

REGISTRATION BOOK  
INDIVIDUAL / NON-INDIVIDUAL

# INVESTING UNINTERRUPTED

Welcome  
to the  
**w****orld**  
of endless investment opportunities



 **CONSORTIUM**  
Thoughtful & Progressive

CIN : U74899DL1994PTC058772

Member of NSE | BSE | MSEI | MCX

Cash | F&O | Currency Derivatives | Commodity

INZ000183831

Ver. 10

www.netashare.com



**FOR OFFICE USE ONLY**

<b>UCC</b>		<b>Account Opening Date</b>	
<b>Client ID</b>		<b>Code</b>	
<b>Name</b>			
<b>Branch</b>			
<b>Sub-group</b>			
<b>Region</b>			
<b>Zone</b>			

**CONTACT DETAIL FOR INVESTOR GRIEVANCES**

For any grievance/dispute please contact at the above address or mail us at email id- [grievances@consortiumsecurities.com](mailto:grievances@consortiumsecurities.com) or contact us on +91-11-66237500. In case not satisfied with the response, please contact the concerned exchange(s)/depository at :

<b>Exchange</b>	<b>Website</b>	<b>Phone No.</b>	<b>E-mail ID</b>
National Stock Exchange of India Ltd.	<a href="http://www.nseindia.com">www.nseindia.com</a>	1800220058	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>
Bombay Stock Exchange Ltd.	<a href="http://www.bseindia.com">www.bseindia.com</a>	022-22728097	<a href="mailto:is@bseindia.com">is@bseindia.com</a>
Metropolitan Stock Exchange of India Ltd.	<a href="http://www.msei.in">www.msei.in</a>	022-61129000 Ext. No. 9028	<a href="mailto:investorcomplaints@msei.in">investorcomplaints@msei.in</a>
Multi Commodity Exchange of India Ltd.	<a href="http://www.mcxindia.com">www.mcxindia.com</a>	91-22 -6731 8888	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>
<b>Depository</b>	<b>Website</b>	<b>Phone No.</b>	<b>E-mail ID</b>
NSDL	<a href="http://www.nsdl.co.in">www.nsdl.co.in</a>	022-24994200	<a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a>

➤ You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

**DECLARATION FOR PRO TRADING**

We Consortium Securities Pvt. Ltd., hereby inform all our clients that besides trading on behalf of our Clients, we also do Proprietary Trading in our own account.

**Note :**  
The information to be given in the form, is the sole property of the Member Broker and would not be disclosed to anyone unless required by law/statutory/regulatory authorities or except with the express permission of the client.

**Name of Stock Broker / Trading Member / Clearing Member |**

Name of Stock Exchange and Depository	SEBI Registration No.
National Stock Exchange of India Limited	Cash   F&O   Currency   Commodity Derivatives : INZ000183831
BSE Limited	
Metropolitan Stock Exchange of India Limited	
Multi Commodity Exchange of India Limited	
National Securities Depository Limited	
<b>DP ID: IN302316   IN-DP-247-2016</b>	

Compliance Officer's Details : Name : Pardeep Raj • Ph. : +91-11-45622022 • E-mail Id : pradeepraj@consortiumsecurities.com

CEO's Details : Name : Madan Mohan Singh • Ph. : +91-11-45622012 • E-mail Id : madan@consortiumsecurities.com

<b>Regd. Office :</b> 36, Sant Nagar, East of Kailash, New Delhi-110065 Phone: +91-11-26422413, 66237500 E-mail: info@consortiumsecurities.com • Website: www.netashare.com	<b>Corporate Office :</b> Plot No. 274, 3rd Floor, Saheed Captain Gaur Marg, Sri Nivas Puri, New Delhi-110065 Phone: +91-11-45622000 E-mail: info@consortiumsecurities.com • Website: www.netashare.com
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**INDEX OF DOCUMENTS**

S. No.	Name of Document	Brief Significance of the Document	Page No.
<b>SECTION – A (MANDATORY DOCUMENTS)</b>			
1.	Account Opening Form	A. KYC Form - Part-I Document captures the basic information about the constituent and an instructions / checklist (to be sent to KRA) B. KYC Form - Part-II Document captures the additional information about the constituent relevant to trading account and Demat account.	1 to 7 8 to 14
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I/We have fully understood the distinction and details regarding the Mandatory/Non-Mandatory documents and do hereby enter and sign the same and agree not to call into question the validity, enforceability and applicability of any agreement(s)/document(s) or clauses within any Non-Mandatory agreement(s)/document(s) under any circumstances what so ever.

Signature of Client

 (1)

**PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)**

NEW  CHANGE REQUEST (Please tick ✓ the appropriate)



**Consortium Securities Pvt. Ltd.**

CIN : U74899DL1994PTC058772  
 Member : NSE, BSE, MSEI • DP (NSDL ) DP ID : IN302316  
 Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065  
 Phone: + 91-11-26422413, 66237500

Acknowledgement No.

Photograph  
 Please affix your recent  
 passport size photograph

Signature Across photograph

\* Seperate KYC Application forms must be filled by each applicant i.e. (2nd Holder, 3rd Holder & Guardian)

Please fill this form in ENGLISH and in BLOCK LETTERS

**A. IDENTITY DETAILS**

- 1. Name of the Applicant
- 2. Father's / Husband Name
- 3. Mother's Name
- 4. a) Gender  Male  Female  Transgender b) Marital Status  Single  Married  Others c) Date of Birth
- 5. a) Nationality/Citizenship  Indian  Others (Please specify)  
 b) Status  Resident Individual  Non Resident  Foreign National  Person of Indian Origin
- 6. a) PAN b) Aadhaar Number
- 7. Specify the proof of identity submitted  PAN Card  Any other (Please specify)

**B. ADDRESS DETAILS**

- 1.  Residence /  Correspondence Address  
 City/Town/Village PIN Code  
 State Country
- 2. Specify the proof of address submitted for Residence / Correspondence address
- 3. Contact Details Tel. (Off.) Tel. (Res.) Fax No  
 Mobile No. E-mail ID
- 4. Permanent Address  
 (If different from above.  
 Mandatory for Non-Resident Applicant to City/Town/Village PIN Code  
 specify overseas address) State Country
- 5. Specify the proof of address submitted for Permanent address

**C. DECLARATION**

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

Signature of the Applicant (2)  
 Date

**FOR OFFICE USE ONLY**

Originals verified & Self-Attested documents copies received

Name of the person doing IPV\* & Interview

Designation

Date of IPV\*

SEBI Regn. No.#

Signature of the person doing IPV\*

Name of the Organization

Signature of the Authorised Signatory of Consortium Securities Pvt. Ltd. with Seal & Stamp

Date

\* IPV - stands for In Person Verification # Member Broker / Authorised Person

**A. IMPORTANT POINTS**

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

**B. Proof of Identity (POI)**

List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

**C. Proof of Address (POA)**

List of documents admissible as Proof of Address:

(\*Documents having an expiry date should be valid on the date of

submission.)

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

**D. Exemptions/clarifications to PAN**

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

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

**E. List of people authorized to attest the documents:**

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

**PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)**

NEW  CHANGE REQUEST (Please tick ✓ the appropriate)



**Consortium Securities Pvt. Ltd.**

CIN : U74899DL1994PTC058772  
 Member : NSE, BSE, MSEI • DP (NSDL ) DP ID : IN302316  
 Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065  
 Phone: + 91-11-26422413, 66237500

Acknowledgement No. \_\_\_\_\_

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS															
<input type="checkbox"/>	1.	Name of the Applicant													
<input type="checkbox"/>	2.	Date of Incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation				
<input type="checkbox"/>	3.	Date of commencement of business	D	D	M	M	Y	Y	Y	Y					
<input type="checkbox"/>	4.	a) PAN									b) Registration No. (e.g. CIN)				
<input type="checkbox"/>	5.	<b>Status (please tick any one)</b> <input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (please specify) _____													
B. ADDRESS DETAILS															
<input type="checkbox"/>	1.	Address for Correspondence													
			City/Town/Village						PIN Code						
			State						Country						
<input type="checkbox"/>	2.	Contact Details	Tel. (Off.)			Tel. (Res.)			Mobile No.						
			Fax No.			E-mail ID									
<input type="checkbox"/>	3.	Specify the proof of address submitted for correspondence address													
<input type="checkbox"/>	4.	Registered Address (if different from above)													
			City/Town/Village						PIN Code						
			State						Country						
<input type="checkbox"/>	5.	Specify the proof of address submitted for Registered address													
C. OTHER DETAILS															
<input type="checkbox"/>	1.	Name, PAN, Residential Address and Photographs of Promoters/ Partners/Karta/Trustees and whole time directors:		As per Separate Sheet Enclosed											
<input type="checkbox"/>	2.	a. DIN of whole time directors													
		b. Aadhaar Number of Promoters/Partners/Karta													
DECLARATION										Signature of the Applicant					
I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.										_____ (2)					
												Date		D	D
FOR OFFICE USE ONLY															
<input type="checkbox"/> Originals verified & Self-Attested documents copies received															
Name of the person doing IPV* & Interview								Designation							
Date of IPV*		D	D	M	M	Y	Y	Y	Y	SEBI Regn. No. #		Signature of the person doing IPV*			
Name of the Organization															
Signature of the Authorised Signatory of Consortium Securities Pvt. Ltd. with Seal & Stamp								Date							
								D	D	M	M	Y	Y	Y	Y

\* IPV - stands for In Person Verification # Member Broker / Authorised Person

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading and Demat Account)

### A. IMPORTANT POINTS

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

### B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar) /Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA)

List of documents admissible as Proof of Address:

(\*Documents having an expiry date should be valid on the date of submission.)

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

### D. Exemptions/clarifications to PAN

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

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

### E. List of people authorized to attest the documents:

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

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

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

**Note :** (1)\* For corporate: 25% or more ownership & for other entities 15% and above implies "controlling ownership from UBO perspective".

(2)\*\* For Trusts, the trustees and settlors / protectors are also to be given as UBOs

(3) Individual having controlling stake /UBO shall submit KYC -Part-I, separately, alongwith the copy of their aadhaar card/other proof of identity /address.



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

<b>Name of Applicant</b>	
--------------------------	--

<b>PAN of the Applicant</b>	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td> </tr> </table>																				

1.	Name																			Photograph  Please affix your recent passport size photograph & Sign Across it.		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN											DIN										
	AADHAAR																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
		State											Country									
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																				

2.	Name																			Photograph  Please affix your recent passport size photograph & Sign Across it.		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN											DIN										
	AADHAAR																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
		State											Country									
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																				

3.	Name																			Photograph  Please affix your recent passport size photograph & Sign Across it.		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN											DIN										
	AADHAAR																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
		State											Country									
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																				

4.	Name																			Photograph  Please affix your recent passport size photograph & Sign Across it.		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																					
	PAN											DIN										
	AADHAAR																					
	Residential / Registered Address																					
		City/Town/Village											PIN									
		State											Country									
	Wether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																				

<b>Name &amp; Signature of the Authorised Signatory(ies)</b>	
--	--

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

Note: You may add the pages, for add Directors more than above.

**PART-II TRADING & DEPOSITORY ACCOUNT RELATED DETAILS**

**FOR INDIVIDUALS & NON-INDIVIDUALS**



**Consortium Securities Pvt. Ltd.**

CIN : U74899DL1994PTC058772  
 Member : NSE, BSE, MSEI • DP (NSDL) DP ID : IN302316  
 Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065  
 Phone: + 91-11-26422413, 66237500

FOR OFFICE USE ONLY

CLIENT ID									
Unique Client Code (UCC)									

I/We request you to open a Trading & Depository account in my/our name as per the below mentioned details and request you to map my/our Client Id so allotted for depository account opened alongwith my/our trading account as my/our primary depository account and other depository account, if any, mentioned below as my/our additional depository account.

**DETAILS OF ACCOUNT HOLDER(S)**

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> X-Not Catgorised <input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> X-Not Catgorised <input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> X-Not Catgorised <input type="checkbox"/> Others (Please specify; _____)
Brief details			
Please Tick (✓) if Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)

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

Name		PAN												
------	--	-----	--	--	--	--	--	--	--	--	--	--	--	--

**TYPE OF ACCOUNT**

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Promoter	<input type="checkbox"/> Margin		
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> Others _____

**STANDING INSTRUCTIONS**

I/We authorise you to receive credits automatically into my/our account (If you do not wish to authorise for credit kindly tick at 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Demat Account to be operated through Power of Attorney (PoA)/DDPI	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>SMS Alert Facility</b> [Mandatory if you are giving PoA. Ensure that the mobile no. is provided in the KYC application form]	
First/Sole Holder <input type="checkbox"/> YES <input type="checkbox"/> NO	Second Holder <input type="checkbox"/> YES <input type="checkbox"/> NO
Third Holder <input type="checkbox"/> YES <input type="checkbox"/> NO	
Address for communication / Corporate Benefits (Default option is Local Address) <input type="checkbox"/> Local / Permanent Adress <input type="checkbox"/> Correspondence Address / Foreign Address	

<b>SMS Alert Facility</b>	Mobile No. + 9 1 _____
Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	[Mandatory if you are giving PoA/DDPI. Ensure that the mobile no. is provided in the KYC application form]
	To register for <b>easi</b> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <b>Easi</b> allows a BO to view his ISIN balances, transactions and value of the portfolio online.






