveries of shares to member.
7. Don't fall prey to promises of guaranteed returns.
8. Don't blindly imitate investment decisions of others who may have profited from their investment decisions.
9. Do not go by any explicit/implicit promise made by analysts/advisors/experts/ markets intermediary until convinced.
10. Do not deal based on Bull/Bear run of markets sentiments.
11. Do not go by the reports/predictions made in various print and electronic forms without verification.

FORMAT OF BOARD RESOLUTION FOR APPOINTING SMK SHARES & STOCK BROKING PVT. LTD. (FOR CORPORATE)
(On Company's Letter Head)

To,
SMK SHARES & STOCK BROKING PVT. LTD.
224, P. J. Tower, Dalal Street,
Fort, Mumbai - 400 001.

Dear Sirs,

We hereby certify that the following is a true copy of a resolution duly adopted by the Board of Directors of _____ Ltd.(said company) in accordance with their authority, at a meeting duly held on _____ and not subsequently rescinded or modified and that the said company in the general meeting has not imposed any restrictions and conditions on the exercise by the Board of any of their powers to invest the funds of the company.

RESOLVED:

That SMK SHARES & STOCK BROKING PVT. LTD. be appointed to act as our Stock Broker.

Further resolved that following person whose Signature is appended against their name be Individually / jointly be and is/are authorised to represent us & to give instructions to SMK SHARES & STOCK BROKING PVT. LTD. for

1. Placing / modifying cancelling orders on our behalf
2. Acknowledging contract notes issued by you to us for our trades
3. Communicating changes in our KYC details
4. All other communications from us to you

Name	Signature	Title
_____	_____	_____
_____	_____	_____

Further resolved that the Company will communicate a certified copy of the said resolution to SMK SHARES & STOCK BROKING PVT. LTD.

PLACE : _____

DATE : _____

ATTESTED TRUE COPY

NAME, SIGNATURE & SEAL OF COMPANY SECRETARY

Format of Declaration by the Proprietorship Firm

(On pre-printed letterhead of the firm)

To,
SMK SHARES & STOCK BROKING PVT. LTD.
224, P. J. Tower, Dalal Street,
Fort, Mumbai - 400 001.

Dear Sir,

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

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

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

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

The cheques/ DDs (electronic / physical) may be issued by me from individual account or my joint account. The amounts so given shall be solely / exclusively for credit to the account of my sole proprietorship firm M/s. with M/s. SMK SHARES & STOCK BROKING PVT. LTD.

I shall not lay any claim whatsoever in future against M/s. SMK SHARES & STOCK BROKING PVT. LTD. for affording credit of such cheques / DDs issued from any individual / joint account credit of which has been provided by M/s. SMK SHARES & STOCK BROKING PVT. LTD. to the account of my proprietorship firm M/s.

Thanking You,
Yours faithfully,

S

Signature of the Proprietor along with Stamp

Name of the Proprietor : _____

Format of Authority Letter by the Partnership Firm

(On the firm's letterhead)

To,
SMK SHARES & STOCK BROKING PVT. LTD.
224, P. J. Tower, Dalal Street,
Fort, Mumbai - 400 001.

Dear Sir,

We, the undersigned partners of _____ carrying on business at _____ desire to open a trading account with you for the purpose of buying and selling of securities and /or other investment products (s) or the Services through you.

We, the partners jointly authorise our partner, Mr./Mrs. _____ to issue instructions to you as our broker for securities, trades, funds, investments, etc., and undertake that all the acts of the said partner in this connection purporting to be done on behalf of the firm shall be binding on the firm and each one of us and respective estate until liabilities if any, occurred in respect of such acts has been discharged.

Thanking You,
Yours faithfully,

Full Name of the Partners

Signature

- 1.
- 2.
- 3.
- 4.

VOLUNTARY**RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES**

TO,

SMK SHARES & STOCK BROKING PVT. LTD.

224, P. J. Tower, Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

Re: Running Account Authorization

I am / We are regularly Trading with you for Cash and Derivative Market in BSE/NSE we hereby authorized you to do following on my /our behalf:

- I. I/We hereby give my/our consent to maintain my/our account for fund and securities as RUNNING ACCOUNT
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- III. I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of BSE/NSE
- IV. The actual settlement of funds & Securities shall be done by you every Monthly /Quarterly interval. You will send quarterly/monthly statement of Funds & Securities and I/We shall bring any discrepancy within 7 working days from the receipt of Statements
- V. You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation
- VI. I/We have noted the following :-
 1. This authorization must be renewed at least once a year
 2. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person
 3. I/we may revoke the authorization at any time by giving written notice of not less than 15 days in advance to you

Yours faithfully,

Signature of the Client :

S

Name of the Client :

Client Code :

CLIENT NAME: _____

ADDRESS: _____

Date : _____

VOLUNTARY**RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES**

TO,

SMK SHARES & STOCK BROKING PVT. LTD.

224, P. J. Tower, Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

Re: Running Account Authorization

I am / We are regularly Trading with you for Cash and Derivative Market in BSE/NSE we hereby authorized you to do following on my /our behalf:

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 3. I/we may revoke the authorization at any time by giving written notice of not less than 15 days in advance to you

Yours faithfully,

Signature of the Client :

S

Name of the Client :

Client Code :

CLIENT NAME: _____

ADDRESS: _____

Date : _____

BROKERAGE TABLE

CLIENT NAME : _____

CLIENT CODE : _____

		Rate / Qty		Brokerage %	Minimum Brokerage
TYPE		FROM	TO		
TRADING ONE SIDE	1				
	2				
TRADING / OTHER SIDE	1				
	2				
DELIVERY	1				
	2				
FUTURES					
OPTIONS					

Note : The Member Broker shall Charge in addition to the Brokerage mentioned hereinabove, other Charges like Stamp Duty, Service Tax, Security Transaction Tax (S.T.T.), Turnover Charges, Clearing Charges etc. as may be applicable from time to time.

SUB-BROKER / REMISSER NAME : _____

SUB-BROKER / REMISSER (%) : _____

CLIENT SIGNATURE : S 3333 _____

SUB-BROKER / REMISSER SIGN : SB vi _____