**ANNUAL INCOME DETAILS (Please Specify)**

Income Range per annum	<input type="checkbox"/> Below ₹ 1Lac	<input type="checkbox"/> ₹ 1-5 Lac	<input type="checkbox"/> ₹ 5-10 Lac	<input type="checkbox"/> ₹ 10-25 Lac	<input type="checkbox"/> ₹ 25-1 Crore	<input type="checkbox"/> More than ₹ 1 Crore								
Networth Amount (₹)	_____ as on					<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table> (Networth should not be older than 1 year)	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y							

Networth is compulsory for Non-Individual client

## TRADING PREFERENCES

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

EXCHANGE	NSE, BSE & MSEI				MCX, NCDEX, BSE & NSE
All Segments	Cash /Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
	 (4a)	 (4b)	 (4c)	 (4d)	 (4e)

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

## MFSS TRADING PREFERENCES

MFSS account to be opened, please tick	<input type="checkbox"/> NSE	<input type="checkbox"/> BSE	 (4f)
--	------------------------------	------------------------------	--

## DEMAT PREFERENCES

Demat account to be opened, please choose anyone. <input type="checkbox"/> NSDL	 (4g)
---	--

## DEPOSITORY ACCOUNT(S) DETAILS

S.No.	Name of Depository	DP ID	Client ID	DP Name
1.	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
2.	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

\* If demat account(s) to be mapped is/are already opened then Copy of client master or latest statement of holding is required.

## BANK ACCOUNT(S) DETAILS

Sr.	Bank Name	Branch Address & Pin Code	Type of Bank Account / A/c No.	MICR Code																																
1.			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ No. _____	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td colspan="16">IFSC Code _____</td></tr></table>																	IFSC Code _____															
IFSC Code _____																																				
2.			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ No. _____	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td colspan="16">IFSC Code _____</td></tr></table>																	IFSC Code _____															
IFSC Code _____																																				

\*Copy of cancelled cheque with MICR & IFSC Code is required. Bank details at serial no. I will be mapped with demat a/c to be opened, if any.

## G.S.T. Registration Details (As applicable)

Sr.No.*	State	GST Registration Number
1.		
2.		

\*Please attach copy of GST Registration Certificate.

**PAST ACTIONS**

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities/commodities during the last 3 years:  Yes  No if yes, Mention Details.....

**GUARDIAN DETAILS (where sole holder is a minor) :**

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name											
Relationship of guardian with applicant											PAN

**CLEARING MEMBER DETAILS (To be filled by Clearing Members only) FOR DEMAT ACCOUNT**

Name of the Stock Exchange		Name of Clearing Corporation/Clearing House	
Clearing Member ID		SEBI Registration No.	
Trade Name		CM BP - Id (to be filled up by DP)	

**DEALINGS THROUGH OTHER TRADING MEMBERS**

If client is dealing through any other Trading Member, provide the following details (in case dealing with multiple Trading Members/AP's, provide details of all in a separate sheet containing all the information as mentioned below:

Member's / AP's Name				Client Code	
Exchange			Exchange Regn. No.		
Concern Members Name with whom the AP is Registered					
Registered Office Address					
			City/Town/Village		
			State	Country	
Ph.	Fax	Email			Website
Details of disputes/dues pending from/to such Member/AP:					

**ADDITIONAL DETAILS**

◆ Mode of receiving statement of Account/ECN & other documents <input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note & ensure that email id is provided in KYC application form.					
Specify your Email id, if applicable		[E-mail Id mentioned in Part-I]		<b>E-mail Alert Facility</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	
◆ Whether you wish to avail of the facility of internet trading/ wireless technology <input type="checkbox"/> Yes <input type="checkbox"/> No Please specify					
◆ <b>No download for e-mail ID to Issuer / RTA</b> <input type="checkbox"/> Yes <input type="checkbox"/> No					
◆ <input type="checkbox"/> No Prior Experience _____ <input type="checkbox"/> In Commodities _____ Yrs <input type="checkbox"/> In other investment related fields _____ Yrs					
◆ In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of <input type="checkbox"/> Company <input type="checkbox"/> Firm <input type="checkbox"/> Others _____					
◆ Mode of receiving Standard Account Opening Documents <input type="checkbox"/> Electronic Mode <input type="checkbox"/> Physical Mode					
◆ Any other information					

**IN CASE OF NRI's/Foreign National/FII's/OCB/OTHERS (As may be applicable)**

RBI Approval Reference No.		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration No. (For FII's)										
Please attach copy of permission for dealing in securities/commodities from authorised dealer (bank) - RBI Approval										
With reference to my/our Demat account maintain with Consortium Securities Pvt. Ltd., I/We hereby confirm that I/We have complied with, and shall continue to comply with Foreign Exchange Management Act (FEMA), 1999 and Rules & Regulations issued thereunder and other applicable laws.								(5)		Signature of Client



**NOMINATION FORM** (Please fill either Annexure- A or Annexure-B, given below)

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/60I dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

**NOMINATION DETAIL**

Nomination Registration No. : <input style="width: 100%;" type="text"/>	Date : <input style="width: 100%;" type="text"/>
---	--

UCC (Trading Code) <input style="width: 100%;" type="text"/>	DP ID <input style="width: 100%;" type="text"/>	Client ID <input style="width: 100%;" type="text"/>
--	---	---




I/We wish to make a nomination. [As per details given below]

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

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

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




8	Date of Birth {in case of minor nominee(s)}	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
9	Name of Guardian (Mr./Mrs.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			
		PIN Code		
11	Mobile/Telephone No. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with Nominee			

<b>I4 Guardian Identification details :</b> [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature   <div style="border: 1px solid black; padding: 2px; width: fit-content; margin-left: auto;">Signature</div>	<b>Photograph of 1st Guardian</b>  <div style="border: 1px solid black; padding: 5px; transform: rotate(-15deg); display: inline-block;">Signature of Guardian across photograph</div>	<b>Photograph of 2nd Guardian</b>  <div style="border: 1px solid black; padding: 5px; transform: rotate(-15deg); display: inline-block;">Signature of Guardian across photograph</div>	<b>Photograph of 3rd Guardian</b>  <div style="border: 1px solid black; padding: 5px; transform: rotate(-15deg); display: inline-block;">Signature of Guardian across photograph</div>	
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Saving Bank Account No.			
	<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID				
<b>Signature of All Holder's</b>				
 (7) Signature of Sole / First Holder	 Signature of Second Holder	 Signature of Third Holder		

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

Note:- This Nomination shall supersede any prior nomination made by the account holder(s), if any




**[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/60I dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]**

<b>DECLARATION FORM FOR OPTING OUT OF NOMINATION</b>		Date	<table style="width: 100%; text-align: center;"> <tr> <td style="border: 1px solid black;">D</td> <td style="border: 1px solid black;">D</td> <td style="border: 1px solid black;">M</td> <td style="border: 1px solid black;">M</td> <td style="border: 1px solid black;">Y</td> <td style="border: 1px solid black;">Y</td> <td style="border: 1px solid black;">Y</td> <td style="border: 1px solid black;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				
UCC (Trading Code)		DP ID		Client ID							
<b>Sole/First Holder Name</b>											
<b>Second Holder Name</b>											
<b>Third Holder Name</b>											
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.											
<b>Signature of All Holder's</b>											
 (7) Signature of Sole / First Holder	 Signature of Second Holder	 Signature of Third Holder									

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

Note:- This Nomination shall supersede any prior nomination made by the account holder(s), if any

## SIGNATURES OF ALL HOLDERS

Signature of Sole/ First Holder/ Guardian/Karta/ Auth. Signatory	 (8)
Signature of Second Holder / Auth. Signatory	
Signature of Third Holder / Auth. Signatory	

## DECLARATION

<ol style="list-style-type: none"> <li>I/We hereby declare that the Rules, Regulations and By-laws of the Depository, Depository Participants, SEBI, Stock Exchanges &amp; Stock Broker pertaining to an account which are in force now have been read by me /us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. The details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/we may be held liable for it.</li> <li>I/We confirm having read explained and understood the contents of the document on policy and procedures of the Stock Broker and the tariff sheet. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) (Depository &amp; Trading) and 'Risk Disclosure Document' (Trading). I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/We hereby acknowledge the receipt of Rights and Obligations of Stock Brokers, Sub-Brokers and Clients (Trading) and also Rights and Obligations of the Beneficial Owner and Depository Participant. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.</li> <li>I/We hereby declare that the client id allotted to me/us for depository account opened by you as per this application form be mapped with my/our trading account opened as per this application form as my/our primary depository account and other depository account, if any, mentioned above as my/our additional depository account.</li> <li>I/We do not wish to open a BO Account under BSDA Scheme. Please open my BO Account as a regular account.</li> </ol>	<p>Place : _____ Date: _____</p>
--	----------------------------------

## FOR OFFICE USE ONLY

UCC Code allotted to the Client	Client ID
<p>I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, for the information of the clients.</p>	
Date :	<b>Signature of the Authorised Signatory of Consortium Securities Pvt. Ltd. with Seal &amp; Stamp</b>

## INSTRUCTIONS / CHECK LIST

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

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

Bank Proof: Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

Demat Proof: Demat master or recent holding statement issued by DP bearing name of the client.

For Non Individuals:

- Form need to be initialised by all the authorized Signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities/commodities on behalf of company/firm/others and their specimen signatures.

In-person Verification:

For Individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/authorised person's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

### NOTES :

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
  - Client must ensure the confidentiality of the password of the email account.
  - Client must promptly inform the Participant if the email address has changed.
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.



**TARIFF SHEET****CASH SEGMENT**

Brokerage Slab	Slab %	Minimum Paise	One Side / Both Side
Delivery Based			
Daily Square up			

**DERIVATIVES SEGMENT**

Brokerage Slab	Slab %	Minimum Paise / Per Lot	One Side / Both Side
Future			
Option			

**CURRENCY DERIVATIVES SEGMENT**

Brokerage Slab	Slab %	Minimum Paise / Per Lot	One Side / Both Side
Future			
Option			

**MUTUAL FUND**

Brokerage Slab	Slab %	Minimum Paise
Delivery Based		

**COMMODITIES DERIVATIVES**

Brokerage Slab	Slab %	Minimum Paise / Per Lot	One Side / Both Side
Future			
Option			

**NOTE :-**

- The minimum brokerage for the Segment shall be RS 50 # in case brokerage levied for the day in a segment is less than RS 50 the difference shall be charged separately.
- In addition to the brokerage settlement/clearing charges of Rs 10 (inclusive of GST) per segment shall be charged.

Signed for and on behalf of Client

Signature of Client

 (9)

Name of the Client

Date :

**SCHEDULE - A DEPOSITORY PARTICIPANT OF NSDL (SCHEDULE OF CHARGES)**

Sr. No.	Detail of Charges	Charges
1.	Account Opening Charges	Nil
2.	Account Maintenance Charges	a. 300 (Plus GST) Normal                      b. Rs.1250/- (Plus GST) Life Time
3.	Demat Charges	Rs. 5 per Certificate + Courier Charges (in actual)
4.	Remat Charges	Rs. 25/- per instruction + Courier Charges (in actual)
5.	Transaction (Debit)	Rs. 15/- (POA Account) Rs. 20/- (Non POA Account) or .01% Whichever is higher
		Rs. 25/- (Delivery Given to any other Account) or .01% Whichever is higher
6.	Pledge Creation	Rs. 50/- per instruction
7.	Pledge Creation confirmation	Nil
8.	Pledge Closure	Rs. 25/- per instruction
9.	Pledge Closure confirmation	Nil
10.	Pledge Invocation	Nil
11.	Failed instruction charges	Nil
12.	Other charges, if any	Rs. 25/- Plus Courier Charges for Physical Statement Fee and Rs. 50/- Plus Courier Charges for Re-issue of Delivery Instruction Booklet

Any Service which is not mentioned above may be charged extra.

- Charges for delivery instructions accepted at client's sole risk beyond NSDL deadline, a late deposit fee of Rs. 20/- shall be charged per delivery slip.
- In case of Non-payment of bills/dues within 30 days of due date, the depository services are liable to be discontinued. The renewal charges for resuming services will be Rs. 100/- in addition to charges of all outstanding dues along with interest @ 24% per annum.
- Non periodic statement and other communication shall be charged @ Rs. 5/- per page in addition postage charges/courier charges shall be charged in actual.
- In case of upward revision of charges 30 days notice will be given.
- Taxes and other Government levies are extra as applicable from time to time.

**“All market instructions for pay in must be received latest by 4.00 p.m. of the previous working day of pay in day. All other instructions for transfer must be received at least 24 hours before the execution date. Late instructions shall be accepted at the account holder's sole risk and responsibility.”**

 (10)

Signature of First Executant



Signature of Second Executant



Signature of Third Executant

## DECLARATION FOR MOBILE NUMBER

To,

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065 | Phone: + 91-11-26422413, 66237500

**Sub: Declaration for Mobile No.**

**Ref: My Existing / New Client Code**

**& Client ID**

Name of Client

R/o

Mobile Number

I/We hereby declare that the above information is true and correct and that the mobile number listed above is registered in my/our name(s) and/or is the number that I/we use in the ordinary course. I/we hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now subsequent to the date hereof, I/We consent to Consortium Securities Pvt. Ltd. communicating to me/us about the transactions carried out in my/our aforesaid account(s)

Thanking You

Yours faithfully,

Signature of Client

 (11)

Name:

Date:

[\* In case of Non-Individual, Signature with rubber stamp]

## DECLARATION FOR NAME MISMATCH (To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per PAN CARD

Name as per Address Proof

Name as per Bank Proof

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep Consortium Securities Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by Consortium Securities Pvt. Ltd. for any act done or omitted to be done on the above declaration.

Signature of Client

 (12)

Name:

Date:

[Note : To be signed by person himself / herself not to be signed by his / her attorney / authorised person etc.]

## DECLARATION FOR SIGNATURE MISMATCH

(To be filled if client's signature is mismatched from PAN Card and Bank)

This is to bring into your notice that my signature on PAN Card / Bank and account opening form are as follows:

Signature as per Bank

Signature as per  
Account Opening Form

Signature as per PAN Card

I hereby confirm that all the above signatures are mine. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep Consortium Securities Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by Consortium Securities Pvt. Ltd. for any act done or omitted to be done on the above declaration.

Signature of Client

 (13)

Name:

Date:

[Note : To be signed by person himself / herself not to be signed by his / her attorney / authorised person etc.]

## STANDING INSTRUCTIONS

To,

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065

Phone: + 91-11-26422413, 66237500

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

Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.

You have disclosed to me/us that you undertake proprietary trading.

The Client hereby authorizes Consortium to maintain records / books of accounts for the Client collectively for different exchanges/ segments of the exchanges and / or any other service which the Client may be availing.

Thanking You

Yours faithfully,

Signature of Client

 (14)

Name :

Date :

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]

## DECLARATION FOR AVAILING OF BASIC SERVICES DEMAT ACCOUNT (BSDA) FACILITY

To,

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065

Phone: + 91-11-26422413, 66237500

Dear Sir/Madam

I wish to open a BSDA Account with your Depository

I do not wish to open a BSDA Account with your Depository

DP ID

Client ID

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/we also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case I/We have opted for the BSDA account and my/our account does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, then it will be treated as a non BSDA account.

My/our option to open BSDA Demat account with you must be treated my/our declaration of not having any demat account across any depositories.

 (15)

Signature of First Executant



Signature of Second Executant



Signature of Third Executant

Name :

Name :

Name :

Particulars	Sole/First Holder/Guardian	Second Holder	Third Holder
A. Country of Birth is any country other than India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
B. Citizen of any country other than India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
C. Tax resident of any country/ies other than India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
D. Are you a US Specified Person	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If any of the above answer is "Yes", please fill the below mentioned details also.

Particulars	Sole/First Holder/Guardian		Second Holder		Third Holder	
Place & Country of Birth						
Country of Citizenship/ Nationality						
Sr. No.	Country of Tax Residency* (Other Than India)	Taxpayer Identification No.	Country of Tax Residency* (Other Than India)	Taxpayer Identification No.	Country of Tax Residency* (Other Than India)	Taxpayer Identification No.
1.						
2.						
3.						
Address						

\*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

### DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Consortium Securities Pvt. Ltd. for any modification to this information promptly.

For Investor convenience, Consortium Securities Pvt. Ltd. (CSPL) collecting this mandatory information for updating across all Group Companies of CSPL whether you are already an investor or would become an investor in future.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

 (16)

.....  
Sole/First Holder Signature



.....  
Second Holder Signature



.....  
Third Holder Signature

\*For Detail Terms & Conditions please visit [www.netashare.com-Download Section](http://www.netashare.com-Download Section)

## FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

I. Is "Entity" a tax resident of any country other than India  Yes  No

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

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

\* In case Tax Identification Number is not available, kindly provide its functional equivalent.

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

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

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

<p>1. We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)</p>	<p><b>GIIN</b> <input style="width: 80%;" type="text"/></p> <p><b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below</p> <p>Name of sponsoring entity _____</p> <p>_____</p> <p><input type="checkbox"/> <b>Applied for</b> <input type="checkbox"/> Not obtained – Non-participating FI</p> <p><input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input style="width: 20px;" type="text"/> (Refer 1 A of Part C)</p>
<p><b>GIIN not available</b> (please tick as applicable)</p>	

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

<p>1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)</p>	<p>Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded)</p> <p>Name of stock exchange _____</p>
<p>2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)</p>	<p>Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</p> <p>Name of listed company _____</p> <p>Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company</p> <p>Name of stock exchange _____</p>
<p>3. Is the Entity an active NFE (Refer 2c of Part C)</p>	<p>Yes <input type="checkbox"/> Nature of Business _____</p> <p>Please specify the sub-category of Active NFE <input style="width: 20px;" type="text"/> (Mention code – refer 2c of Part C)</p>
<p>4. Is the Entity a passive NFE (Refer 3(ii) of Part C)</p>	<p>Yes <input type="checkbox"/> Nature of Business _____</p>

### UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

**Category** (Please tick applicable category):

Unlisted Company
 Partnership Firm
 Limited Liability Partnership Company

Unincorporated association / body of individuals
 Public Charitable Trust
 Religious Trust
 Private Trust

Others (please specify \_\_\_\_\_)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID <sup>¶</sup>			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) <sup>§</sup>			

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

¶ If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

<sup>¶</sup>In case Tax Identification Number is not available, kindly provide functional equivalent

<sup>§</sup> Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

### DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Consortium Securities Pvt. Ltd. for any modification to this information promptly.

For Investor convenience, Consortium Securities Pvt. Ltd. (CSPL) collecting this mandatory information for updating across all Group Companies of CSPL whether you are already an investor or would become an investor in future.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	

 (17)

.....  
Sole/First Authorised Signatory

Place \_\_\_\_\_



.....  
Second Authorised Signatory



.....  
Third Authorised Signatory

Date \_\_\_\_/\_\_\_\_/\_\_\_\_

\*For Detail Terms & Conditions please visit [www.netashare.com](http://www.netashare.com).-Download Section

## MUTUAL FUND FACILITY

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

To

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065 | Phone: + 91-11-26422413, 66237500

**Sub : Mutual Fund Service System (MFSS )Facility/ BSE StAR Mutual Fund Facility & other MF approved platform.**

Sir,

I/We \_\_\_\_\_ am/are registered as your client with UCC No. \_\_\_\_\_

for the purpose of trading in the Capital Market segment and/or Derivatives segment. I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and/or BSE StAR MF and/or other MF. For the purpose of availing these facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of this facility and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated November 24, 2009, BSE circular dated December 2, 2009 and as may be specified by the Exchanges from time to time in this regard. I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. I/we agree and authorize you to issue payment on my behalf by debiting my account with the value of my/our transactions along with charges.

I/we therefore request you to register me/us as your client for participating in mutual fund trading facility of exchanges.

### Details of terms & conditions for the Investor / Client for using MFSS facility BSE StAR MF & other MF Platform

- I. Pre-requisites for becoming Investor / Client for the MFSS facility/ BSE StAR MF /other MF platform.
  - I.1. The client who is desirous of investing in units of mutual fund schemes through the MFSS /BSE StAR /other MF platform.
  - I.2. The Client intends to execute his instruction for the subscription/ redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the MFSS /BSE StAR /other MF platform
  - I.3. The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transacting through the MFI.
  - I.4. The Client has approached to the MFI with the application for availing the MFSS facility/BSE StAR/other MF platform
  - I.5. The client has submitted relevant KYC (Know Your Client) details to the MFIs
- 2. Terms and Conditions**
  - 2.1. The client shall be bound by circulars/ notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL/BSE and rules, regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
  - 2.2. The client shall notify the MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the MFSS / BSE STAR/other MF platform or at any time thereafter.
  - 2.3. The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI
  - 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
  - 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
  - 2.6. The client shall ensure continuous compliance with the requirements of the Exchanges, SEBI and AMFI.
  - 2.7. The Client shall pay to the MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that MFI renders to the Client.
  - 2.8. The client will furnish information to the MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
  - 2.9. In the event of non-performance of the obligation by the MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL), other exchanges/Clearing Corporation.
  - 2.10. In case of any dispute between the MFIs and the investors arising out of the MFSS facility/ BSE StAR/other MF platform, exchanges and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Signature of Client

 (18)

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



**Margin Trading Facility (MTF)**

To

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

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065 | Phone: + 91-11-26422413, 66237500

**Sub: Request/consent for availing the Margin Trading Facility (MTF) in NSE/BSE**

UCC.: \_\_\_\_\_

Dear Sir,

This has reference to KYC Form and execution of necessary documents in this regard for opening of my/our trading account with you.

Further, I/we wish to avail the Margin Trading Facility (MTF) in my/our trading account to be opened with you in NSE &/or BSE. I/We have read & understood the Rights & Obligations of Stock Brokers, Sub-brokers & Clients, Policies & Procedures and other terms & conditions pertaining to MTF and undertake & agree to abide by the same including the rules, regulations & byelaws of the exchange/SEBI issued from time to time in this regard.

I/We hereby agree that the mode of communication including for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position may be given telephonically or electronically or otherwise as per the discretion of the stock Broker.

Further, I/we understand & agree that all the terms and conditions of the authorization given by me/us, titled "Authorisation for Electronic Contract Notes" for issuing ECN and other documents in electronic form to me/us, shall be mutatis mutandis applicable to me/us for the aforementioned MTF as well.

You are requested to kindly do the needful for the activation of my/our trading account for the MTF.

Signature of Client

 (19)

Thanking you,  
Yours faithfully

Name : .....

Date : .....

**DECLARATION TO BE GIVEN BY HUF ON THE LETTER HEAD OF THE HUF**

To,

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065 | Phone: + 91-11-26422413, 66237500

We, all the coparceners (members) detailed below of the Hindu Undivided Family having PAN No. \_\_\_\_\_ do here by authorize Karta of the family Mr \_\_\_\_\_ to open /operate in the name of this HUF a dealing / trading account and inter-alia to open and /or operate accounts with a Depository Participant and to issue notices and instructions relating to transfer , pledging , dematerializing or Rematerializing , orders , execute deals through you for and on behalf of the above named HUF and we state that we are and shall always be jointly and severally responsible for the dealings/ orders /trades / transactions that are executed by the karta Mr \_\_\_\_\_ and all his orders /deals shall be binding on the HUF and all its members jointly as well as severally.

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in writing and understand that we are required to collect from you an acknowledgement of having taken the same on record.

The Specimen signature of the Karta Mr. \_\_\_\_\_

is given below:

Specimen Signature in full

Thanking you,  
Yours faithfully,

Name of the Co-Parceners	Sex	Date of Birth	Relationship with the Karta	Signature of the Co-Parceners

## TERMS & CONDITIONS FOR MARGIN TRADING FACILITY (MTF)

As prescribed by Consortium Securities Pvt. Ltd. (CSPL)

### KYC & Other documents executed separately

1. All the terms and conditions of the agreement, titled "Contract between Stock Broker & Client "Policy & Procedures" and other relevant documents entered by the Client during the Client Registration process and from time to time thereafter shall be mutatis mutandis applicable to the Client for the aforementioned MTF as well.
2. All the terms and conditions of the authorization given by the Client, titled "Authorisation for Electronic Contract Notes" for issuing ECN and other documents in electronic form to the Client, given by the Client shall be mutatis mutandis applicable to the Client for the aforementioned MTF as well.
3. The Client must ensure that the information provided by the client for opening of his/her/it trading account is up to date and be used for the aforementioned MTF. The Client shall be responsible to keep the same updated at all times.

### Interest, Brokerage and Other charges

4. The client will be charged with interest at the rate of 1.5% per month or any other rates as may be mutually agreed between the client and the Stock Broker along with applicable taxes, if any. The Client hereby authorizes the Stock Broker to directly debit the same to the account of the Client on daily product basis. Further, Brokerage & other charges including applicable taxes as per the tariff sheet signed by the client for the delivery trades in the normal transactions of the relevant exchange or mutually agreed terms thereafter shall also be applicable to the MTF trades.

### Mode of Communication

5. The consent for activation of Margin Trading Facility can be given by the client by duly signed physical letter or by any secured electronic method provided by the Stock Broker
6. Mode of all types of communication including but not limited to communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position may be given telephonically/electronically or otherwise through the Client's E-mail / SMS at the email id / mobile number of the Client registered with CSPL or by way of logging-in on website of CSPL in a secured manner or physical mode as per the discretion of the stock Broker. The client shall note that non-receipt of bounced mail notification by the Stock Broker shall amount to delivery of the aforesaid communication at the e-mail ID of the client. In case, in any of the above exchanges due to any reason, whatsoever, if client wants the Stock Broker to send any document in physical form including bouncing of email, charges, as applicable, shall be debited to the client account.

### Securities Eligible for Margin Trading Facility

7. Equity Shares that are classified as 'Group I security' as per SEBI Master circular No. SEBI/HO/MRD/DP/CIR/P/2016/135 dated December 16, 2016, or as permitted by SEBI/Exchanges/Stock Broker from time to time, shall be eligible for Margin Trading Facility.

### Margin Requirement

8. In order to avail Margin Trading Facility, initial margin required shall be as under:

Category of Stock	Applicable margin
Group I stocks available for trading in the F & O Segment	VaR + 3 times of applicable ELM*
Group I stocks other than F&O stocks	VaR + 5 times of applicable ELM*

\*For aforesaid purpose the applicable VaR and ELM shall be as in the cash segment for a particular stock.

9. The initial margin payable by the client to the Stock Broker shall be in the form of cash, cash equivalent or Group I equity shares, with appropriate hair cut as specified in SEBI Master circular no. SEBI/HO/MRD/DP/CIR/P/2016/135 dated December 16, 2016. or as applicable from time to time .
10. The Client hereby understands and agrees that it shall be the responsibility of the Client to regularly monitor and review the margin availability and keep sufficient margin at all times with CSPL. The Client also understands and agrees that in the event of available margin being reduced to 60% or less of the required margin at any point during the day or end of day due to any reason, the client's collateral/security/positions may be liquidated immediately by CSPL without any reference to the client. Client can also ascertain his/her/its margin availability and surplus/shortage in margin on real time basis from information on margin utilized, Mark to Market(MTM), ledger balance, collateral value etc provided by CSPL on its website/mobile application. . Further, CSPL may also inform the Client on MTM/margin status during the day and or at the end of the day through SMS and or email.

11. The Client agrees that CSPL shall be entitled to sell, pledge, block / unblock, deal with or otherwise transfer the Securities of the client to any third party, including the Clearing Corporation/House of the respective exchanges (if acceptable by exchanges ) for any purpose and declare to the third party that all the Securities are being provided to such parties as securities being the unencumbered, absolute and disposable property of CSPL and free from any prior charge, lien or encumbrance, and to execute transfer documents and/or any other necessary documents, wherever applicable or other endorsements for this purpose. CSPL shall be entitled to receive from the Client all costs, charges, expenses incurred by CSPL for the aforesaid purposes as well as any consent, ratification or the like which shall not be withheld or delayed for any reason and in case of failure of which CSPL is hereby permitted and authorized to provide the same for and on behalf of the Client.
12. The exchange/stock broker, based on the risk assessment, shall have the discretion to impose/collect higher margin than the margin specified in para-8 above.

### **Liquidation of Securities by the Stock Broker in Case of Default by the Client**

13. The Stock Broker shall have the right to liquidate the securities/position, if the client fails to meet the margin and or to comply with the conditions as mentioned above or specified in the "Rights and Obligations Document" specified by exchange with respect to MTF. The position may be squared off and or securities/collaterals may be liquidated on best effort basis by the Stock Broker, however, the Stock Broker shall not be responsible for any loss, including on account of any fluctuation, execution, partial or non-execution of the trades or any loss of opportunity or notional profit due to any reason whatsoever.

### **Closure /Termination of MTF Account**

14. The Client may close / terminate the Margin Trading Account at any time after paying all the dues payable by the Client related to the client's MTF account &/or any other segment/exchange with the Stock Broker
15. The Stock Broker shall have the right to close client's MTF Account without assigning any reason by giving 30 days notice to the client.

### **Other Conditions**

16. The Client shall lodge protest or disagreement with any transaction done under the Margin Trading Facility within the next working day on which the MTF trade is executed.
17. Any disputes arising between the client and the Stock Broker in connection with the Margin Trading Facility shall have the same treatment as normal trades and shall be covered under the investor grievance redressal mechanism/ arbitration mechanism of the stock exchange.
18. The client understands and agrees that Stock Broker may at any point of time adjust the debit balance of normal transactions account to the balance of MTF account of the client or vice-versa.
19. The delivery of the securities given by the client can be released on the request of the client at any time subject to repayment of the amount that was paid by the Stock Broker to the Exchange towards securities and all other dues payable by the client related to the client's MTF account or any other segment/exchange with the Stock Broker.
20. CSPL shall not be bound to grant MTF to the Client (which decision shall be at the sole and exclusive discretion of CSPL) and CSPL shall not be required to provide any reasons thereof nor shall CSPL be liable for any damages, direct or consequential or whether monetary or otherwise, to the Client by reason of CSPL refusal to grant MTF to the Client.
21. The dues, wherever mentioned herein, includes but not limited to outstanding balances, interest, statutory taxes, duties, charges, penalties etc.
22. No delay in exercising or omission to exercise any right, power or remedy accruing to CSPL upon any default by the Client or otherwise under these Right and Obligations document or the Contract between Member Broker & Client shall impair any such right, power or remedy or shall be construed to be a waiver thereof or any acquiescence in such default, nor shall the action or inaction of CSPL in respect of any default or any acquiescence by it in any default, affect or impair any right, power or remedy of CSPL in respect of any other default. The rights of CSPL under these Terms and Conditions and the Member Client Agreement(s)/ Contract between Member Broker and Clients/Rights & Obligations of Stock Broker, Sub Brokers & Clients/Policies & Procedures or any other document executed by the Client are cumulative and not exclusive of their rights under the general law and may be waived only in writing and specifically and at the sole discretion of CSPL.
23. The client understands and agrees that the stock broker shall be entitled to modify/alter the terms and conditions by giving a 30 days notice to the client. The continued use of the facility by the client shall be deemed to be an acceptance by the client that he/she/it has understood the modified /altered terms and conditions and accepts the same
24. The client understands that the positions will be permitted to be continued upon fulfillment of the necessary Margin requirements as specified by CSPL for the particular scrip from time to time. The Client agrees that though presently there is no maximum time limit prescribed by CSPL for keeping the positions open, CSPL reserves the right at its discretion to stipulate a maximum time within which Client will have to either square off the position or make the payments for delivery

25. CSPL, at its sole discretion, reserves the right to either temporarily or permanently, withdraw or suspend the Margin Trading Facility in question at any time without giving any notice or assigning any reason for the same, whether in respect of one or more Clients. In case of a temporary withdrawal, the privileges may be reinstated by CSPL at its sole discretion.
26. The Client understands that under MTF, Client would not be able to take further positions and/or existing positions may be squared off by CSPL at its discretion on occurrence of any of the following events:
  - 1) If at any point of time total exposure across all stocks of all the Clients of CSPL taken together under this facility exceeds the SEBI / Stock Exchange prescribed maximum allowable exposure limit specified for a stock broker. Client agrees that CSPL may set this limit at its discretion which can be lower than the limits prescribed by SEBI/Stock Exchange as part of its risk management process.
  - 2) If the Client exceeds or is about to exceed the maximum allowable exposure for a single Client. Client understands that SEBI /Stock Exchange has prescribed a maximum limit for allowing exposure to a single Client. Client agrees that CSPL may set this single Client exposure limit at its discretion which can be lower than the limits prescribed by SEBI /Stock Exchange as part of its risk management process.
  - 3) If the total exposure in a particular stock of all the Clients of CSPL taken together under this facility reaches the maximum allowable limit for that stock as may be defined by CSPL.
  - 4) If the exposure in a particular stock by a single Client under this facility reaches the maximum allowable limit for that stock for a single Client as may be defined by CSPL.
  - 5) If the stock moves out from the list of eligible stocks under MTF and becomes ineligible for offering under MTF.
  - 6) Any other circumstances due to change in regulatory requirements from time to time or risk management process due to changing market conditions.
27. The client agrees that CSPL may at its discretion, in accordance with its risk management policy, disable certain securities and square off all open positions in this facility in such scrips irrespective of margin availability on account of reasons including but not limited to volatility, corporate action such as stock split, issue of bonus shares, merger and the like without intimating the client in advance. Client agrees that CSPL cannot be held liable for any losses arising out of such disablement or squaring off.
28. The client understands that Stocks bought under the MTF shall be marked to market on daily basis and collateral/margin shall be revalued frequently. Further, client agrees that no exposure shall be given on increased value of stock funded by CSPL.

I/We have read & understood the aforesaid Rights & Obligations of Stock Broker & Clients, terms & conditions and policies & procedures pertaining to availing of Margin Trading Facility (MTF) provide by Consortium Securities Pvt Ltd in NSE/BSE and undertake & agree to abide by the same including the rules, regulations & bylaws of the exchange/SEBI issued from time to time in this regard.

Signature of Client

 (20)

Name: .....

Date:.....

UCC: .....

**SELF DECLARATION - CATEGORIZATION OF THE CLIENTS FOR EACH COMMODITY**

To,

**Consortium Securities Pvt. Ltd.**

Dated: \_\_\_\_\_

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065 | Phone: +91-11-26422413, 66237500

**CATEGORIZATION OF THE CLIENTS FOR EACH COMMODITY**

I/We have been/shall be dealing through you as my/our member broker on different Commodity Exchanges in my/our trading account opened /to be opened with you.  
I/We hereby declare my/ our category for the commodities mentioned therein, as given below in accordance with SEBI circular no. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 04, 2019:


CATEGORIES							
Sr. N.	Name of Commodities	Farmer / FPO	Value chain participant (VCP)	Domestic Financial institutional investor	Foreign participant	Proprietary trader	Others
1	ALUMINIUM						
2	BARLEY						
3	BLACK PEPPER						
4	BRASS						
5	CARDAMOM						
6	CASTOR SEED						
7	CHANA						
8	COPPER						
9	CORIANDER						
10	COTTON SEED OILCAKE						
11	CRUDE OIL						
12	CRUDE PALM OIL						
13	DIAMOND						
14	GAUR GUM						
15	GAUR SEED 10 MT						
16	GOLD						
17	ISABGS						
18	JEERA						
19	KAPAS / COTTON						
20	LEAD						
21	MAIZE						
22	MENTHAOIL						
23	MOONG						
24	MUSTARD SEED						
25	NATURAL GAS						
26	NICKEL						
27	PADDY (BASMATI)						
28	PBI121						
29	PEPPER						
30	RBD PALMOLEIN						

31	REFINED SOY OIL						
32	RUBBER						
33	SILVER						
34	SOY BEAN						
35	STEELONG						
36	SUGAR M						
37	TURMERIC						
38	WHEAT						
39	ZINC						

I/We further declare that in case declaration is not provided for any of the particular exchange traded commodity, please consider the "Others" category for the same. I/We undertake that I/we shall inform the member broker in case there is any change in category for any of the exchange traded commodity.

**CATEGORIES**

- Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature.
- Value chain participants (VCPs): It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
- Proprietary traders: It includes the members of stock exchanges trading in their proprietary account.
- Domestic financial institutional investors: It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
- Foreign participants: It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
- Others: All other participants which cannot be classified in the above categories.

Client Name \_\_\_\_\_ Signature of Client  (21)

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

**OPEN INTEREST DECLARATION**

**Sub : My/Our request for trading in Commodity forward Contracts/Commodity Derivatives on MCX as your Client.**

UCC : .....

Dear Sir,

I/We, the undersigned, have taken cognizance of Circular MCX/300/2006 and MCX/338/2006 dated August 1, 2006 & August 21, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circular of MCX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on MCX only on the basis of our above assurances and undertaking.

Client Name \_\_\_\_\_ Signature of Client  (22)

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

1. Refusal of orders for penny /illiquid stock Penny stocks/illiquid Commodities/Commodity Contracts are defined as the stocks/commodities appearing in the list of illiquid Securities / Commodities issued by the exchange(s) every month. The Member Broker may from time to time limit (quantity/value)/refuse orders in one or more Securities /Commodities due to various reasons including market liquidity, value of security(ies) / Commodity(ies) limit ,if any, defined by the exchange either clientwise or memberwise, the order being for Securities /Commodities which are not in the permitted list of the Member Broker/exchange(s)/SEBI, provided further that Member Broker may require compulsory settlement/advance payment of expected settlement value/delivery of Securities / Commodities for settlement prior to acceptance/placement of orders as well. The client agrees that the losses, if any, on account of such refusal shall be borne exclusively by the client alone. The Member Broker may require reconfirmation of orders, which are larger than that specified by the Member Broker's risk management, and the Client is also aware that the Member Broker has the discretion to reject the execution of such orders based on its risk perception.
2. **Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing positions of a client**

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

The Member broker shall have the prerogative to allow differential

purchase/sell limits and or exposures varying from client to client, depending upon credit worthiness, integrity and past conduct of each client.

The member broker may close the existing position of the client without any prior notice wherein the outstanding position of the client is increased in the scrip wherein the scrip is in ban period, due to increase in open interest exceeding stipulated marketwide limit of that scrip or for any other reason, in Future & Option/Currency Derivatives Segment. The exchange(s) may cancel the trade suo-moto without giving any reason thereof. The Member Broker shall be entitled to cancel such relative contract with the Client. The Member Broker shall not be liable for any losses, damage or claims on account of such rejection or cancellation of any trade for any reason whatsoever. The Member Broker is required only to communicate /devise the parameters for the calculation of the margin /security requirements as rate(s) /percentage(s) of the dealings, through any one or more means or methods such as post/speed post/courier/registered post/registered A.D./facsimile /telegram/cable/ email/voice mails/ telephone (telephone includes such devices as mobile phone etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the clients computer; by informing the client through employees /agents of the Member Broker; by publishing/displaying it on the website of the Member Broker /making it available as a download from the website of the Member Broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/ newspaper advertisement etc; or any other suitable or applicable mode or manner. The client agrees that the postal department /the courier company /newspaper company and the email /voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department/the courier company /the email /voice mail service provider, etc. by the Member Broker and the client agrees never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever and once parameters for margin/security requirements are so communicated, the client shall monitor his/her its position(dealings/trades and valuation of security) on his/her /its own and provide the required /deficit margin/security forthwith as required from time to time whether or not any margin call or such other separate communication to the effect is sent by the Member Broker to client and /or whether or not such communication to that effect is sent by the Member Broker to the client and/or whether or not such communication is received by the client.

The Client is not entitled to trade without adequate margin, however, the Client is responsible for all orders, including any orders that may be executed without the required Margin in the Client's account. The Client shall also be responsible for any claims/loss/damage arising out of the non availability /shortage of margin/security required by the Member Broker Signature of Client (17) and or exchange(s) and or SEBI or any other regulatory authority. Further, it shall be his/her/its responsibility to ascertain before hand the margin/security requirements of his/her/its orders/trades/deals and to ensure that the required margin is made available to the Member Broker in such form and manner as may be

required by the Member Broker. If the Client's order is executed despite a shortfall in the available Margin, the Client shall, whether or not the Member Broker intimates such shortfall in margin to the Client, instantaneously make up the shortfall either through delivery of Securities / Commodities in the event of a sale or credit the required funds in the bank account via EFT (Electronic Fund transfer) including Electronic Payment Gateway or personal cheque or Banker's cheque or draft. The client agrees to have disclaimed and waived off any right to disown the transactions /orders executed by the Member Broker under the plea that same were executed without adequate margin.

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

The margin/security/funds deposited/due by/to the client with the Member Broker shall not be eligible for any interest.

The client agrees that all Securities / Commodities and or monies and or assets belonging to the client which are deposited and or submitted and or under the control or possession of the Member Broker shall be subject to a general lien and /or set off, for discharge of any obligation or indebtedness, in any exchange/segment, in which client is / will be dealing. The Client authorize the Member Broker to inter-se transfer or hold funds, Securities / Commodities, debits, credits etc. amongst the exchanges/segments for which the Client has been dealing and or shall be dealing with the Member Broker. In enforcing the right of lien and /or set off, the Member Broker shall have the sole discretion of determining the manner and time in which the Securities / Commodities and or monies and or assets are to be appropriated/liquidated.

The Member Broker is entitled to include/appropriate any/all payout of funds and or Securities / Commodities towards margin/security without requiring specific authorizations for each pay out. The Member Broker is entitled to disable/freeze the account and or trading facility or any other services/facilities, if, in the opinion of the Member Broker, the Client has committed a crime/fraud or has acted in contradiction of the agreement/contract or is likely to evade/violate any laws, rules, regulations, directions of a lawful authority whether Indian or Foreign or if the Member Broker so apprehends.

### **3. Applicable brokerage rate**

Brokerage shall be applied as per the rates agreed upon with the client. The rate of brokerage shall not exceed the maximum brokerage permissible under exchange rules, regulations byelaws, notices and circulars issued by exchange from time to time.

### **4. Imposition of Penalty/delayed payment charges:**

Any amounts which are overdue from the Client on account of any reason, including margin obligations, to the Member Broker without prejudice to the other rights of the Member Brokers the client will be charged with delayed payment charges at the rate of 1.5% per month or any other rates as may be mutually agreed between the client and the Member Broker. The Client hereby authorizes the Member Broker to directly debit the same to the account of the Client on daily product basis.

The Client undertakes to indemnify the Member Broker for any penalty/ charges/fines which might be levied by any regulatory authority i.e. SEBI/Exchange for non-adherence by the Client with any rules /regulations/ circulars/instructions etc. issued by such regulatory authority. The Client agrees that Member Broker reserves the right to recover from the client any penalty/charges/fines imposed by the exchanges/depositories/SEBI/other authority on the Member Broker for any orders/ trades/deals/actions of the Client which are contrary to rules/ regulations/bye laws of the exchange/law for the time being in force.

The Client shall, at all time, be liable to pay Member Broker all relevant charges, fees, levies, duties apart from brokerage, exchange related charges, commissions, statutory charges such as GST and other taxes and transaction expenses as may be agreed between the Client and the Member Broker from time to time and or imposed by any regulatory authority including but not limited to the stock exchanges ( including any amount on account of reassessment or backlogs etc.) and or notified by Member Broker on the website(s) and or sent by electronic communication(s) and or sent by any other mode from time to time and in the event of default of payment of any of the above mentioned charges, without prejudice to the other rights of the MEMBER BROKER.

The client understands that Member Broker is committed to provide the high quality services to clients. Since Member Broker incurs expenditure to provide requisite customized services e.g. Home service to collect delivery instruction slips(DIS), home delivery of payment of cheques, reminder of delivery shortages, updation of balances of clients on their mobile, back office access on internet to clients, transfer of payment to clients account, organizing seminars, arranging meetings with analysts and other allied services etc. The client agrees and authorizes Member Broker to recover such cost from clients by levying other charges as maybe agreed between the Client and the Member Broker from time to time and or notified by Member Broker on the website(s) and or sent by electronic communication and or sent by any other mode from time to time and in the event of default of payment of any of the above mentioned charges, without prejudice to the other rights of the Member Broker.

### **5. The right to sell clients' Securities / Commodities or close clients ' positions, without giving notice to the client, on account of non-payment of client's dues**

The client shall ensure timely availability of funds/Securities /Commodities in designated form & manner at designated time & in designated bank(s) & depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and Securities / Commodities. The Member Broker shall not be responsible for any claim/loss/damage arising out of non



availability/short availability of funds/Securities / Commodities by the client in the designated account(s) of the Member Broker for meeting the pay in obligation of either funds or Securities / Commodities. If the client gives orders/trade in anticipation of the required Securities / Commodities/funds being available subsequently for pay in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of Securities / Commodities/funds for pay in for any reason whatsoever including but not limited to any delays/shortage at the exchange or Member Broker level/non release of margin by the Member Broker etc., the losses which may occur to the client as a consequence of such shortage in any manner such as on account of auctions/square off/close outs etc., shall be solely to the account of the client and the client agrees not to hold the Member Broker responsible for the same in any form or manner whatsoever.

In case the payment is made by the Client through a bank instrument, the Member Broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the Member Broker.

When the margin is made available in form of Securities / Commodities or any other property by the Client, the Member Broker is empowered to decline its acceptance as margin. The Client agrees and authorizes the Member Broker to determine the market value of Securities / Commodities placed as Margin after applying a haircut that the Member Broker may deem appropriate or by marking it mark to market or by any other method as the Member Broker may deem appropriate. The Client's positions are valued at the latest market price available ('mark to market') on a continuous basis by the Member Broker. The Client undertakes to monitor the adequacy of the collateral and the Market value of such Securities / Commodities on a continuous basis. If due to any reason but not limited to price fluctuations, there is erosion/shortfall in the value of the margins, the Client agrees to replenish any shortfall in the value of the margins immediately, whether or not the Member Broker intimates such shortfall.

The Client hereby authorizes the Member Broker to square up/sell/liquidate all his/her/its outstanding positions/ Securities / Commodities and to cancel all pending orders at the discretion of the Member Broker, for any reason including the following (a) which are not marked for delivery 15 minutes before the closing time of the relevant segment (s) of the exchanges or any other time which the Member Broker may notify through electronic communication or otherwise from time to time; or (b) when mark to market (MTM) percentage reaches or crosses stipulated percentage mentioned on the website or any other percentage which the Member Broker may notify through electronic communication or otherwise. The Member Broker will have the sole discretion to decide above referred stipulated percentage/time depending upon the market condition. Any direct or indirect loss arising out of square off/cancellation shall be at the risk of and shall be borne by the Client.

In case any open position (i.e. short or long) gets converted into delivery due to non-square off because of any reason whatsoever, the client agrees to provide Securities / Commodities/funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal closeouts. In

addition to this the Client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the Client is liable for all and any penalties/charges/fees/fines levied by the exchange(s).

Without prejudice to the Member Broker's other rights including the right to refer the matter to Arbitration, if payment / Securities / Commodities towards the Margin and or shortfall in Margin and or any other payment obligation of the Client towards the MEMBER BROKER is not received instantaneously to enable restoration of sufficient Margin/balances in the Client's account with the MEMBER BROKER, without any reference or prior notice or communication to the Client, the Member Broker has the right but not the obligation to take one or more of the following steps:

- (i) All or some of the positions/Securities / Commodities/shares of the Client as well as the Securities / Commodities placed as Margin or otherwise including but not limited to Securities / Commodities which are pending delivery/receipt with Member Broker may be liquidated/closed by the Member Broker at its sole discretion and at such rate and time as the Member Broker may deem fit.
- (ii) To withhold any payout of funds/Securities / Commodities.
- (iii) To withhold/disable the trading/dealing facility to the client.
- (iv) To cancel all pending orders.
- (v) To take any other steps which in the given circumstances, the Member Broker may deem fit.

The resultant or associated losses that may occur due to such squaring off/cancellations and or sale of Securities / Commodities/positions shall be borne by the Client and the Member Broker is hereby fully indemnified and held harmless by the Client in this regard. Such liquidation and or close out or cancellations of such Securities / Commodities/positions shall apply to any segment/ exchange in which the Client does business with the Member Broker.

The Member Broker is entitled to prescribe the date and time by which margin/security is to be made available and the Member Broker may refuse to accept any payment in any form after such deadline for margin/security expires.

Any reference to sale or transfer of Securities / Commodities and or any other asset by the Member Broker shall be deemed to include sale or transfer of all the Securities / Commodities and or any other asset lying with MEMBER BROKER for any reason/account including which form the part of the Margin maintained by the Client with the Member Broker. In exercise of the Member Broker's right to sell or transfer Securities / Commodities and or any other asset, the Client agrees that the choice of specific Securities / Commodities and or any other asset to be sold or transferred shall be solely at the Member Broker's discretion.

The Securities / Commodities purchased by the client in CM Segment and or F&O segment (under physical settlement) shall be settled as under:

- i) The Securities / Commodities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the payment is made/credit balance is available, in full on or before pay in day shall be transferred to beneficiary demat a/c of the client from Pool a/c within 24 hours of payout.

- ii) The Securities / Commodities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the full credit balance is not available in the account of the client or the payment is not/partially made by the client, shall be transferred to Client Unpaid Securities / Commodities Account (CUSA)
- iii) The Securities / Commodities lying in the CUSA shall be transferred to the beneficiary demat account of the client only on the receipt/availability of full amount from the client
- iv) The Securities / Commodities lying in the CUSA shall be liquidated to the extent of debit balance within 5 trading days from the pay-out date of such Securities / Commodities without further notice to the client and the Securities / Commodities so liquidated shall be transferred to Pool Account for meeting payin obligation. No Securities / Commodities shall be kept in CUSA for more than 5 trading days from the pay-out date of such Securities / Commodities.
- v) The choice of selection of Securities / Commodities to be liquidated against debit balance from CUSA will be at the sole discretion of the Member Broker depending upon the liquidity of the scrip, volatility in the market or any other factor as the Member Broker deem fit in each case.
- vi) The Securities / Commodities of the client can be transferred in the beneficiary demat account of the client without/partial receipt of the payment at the sole discretion of the Member Broker in those cases where the said Beneficiary Demat Account is opened with Member Broker DP and the client has executed Power Of Attorney (POA) in favour of Consortium Securities Pvt. Ltd..

## 6. Shortage in obligations arising out of internal netting of trades

The Client agrees that, the Member Broker shall not be obliged to deliver any security or pay any money to the Client unless and until a) the same has been received by the Member Broker from the exchange/ the clearing corporation / clearing member or entity liable to deliver the security and/or make payment the; and b) after the Client has fulfilled his / her / its obligations first.

### Cash Segment

The Client agrees that, in case the Client buys Securities in cash segment of the exchanges in one settlement, and sells the same in any subsequent settlement, without having received the payout of the Securities from the Exchange, any resulting auction by the Exchange and consequent losses will be the borne by the Client.

The Client agrees that in following cases;

- a) where he/she/it has made any purchase of Securities in Cash segment of the exchanges and the delivery of the same falls short at inter-client level (i.e. internal short) of the Member Broker;
- b) where he/she/it has made any sale of Securities and due to any exigencies he/she/it is/are unable to make available the delivery of the same in the designated account with in the designated time and it results in an inter client short delivery (i.e. internal short) at Member Broker level;
- c) where Securities having corporate actions; all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where

the cum basis auction payout is after the book closure/record date;

The Member Broker is authorized to close out the transaction at rate which is higher of i) auction day closing rate + 3% or ii) seller's rate or iii) buyer's rate or iv) at a price Member Broker deems fit for close out of said Securities.

### Derivatives Segment

The Client further agrees that, in following cases:

- a) where he/she/it has bought futures/call options &/or sold put options in equity/commodity derivative segment of the exchanges, the delivery of which results in physical settlement of securities/commodities and delivery falls short with Member Broker level, either at inter-client level (i.e. internal short) of the Member Broker or at inter-client level (i.e. internal short) of the Clearing Member affiliated to the Member Broker;
- b) where he/she/it has sold futures/call options &/or bought put options Contract in equity/commodity derivative segment which is results in physical settlement of securities/commodities and due to any exigencies he/she/it is/are unable to make available the delivery of the same in the designated account with in the designated time and it results into inter client short delivery (i.e. internal short) at Member Broker/Clearing Member level;
- c) where Securities having corporate actions; all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date;

Member Broker/Clearing Member, as the case be, is authorized to close out the transaction at rate which is **higher** of i) auction day closing rate + upto 20% (or any other rate communicated by the Member Broker/Clearing Member/Exchanges from time to time) or ii) seller's rate or iii) buyer's rate or iv) at a price Member Broker deems fit or v) as communicated by the Clearing Member for close out of said Securities/Commodities.

The Client agrees that he/she/it will not dispute, any close out amount / penalty so debited to him/her/it, as above in any segment, by the Member Broker/Clearing Member, under any circumstances.

## 7. Policy for Inactive Clients (Dormant Account)

Client status is observed on weekly basis & clients who have not traded during the last One (1) Year is marked "inactive" as "Dormant" in the back office & funds payable to the client and Securities / Commodities, if any, lying in the client margin account will be returned after deducting demat or any other charges due from the clients. The files uploaded on the trading servers on daily basis update the current status on the terminals. Whenever a client who is marked inactive as dormant intends to trade, the details of the client viz. Address, Contact No., Demat & Bank account etc. will be confirmed & a written request for re-activation of the account will be taken before executing any trade in that particular client code. In case of any change, the updation form along with the supporting documents will be taken. In case of very old dormant a/c, the entire KYC Form will required to be taken along with the other supporting documents.

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

- i. The client may request the Member Broker to temporarily suspend his/her/its account, Member Broker may do so subject to client accepting/adhering to conditions imposed by Member Broker including but not limited to settlement of account and/or other obligation.
- ii. The Member Broker can with hold the payout of client and suspend his/her/its trading account due to his/her/its surveillance action or judicial or/and regulatory order/action requiring client suspension.
- iii. Temporarily suspending or closing a client's account at the Member's discretion "The Member Broker may suspend the account of the Client in following circumstances:
  - a. Where the client is inactive for the past Three (3) Years with observation period being the month end.
  - b. Based on recommendations made by the Branch Head due to any reason including but not limited to excessive speculations, uncleared balances etc.
  - c. Physical Contract notes are received back undelivered due to reasons like "no such person" , " addressee left", refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion, after close out of open positions, selling/liquidation of client collaterals/ Securities / Commodities/shares or square off due to any reason whatsoever.
  - d. Bounced emails on more than 3 instances until the client submits and registers new email id.
  - e. Non delivery of periodic statement of accounts sent on periodic basis
  - f. Non updation of communication details viz. email id, mobile number, land line phone number or if it is found to be belonging to some third person.
  - g. Client places a complaint either directly to the Member Broker or the exchange(s) relating to alleged unauthorised trades being executed in his/her/its account.
- vi. If the Client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- vii. If the Client has taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the client has made any material misrepresentation of facts, including (without limitation) in relation to the security;
- ix. If there is reasonable apprehension that the Clients is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement/contract with the Member Broker;
- xi. If the Client is in breach of any term, condition or covenant of the agreement/contract;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

## 9. De-registering a client

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

- i. If the action of the client are prima facie illegal/improper or such as to manipulate the price of any Securities /Commodities or disturb the normal /proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force.
- iii. On the death /lunacy or other disability of the client.
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client.
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

Client Acceptance of Policies and Procedure stated hereinabove:

I/We have fully understood the same and do hereby sign the same. These Policies and Procedure may be amended/changes unilaterally by the Member Broker, provided the change is informed to me/us through any one or more means or methods such as post/speed post/courier/registered post/registered A.D/Facsimile/email/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employee /agents of the Member Broker; by publishing/displaying it on the website of the Member Broker/making it available as a download from the website of the branch /office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast /newspaper advertisements etc; or any other suitable or applicable mode of manner. These Policies and Procedure shall always be read along with the agreement/contract and shall be referred to while deciding any dispute /difference or claim between me/us and Member Broker before any court of law/judicial adjudicating authority including arbitrator /mediator etc.

If any of the term(s)/ clause(s) or part of any term/ clause of the Policies & Procedures, is/are held to be contravention of /in conflict with any of the provision(s)/clause(s) in mandatory documents, as also the Rules, Regulations, Articles, Byelaws, circulars, directives, notices and guidelines and issued by the Regulator and Exchange(s) or held invalid or unenforceable by reason of any law, rule, administrative order or judicial decisions by any court, or regulatory or self-regulatory agency or body, such contravening term(s)/clause(s) or part of term/clause of the Policies & Procedures shall be null & void. The validity of the remaining term(s)/clause(s), however, shall not be affected thereby and these term(s)/clause(s) shall be carried out as if any such contravening/invalid/ unenforceable terms(s)/ clause(s) or part of such term/clause were not contained herein.

Signature of Client

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## CONTRACT BETWEEN MEMBER BROKER & CLIENT

This agreement is made at the place specified as place of execution & on the date as specified as date of agreement by and between:

M/s **Consortium Securities Pvt. Ltd.** a body corporate, incorporated under the provisions of the Companies Act, 2013, being a Member of the National Stock Exchange of India Ltd.(NSE), BSE LTD. (BSE) and Metropolitan Stock Exchange of India Ltd.(MSEI) in capital market and Member of Commodities Derivatives Segments of MCX, having SEBI Registration Number - INZ000183831 and having its Registered Office at 36, Sant Nagar, East of Kailash, New Delhi-110065 , (unless the context requires otherwise thereafter called the "MEMBER BROKER" / "CSPL") which expressions shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its successors in title & assigns, as the case may be, of the One Part;

And

Mr./Ms/M/s. \_\_\_\_\_  
 \_\_\_\_\_ an individual/ a sole proprietary concern / a partnership firm / a LLP / a body corporate, registered / incorporated, under the provisions of the Indian Partnership Act, 1932/ LLP Act, 2008/ the Companies Act, 1956 or 2013, having his/her/its Residence / Registered / Corporate 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, the member or members for the time being of the Hindu Undivided Family (HUF) and their respective heirs, executors, administrators and legal representatives/its successors/assigns, as the case may be, of the Other Part;

**National Stock Exchange of India Limited, Bombay Stock Exchange Limited, Metropolitan Stock Exchange of India Limited, Multi Commodity Exchange of India Limited, are hereinafter referred as "Exchange", collectively or individually, as the context requires.**

Whereas, MEMBER BROKER and Client enter into this agreement voluntarily for smooth functioning of the services offered by the MEMBER BROKER on the above referred Exchanges Now, in view of the foregoing

I. The Client agrees and acknowledges that it is recommended by the MEMBER BROKER to give orders/instructions in writing and to take acknowledgement of the same in writing from the MEMBER BROKER/sub broker/Authorised Person simultaneously, to avoid any disputes or differences and if the client chooses to give orders/instructions in a mode other than in writing or if the client does not take acknowledgement of order/instruction given in writing, the client shall be deemed to have disclaimed and waived any right to dispute regarding as to whether or not the orders/instruction were correctly received and/or entered into the trading system, including the plea that the orders/instruction were entered without express directions/authorization of the client. It is agreed and understood by the client that if the client is unable

to produce the acceptance of order/instruction by the MEMBER BROKER in writing, it shall be deemed that such order/instruction was in fact given verbally/orally as entered into the trading system and the waiver as stated herein above shall apply. The Client agrees that it shall be his/her/its sole responsibility to ascertain the status/results/trade of any orders given by him/her/it and no separate confirmation of the rejection of the order would be sent to the client either physically or electronically

2. The Client understands that placing an order with the MEMBER BROKER including a market order, does not guarantee execution of the order. The Client agrees that he/she/it will receive the price at which his/her/its order is executed by the exchange's computer system and such price may be different from the price at which the security/commodity is trading when his/her/its order is entered into the Member Broker systems. The MEMBER BROKER has the absolute right to reject any order that may be made by the Client for any reason whatsoever including for the breach of the requirement of maintaining the prescribed Margin in the Client Account.
3. If any transaction(s) under this Agreement or otherwise with the MEMBER BROKER, has/ have been executed by the Client and/or on behalf of the CLIENT by any other person, and the same has/have been accepted by Client from time to time on the basis of the contract note(s)/bills/any other communication dispatched/communicated to the CLIENT by the MEMBER BROKER and/or by part or full settlement of the said transaction(s) by the client then such transaction(s) shall be deemed to be executed by the Client and/or the person authorized by the CLIENT and the CLIENT hereby agrees to ratify and accept all such or other actions of such persons and undertakes to meet all obligations arising from these transactions.
4. The client further accepts and acknowledges that he/she/it would observe proper caution and due diligence while giving orders to the dealers/entering orders into trading platform provided by MEMBER BROKER under Internet Based Trading (IBT) services. The Client agrees and undertakes to ensure that there will not be any attempt at price distortion and/or price rigging made through any means. The client hereby will keep indemnified the MEMBER BROKER for any loss, claim, expenses, liability in this respect. The client acknowledges that MEMBER BROKER reserves the right to keep in abeyance the funds/securities / Commodities /other collateral as may be deemed fit by MEMBER BROKER depending upon the gravity of the violation or /and through trades done by/on behalf of the client considered as inappropriate/unacceptable by MEMBER BROKER/the relevant exchanges(s) / regulator(s). The client further understands and accepts that MEMBER BROKER also reserves the right to levy any penalty for such trades done by/on behalf of the client considered as inappropriate /unacceptable by MEMBER BROKER/the relevant exchange(s)/regulator(s),as may be deemed fit by MEMBER BROKER/the relevant exchange {s}/ regulator(s).
5. Client shall enter into all trades on his/her/its own account and shall not do

Signature of Client

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any sub broking activity/unregistered intermediary and/or shall not do any activity which may constitute indulging in sub-broking/ unregistered intermediary activities. In case Client is found to be indulged in any such activity he/she/it shall be immediately debarred from trading.

6. The Client agrees that any securities/Commodities and or funds placed/deposited by him/her/it on any account with the MEMBER BROKER including as collateral/margin/ permitted by the Client to be retained in running account etc. may in turn be placed/ pledged/ deposited by the MEMBER BROKER with the Exchanges or Banks or such other institutions as the MEMBER BROKER may deem fit for the purposes of raising funds, bank guarantees, FDR etc. or towards margin/collateral as also to meet shortfall in his/her/it's funds/securities/Commodities/pay in obligation/auction or assignment of contracts or any other liability arising out of his/her/it's dealings with/through the MEMBER BROKER. The Client authorizes the MEMBER BROKER to do all such acts, deeds and things as may be necessary and expedient for placing such securities/ Commodities /funds with the Exchanges/Banks/ Institutions. The Client specifically agrees that no interest shall be payable on such amount or any other credit balance as maintained/lying with MEMBER BROKER even if the same is placed as bank deposit, FDR or in liquid funds. The Client further authorizes MEMBER BROKER to sell/liquidate these securities/ Commodities /funds at the time and manner of MEMBER BROKER's convenience, as and when deemed fit by MEMBER BROKER in its absolute discretion to meet any shortfalls in the Client's account or any other liability of Client.
- 7.1 The Client hereby agrees that it is the sole responsibility of the client to know the status/declaration of all corporate benefits including but not limited to rights issue, bonus issue, dividends, offer for sale and stock split of shares/buy back etc. announced by issuer company from time to time, for securities of company(ies) in which client intends to trade and/or those which are kept b/ client with IIEIIBE8 880KE8 for ease of dealing/margin /collateral etc. and make appropriate trading/dealing decisions b/ appropriately considering the impact of and corporate action(s). MEMBER BROKER shall not be liable for and losses suffered b/ client, if client fails to apply, due to and reason, to such corporate benefits for the shares held by MEMBER BROKER in beneficiary account on behalf of client.
- 7.2 The client understands that some corporate benefits will require some action for obtaining the same, such as for rights issue etc. It is understood and agreed that client shall free the securities from an/ margin/collateral / pay in obligations etc. and get them moved (through a written request given well in advance) to client's own beneficiary account and take necessary action for applying and /or receiving corporate benefits. The MEMBER BROKER may upon (written request given well in advance) take actions for and on behalf of client to apply and /or receive such corporate benefits such as for right Issue/Open Offer /Buy Back for the shares held by MEMBER BROKER on behalf of client (subject to client making available free funds etc. for the same well in advance). However, MEMBER BROKER shall not be liable for any loss/claim whatsoever for and reason including in the event such application is rejected by Registrar/ Company manager to the issue for and reason.
- 7.3 The client agrees and undertakes to return back any excess securities/ Commodities /funds etc. ever transferred to his/her/its depository account(s)/Bank account(s) registered with the MEMBER BROKER and or other depository participant/Banks &/or delivered physically or otherwise to him/her/it alongwith all corporate benefits, if and. Such excess transfer may take place on account of and reason including operational and technical errors.
8. The Client agrees that he/she/it shall make all the payment and or deliver the securities / Commodities only in the name of MEMBER BROKER and the payment shall be by way of account payee bank instruments like cheque / draft/RTGS/NEFT etc. The client further agrees and undertakes that he/she/it shall not make any cash payment to the Member Broker and or any person for and on behalf of the Member Broker and or any person for and on behalf of the Member Broker. The client indemnifies and shall keep indemnified the MEMBER BROKER from any claim / action / expenses/ penalties / proceedings / losses/ damages etc. brought or commenced against MEMBER BROKER for any act of the client being contrary to this clause.
9. The Client shall ensure that all the payments including towards pay- obligations/ margin obligation etc. in favour of MEMBER BROKER are issued from the bank account of the Clients and no third party cheques are issued or lodged into bank account of MEMBER BROKER. For all purposes including for the purpose of this Agreement and/or Rights & Obligations and/or Policies & Procedures and/or other relevant document(s), "Cheque(s) / Draft / RTGS / NEFT would mean and include cheques, drafts, banker's cheques and or bank transfer/RTGS/N EFT in any other mode". In case of any such third party cheque is received/lodged and or used for the obligation of the Client, and the Client does not inform the same to the MEMBER BROKER in writing to corporate office and / or via electronic mail to info@consortiumsecurities.com within 7 days from the delivery / display of the statements of accounts, data etc. to the client's by electronic communication or otherwise, then it shall be presumed that the Client has made the payments to the MEMBER BROKER by way of a cheque from third party with the full authority and consent of the third party and Third party payment is not acceptable in case and dispute and liability arises because of third part/cheque/credit having been used by the Client, he/she/it shall be solely liable for all the consequences thereof including and criminal liability. The client hereby indemnifies and shall keep indemnified MEMBER BROKER for and against and loss/claim, liability, action etc. including any criminal liability arising out of such act/negligence of Client directly or indirectly.
10. Notwithstanding anything stated above all the communications including relating to orders, margin, maintenance calls and other similar matters by the MEMBER BROKER to the Client may be communicated orally or by the usual business practices generally followed and or as agreed between the parties either expressly or impliedly.
11. The Client authorizes the MEMBER BROKER to deliver/adjust collaterals, securities/Commodities deposited with the MEMBER BROKER on any account including in Margin account against his/her/its sale directly to the MEMBER BROKER's Pool/Client Collateral account for pay-in of securities /

Commodities to the Exchange on his/her/its behalf.

12. 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.
13. The Client is aware that the Member Broker may tape-record the conversations between the Client and the Member Broker, either personally or over the telephone, and hereby specifically permits the Member Broker to do so. Such recordings may be relied upon by the Member Broker as and when required to resolve disputes in connection with all matter but not limited to the trading transactions.
14. The Client authorizes the MEMBER BROKER to debit charges for depository services, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement/professional charges (as may be applicable to NRIs), research service /message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, right issues, fixed deposits, money market instruments, etc. generally various investment avenues/products, processing fees/charges towards contract note/settlement of account etc. and any other such or similar fees/charges which are due/may become due to MEMBER BROKER.
15. It is clearly understood and agreed to by Client that no service/facility in the nature of portfolio management/ advisory services etc. are contemplated under the agreement(s) between the Client and MEMBER BROKER. No person working for or under MEMBER BROKER including dealer, relationship manager, sub broker or authorized person is permitted to provide any services, facilities except that of order placement in trading system(subject to limitations stated above) upon directions of client. If the client accepts any portfolio management services/advises/discretionary trading arrangements/ facility from any person including but not limited to dealer, relationship manager, sub broker or authorized person then in that event MEMBER BROKER shall in no way be responsible for the outcome of such services/facilities accepted by client, and such arrangement if nay between the client and any person including the dealer, the relationship manager, sub broker or authorized person etc. shall be personal, mutual and private relationship between the client and such person(s) including dealer, relationship manager, sub broker or authorized person and client shall have no recourse/right against MEMBER BROKER what so ever either in law or equity.
- 16.1 The Client agrees and authorizes MEMBER BROKER to issue the contract notes, trade confirmations, order status, bills, margin statements, margin calls, settlement cycles/holidays, delivery/payment cycles/obligations, and account statements or such other data, documents, notices, circulars, any amendments in this Agreement and/or Right & Obligations, and/or Policy & Procedure and/or other relevant document(s), including obligatory statements/documents to be sent to the Client related to his/her/its trading

account with the MEMBER BROKER, in digital format by electronic communications, with the possible exception of graphic insertions. For all purposes including for the purpose of this Agreement and or any other document, such electronic communication shall be in the form of email and or email attachment including auto replies from the system of MEMBER BROKER and/or posted only on the relevant section of the website-{s} and/or in the form of download available on the websites www.consortiumsecurities.com (and / or any other website as may be intimated by the member broker from time to time as part of the back office services) or SMS on the registered mobile number or messaging on the trading software or otherwise.

- 16.2 The Client understands and agrees that it is his /her/ it's responsibility/obligation to review regularly and or upon first receipt, all confirmations, statements, notices, contract notes, bills and other communications sent by electronic communication or in physical mode via post/courier etc. or otherwise. All information contained therein shall be binding upon the Client, if the Client does not object, either in writing by registered A.D. addressed & sent to the MEMBER BROKER's Integrated Back Office at 36 Sant Nagar East of Kailash New Delhi-110065 or via electronic mail to info@consortiumsecurities.com, from his/her/its registered email id within 1 days after any such document is sent to the Client by the MEMBER BROKER. The Client also agrees that MEMBER BROKER shall not take cognizance of out-of-office/out-of-station auto replies. The Client shall deemed to have received such electronic communications immediately upon the Member's sending/display of the electronic communications, non-receipt of bounced mail notification from any one of the email addresses of the Client as referred in this clause hereinafter with the MEMBER BROKER, shall amount to valid delivery.
- 16.3. The email id(s) provided by the Client in the KYC form and or in the authority letter for the Electronic Contract Note ECN shall be deemed to be the designated email id-{s} of the Client for all the communications to be sent by the MEMBER BROKER to the Client. The delivery of the above referred ECN, data, documents etc.to any of the designated email id (s) as referred to above shall be deemed to be a valid delivery.
- 16.4 The Client further agrees not to hold the MEMBER BROKER responsible for late/non-receipt of above referred documents etc. sent in electronic form and/or any other communication for any reason but not limited to failure of servers, loss of connectivity, email in transit etc. The Client agrees that the log reports of MEMBER BROKER's dispatching software shall be conclusive proof of dispatch of contract notes and/or all the above referred documents etc. to him/her/it and such dispatch shall be deemed to mean receipt by him/her/it and shall not be disputed by him/her/it on account of any non-receipt/delayed receipt for any reason whatsoever, non-receipt of bounced mail notification shall amount to valid delivery.
- 16.5 Notwithstanding anything stated above, the member broker shall send Electronic Contract Note (ECN) on designated email address(s) of the Client, MEMBER BROKER shall also make available ECN downloadable at the Member's website(s) through the back office login. This would enable the

Clients to view their contract notes, data, documents etc. through back office software for which the login and password is issued to the Client by the MEMBER BROKER.

16.6. The Client accepts full responsibility for the monitoring and safeguarding of his/her/it's account. The Client shall notify MEMBER BROKER in writing, delivered via- designated e mail address and Registered post within 24 hours of him/her/it becoming aware of any inaccurate /erroneous information/entry in the account balances, documents, transaction history etc. If the Client fails to notify HE HBER BROKER immediately upon the receipt by him/her/its when any of the above occur, neither MEMBER BROKER nor any of its officers, directors, employees, agents affiliates or subsidiaries can or will have any responsibility or obligation towards the Client or to any other person whose claim may arise for any reason including but not limited to claims arising with respect to the handling, mishandling or any loss including of any order/payment. The Client hereby indemnifies and shall keep indemnified the MEMBER BROKER for and against any loss/claim/liability/cost etc. arising out of such inaccurate/erroneous information/entry in the account balances, documents etc.

16.7 The MEMBER BROKER shall provide initial password and login for the back office services for the purposes as stated above. The Member Broker shall deliver to the Client password and login through registered post/courier, which may form a part of the welcome letter or any other communication including but not limited to email/voice mail/SMS/Fax sent by MEMBER BROKER to the Client. 'Back office' or Back office Service' for this purpose shall mean and include access provided on MEMBER BROKER's above referred website(s) from time to time to the Client to access the above referred documents, data etc. The initial password sent by MEMBER BROKER should only be used for the first login. The Client agrees and undertakes to immediately reset his/her it's password(s) upon the first login. In case the password is lost, the Client will have to make a request for creating a new password or reset the password himself/herself/itself on the website or use other means of communication(s) such as SMS from registered mobile phone which allows authenticated password resets. The Client shall, within 24 hours on his/her/it becoming aware, notify MEMBER BROKER in writing with full details if he/she/it discovers or suspects, unauthorized access through his/her/its password or notice discrepancies that might be attributable to unauthorized access or discovers any flaw in the back-office service.

In any of the above events specified, the Client shall immediately change his/her/its password. However, if the Client is unable to change his/her/it's password due to any reason including of his/her/it's having forgotten his/her/its password or his/her/its password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request MEMBER BROKER in writing and follow the instructions given by MEMBER BROKER. MEMBER BROKER shall not be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the password at any point of time by any person.

17. The MEMBER BROKER's record of the trades/ transactions etc. shall be accepted as conclusive and binding on the Client for all purposes.

18. Quotes, research information, historical information and other content on the website(s) is provided by various third party service providers from time to time. Daily updates are subject to receipt from the respective third party data contributors. The latest quotes are subject to market fluctuations and will be subject to a delay. Market quotes and other information on the website(s), as well as reference materials or links to other sites, are for general informational purposes only, and are not intended to be relied upon for transactional or other purposes. Neither the MEMBER BROKER nor any of its data or content providers shall be liable for any errors or delays in the content, or for any actions taken or omitted to be taken in reliance thereon. Opinions expressed in any information contained on the website(s) are not indication of prospective rating/grading. Any rating awarded by the content providers, Affiliate Partners, Service Providers, the MEMBER BROKER or website(s), should not be treated as a recommendation to buy/sell hold any Security. The client shall rely exclusively on his/her/its best judgment in respect thereof. Stock quotes and mutual fund Net Asset Values (NAYs) and news stories, which are accessed, may be delayed.

19. The Client hereby authorizes the MEMBER BROKER in its absolute discretion to maintain records/ books of accounts for the Client separately or collectively for different exchanges / segments of the exchanges &/or any other service which the Client may be availing such as Advisory Services/ Depository Services etc. It shall be the sole responsibility of the Client to ascertain the balance of securities/ Commodities and or funds in all the accounts separately and the Client shall be required to pay/make available necessary monies/funds and or securities / Commodities into anyone or more such segregated/aggregated account(s) notwithstanding the fact that an aggregation of the accounts may not require from the Client either any securities/ Commodities and or monies/funds and the Client hereby agrees not to hold the MEMBER BROKER responsible for considering shortage of margin/security and or shortage of pay in obligations in any account, without aggregating/summing such accounts with other accounts.

20. The Client understands that the MEMBER BROKER may produce fundamental and trading research/ notes, particularly on companies, industry, stock markets, commodity markets and economy from time to time (collectively hereinafter referred to as "material").The Client hereby requests the MEMBER BROKER to provide him/her /it with the material through email or by access to the website(s) of MEMBER BROKER or through SMS or any other mode on a voluntary basis. By agreeing to receive such material, the Client is aware that this material provided to him/her/it is only for his/her/its personal information. The Client understands that this material is not an offer or the solicitation of an offer to buy/sell any security/commodity. The Client alone shall be fully responsible/liable for his/her/its investments/trading decisions on the basis of this material. The Client agrees that the MEMBER BROKER would have no responsibility to update any information provided to the Client nor does it represent that the information provided in the material is complete/accurate. Further by providing such material MEMBER BROKER is not acting as his/her/its portfolio or financial adviser nor does it assumes any fiduciary duties. By sending this material on his/her/its request, MEMBER BROKER or any of its officers, directors, personnel and employees shall not be

liable for any loss, damage of any nature, including but not limited to direct, indirect, punitive, special, exemplary, consequential, as also any loss of profit in anyway arising from the use of this material in any manner.

21. The Client understands that the closing of the account of the Client will not affect the rights and / or obligations of either the MEMBER BROKER or the Client incurred prior to the date the account is closed.
22. The CLIENT undertakes to read all the relevant offer documents and terms and conditions of all schemes of all mutual funds, other securities including but not limited to Initial Public Offerings, Rights Issue, Buy Back Offer, and other investment products which the MEMBER BROKER may offers through its website(s)/trading software/trading system before entering into any transactions through its website(s)/trading software/trading system. Neither the MEMBER BROKER nor any of the Mutual Funds/Issuers chosen shall accept any liability which may arise as a consequence of the erroneous Information provided by the CLIENT. In case of Mutual Fund, the units of schemes shall be allotted, redeemed or switched, as the case may be, as per the terms and conditions of the relevant schemes/registrar of the scheme. The MEMBER BROKER shall not be liable for any kind of loss including but not limited to that may arise to the CLIENT as a result of the correct NAV not being allotted to the CLIENT'S transactions on the web site/trading software. In case of securities, the order for purchase, sale, offer under buy back etc. shall be accepted by the MEMBER BROKER only if the same is received by the cut off date as indicated on the website(s) and consistent with the terms of the offer. The Member Broker may impose its own terms and conditions from time to time in this regards as indicated on the website of the Member Broker. In any case the MEMBER BROKER shall not be liable for any kind of loss for any reason in this respect. It is explicitly stated herein that the mutual funds schemes/offer documents/other schemes offered by the MEMBER BROKER, have not been recommended by the MEMBER BROKER.
23. The MEMBER BROKER shall provide its services and information etc. on the best efforts basis. However the MEMBER BROKER shall not be liable for any direct, incidental, special or consequential loss, damages ,other costs or "lost opportunity" {notional profits/losses} arising in any way out of (but not limited to):
  - 23.1 Services which could not be availed like Order/transactions not executed due to any reason including but not limited to time lag in execution of order, latency in the systems of the Member Broker or the Exchanges , disruption of any kind in the transmission of data, system failure including failure of ancillary or associated systems , fluctuation of power, link failure between the client and the Member Broker or the Member Broker and the Exchanges, virus/malware , delay/non receipt of user name/password for Internet based trading services/backoffice due to postal email delay; payment gateway delay/downtime, shutting down of systems by the Member Broker or disabling of the Client's access for any reason, any force majeure event or
  - 23.2 Any inaccuracy or error or delay or insufficiency for any reason in any information ,false statement, misrepresentation, breach of warranty or fraud committed by any employee/ associates /third parties engaged by the MEMBER BROKER for the purpose of the services offered by it.
- 23.3 Unauthorised use of the username and password of the Client for the internet based trading services.
- 23.4 The Client hereby agrees to hold the MEMBER BROKER continuously harmless and indemnified against any claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned for any reason including but not limited on account of the MEMBER BROKER having entered into the Agreement &/or having dealt with/for the Client and or due to breach of any of the Client's obligation under the Rights & Obligations as defined by Exchanges/SEBI or any other agreement(s).
24. If any of the term(s)/ clause-{s} or part of any term/ clause of this agreement, is/are held to be contravention of /in conflict with any of the provision(s)/clause-{s} in mandatory documents, as also the Rules, Regulations, Articles, Byelaws, circulars, directives, notices and guidelines and issued by the Regulator and Exchange-{s} or held invalid or unenforceable by reason of any law, rule, administrative order or judicial decisions by any court, or regulatory or self-regulatory agency or body, such contravening term-{s}/clause(s) or part of term/clause of this agreement shall be null & void. The validity of the remaining term-{s}/clause(s), however, shall not be affected thereby and these term(s)/clause-{s} shall be carried out as if any such contravening/invalid/ unenforceable terms(s)/ clause(s) or part of such term/clause were not contained herein.
25. The CLIENT hereby agrees and authorizes the MEMBER BROKER and their agents to disclose, use, exchange, share or part with all information, data or documents relating to his/her/its account and transaction to other Banks/Financial Institution/Credit Bureaus /agencies/ Statutory Bodies/such other persons as the MEMBER BROKER may deem necessary and/or appropriate and as may be required for use or processing of the said information/data etc.by such person/s or furnishing of the processed information/data /products etc. thereof to other Banks/Financial Institutions/credit providers/agencies/ users registered with such persons and he/she/it shall not hold the MEMBER BROKER and other persons to whom such information etc.is disclosed liable for the disclosure or use of such information etc.
26. The CLIENT understands and agrees that certain details provided in their trading / back office account etc. would not be on a real time basis. The CLIENT further understands and agrees that such details would be updated by the MEMBER BROKER on best efforts basis within reasonable time and he/she/it shall not hold the MEMBER BROKER and responsible for any possible mismatches in the real time data and data as reflecting on the website(s) during the period the updations are not effected.
27. The Client agrees that he/she/it does not have any objection to the MEMBER BROKER, agents/representative to provide him/her/it information on various products, offer and services provided by the MEMBER BROKER through any mode not limited to telephone calls/SMSs/emails and authorize the MEMBER BROKER, agents representative for the above purpose. The



MEMBER BROKER offer the "Internet based Trading" ("IBT") services or Online trading or Order Routing System" ("ITORS") services to the client. The client availing the same for purchasing, selling or otherwise dealing in securities/Commodities/derivatives/ contracts/other instruments etc., further agrees to the hereinafter mentioned provisions of this clause in addition to all other clauses stated in this Agreement and/or in Rights & Obligations documents or other relevant document(s):-

- 28.1 The Client will be entitled to a username and Password, which would enable him/her/it to access the MEMBER BROKER's IBT for availing such services. MEMBER BROKER's IBT shall mean and include the website hosted by the MEMBER BROKER on the internet and or online trading software through which the MEMBER BROKER offers the online trading including but not limited to the hardware and software used for hosting and supporting the website and or the online trading software.
- 28.2 The Client is aware that the MEMBER BROKER's IBT generates the initial password and the MEMBER BROKER is aware of the same. The Client agrees and undertakes to immediately change his/her/its password upon receipt thereof. The Client acknowledges that subsequent passwords are not known or available to the MEMBER BROKER. The Client indemnifies and holds harmless the Member Broker against any liability, costs or damages arising due to any transaction or otherwise as a result of the Client not changing the password provided to him/her/it initially or at any time later as a reason of password resetting /new issuance or any other reason by the Member Broker.
- 28.3 The Client shall be solely responsible for keeping the user name and passwords confidential and fully secured and the Client shall be fully responsible for all orders entered and transactions done by any person whatsoever through the MEMBER BROKER's ITORS using the Client's User name and/or password whether or not such person was authorized to do so.
- 28.4 The Client acknowledges that he/she/it is fully aware and understands the risks associated with availing the Internet Based Trading facility through the MEMBER BROKER's IBT over the internet including the risk of misuse and unauthorized use of his/her/its username and/or passwords by any third party. Client also acknowledges that he/she/it understands and is aware about the risk of a person hacking into the Client's account on the MEMBER BROKER's IBT or unauthorisedly routing orders on behalf of the Client through the MEMBER BROKER's IBT. The Client agrees that he/she/it shall be fully liable and responsible for any unauthorized use or misuse of his/her/its user name and/or password and also for any acts by any person through the MEMBER BROKER's IBT in the Client name in any manner whatsoever.
- 28.5 Online confirmation will be available to the Client upon execution or cancellation of an order placed by him/her/it through the MEMBER BROKER's IBT system.
- 28.6 The Client shall immediately inform the MEMBER BROKER. in writing, delivered via designated email ID to info@consortiumsecurities.com and or via registered AD post to integrated Back Office at 36 Sant Nagar East of Kailash New Delhi-110065 of any unauthorized use of the Client's User name and/or password with full details of such unauthorized use

29. The Client Confirms and agrees that he/she/it will be the sole authorized user of the Username(s)/login(s), Password(s), Customer User Identification Number(UIN), Telephone Personal Identification Number (TIN) or any other identification or security code (by whatever name called) to be given to him/her/it by the MEMBER BROKER to access MEMBER BROKER system and or service(s) through MEMBER BROKER's web site, internet, over the telephone, I BT or in such other manner as may be permitted by the MEMBER BROKER for availing of the services. The Client accepts sole responsibility for use, confidentiality and protection of the Username(s)/Login(s), Passwords, UIN, TIN or other security code(s) as may be issued by the MEMBER BROKER to the Client from time to time ("Security Codes") as well as for all orders/transactions and information changes entered into the Client's account using such security code(s).The Client shall ensure that such security code(s) is/ are not revealed to any third party .If the Client forgets the security code(s) or has suspicion of unauthorized use, a request for change of such Security Code(s) should be sent to the MEMBER BROKER in writing, delivered via designated email Id to info@consortiumsecurities.com and or via registered AD post to integrated Back Office at 36 Sant Nagar East of Kailash New Delhi-110065. On receipt of such a request, the MEMBER BROKER shall discontinue the use of the old security code(s) and shall generate a new Security code(s) for the Client which shall be communicated to the Client. The Member Broker may also provide a web based security code(s) retrieval system for this purpose. However, the Client shall be responsible and liable for all transactions that are carried out by the use of the old Security code (s). Any order entered using the Client's security code(s) either through the website or internet or through telephone or otherwise is deemed to be that of the Client. If third parties gain access to the Member's services through the use of the Client's security code(s), the Client shall be responsible for the same and hereby indemnifies and holds harmless the Member against any liability, costs or damages arising out of claims or suits by or against such third parties based upon or relating to such access and use, since the primary responsibility for such transaction shall be that of the Client.
30. The Client agrees that for performing the acts contemplated under this relationship /agreement MEMBER BROKER has to use software and hardwares /machines etc. Client understand that as regard to trading the software/programmes of exchanges are used with additional software permitted by exchange such as (without limitation and as illustration) ODIN, NEST etc. While exchanges take all care, have full proof software / programmes and additional software/ programmes such as ODIN , NEST etc. are pre-approved by exchanges, no warranty /guarantee is taken either by the vendors/suppliers of any these softwares/ programmes of their full proof/glitch/bug free performance always. Their operations can also be effected due to software viruses etc. which may interalia lead to disruption in trading/order entry and /or false /incorrect display of order/trade status including but not limited to display of trade confirmation etc. when actually trade has not occurred or has occurred contrary to display. Therefore the Client agrees that display or printout of any transaction taken out from any system /computer at the time of order entry or instructions entry or thereafter, including but not limited to net banking and/or electronic

transfer of securities/ Commodities in depository etc. shall not be construed as the official record of the transactions/orders. Member Broker or service providers' (such as bank's exchange/clearing house/clearing corporation/depository participant/ depository) final official record of transaction maintained in their own books of accounts or electronic system shall only be the acceptable records of transaction and shall be conclusive and binding for all purposes. The Client agrees that this is without prejudice to the right of MEMBER BROKER/service providers to rectify any discrepancy/differences which is due to any inadvertent human error/system /computer error etc. at any time without limitation, at the sole and absolute discretion of MEMBER BROKER and /or any of the service providers.

31. MEMBER BROKER may at anytime amend this Agreement by modifying or rescinding any of the existing provisions or conditions or by adding any new provision or condition, by providing notice to client by electronic communication or through postal service or through courier or by personal messenger or by hand delivery or any other method as per discretion of MEMBER BROKER. The continued use of MEMBER BROKER's services after the notice period shall constitute acknowledgement and consent of/to such amendment. However, the Client has right to terminate this Agreement through communication in writing by giving one month notice subject to the meeting of the financial and other obligation under this Agreement and or under Rights & Obligations documents.
32. The Client assures the MEMBER BROKER that he/she/it is eligible to enter into this Agreement under the provisions of applicable laws. The Client shall continuously monitor his/ her / its eligibility to act under this Agreement under the applicable laws including but not limited to any act/ law/ rules & regulations for the time being in force and byelaws/ Rules/ Regulations of relevant exchange(s). If at any time this assurance ceases to be applicable, Client shall refrain from dealing with the MEMBER BROKER. The Client shall ensure that he/she/it shall not deal through the MEMBER BROKER on the exchange of which he/ she/ it is registered as a broker or sub broker or Authorised Person through any broker except with the permission of the relevant exchange.
33. The Client agrees that the failure of the MEMBER BROKER to enforce at any time any terms contained in this Agreement shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.
34. The client understand and agree the MEMBER BROKER is not under any obligation to inform the client of any exiting and or changes of regulations, bye laws, guidelines etc., of any authority SEBI, Government, Stock Exchanges etc., as may be in force from time to time. The Client shall keep himself/herself/ itself updated regarding the changes in the rules, regulations, bye laws, procedure of any authority, exchange(s) and or MEMBER BROKER through any means including using the website of the relevant entity.
35. The client and the MEMBER BROKER agree to refer any claims and /or disputes to arbitration as per the Rules & Regulations and Bye-laws of the Exchange and circular issued thereunder as may be in force from time to

time.

36. The Client understands that giving / taking delivery of underlying Commodities (ies) to a contract is a very complex procedure and hereby agrees to square off / close out all open positions / contracts at least 5 (five) days prior to the date of expiry / settlement as declared by the Exchange(s), failing which the Member Broker is authorised to do so and any losses/ profits from such close out/ square off shall be to Client's account only. However, where the Client advises through written communication with confirmed receipt by the Member Broker at least 5 days prior to the last day of the expiry of the particular(s) contract that Client wants to give/take delivery. . . The Member Broker may then elect not to square - off / close out open positions / contracts prior to date of expiry/ settlement declared by the exchange(s) provided Client makes available sufficient clear funds/delivery adequate for the full settlement price/value of the contract in the running account of the Client with the Member Broker ( five days prior to the date of settlement/expiry declared by the exchange(s).
37. Client agrees that notwithstanding anything stated herein, the responsibility to manage Client's open positions/ contracts shall be of the Client alone. Client agrees and understand that member may not square off / close any or all open positions/ contracts of the Client not withstanding that, the Client has not given written advise that Client desires a delivery of commodities to be given / taken &/or Client's advice is not supported by required clear funds/securities / commodities &/or the margin or other payments / securities / commodities required for any open positions/ contracts are not made available by the Client. In such circumstances Client agrees to give &/or take the delivery as per contract specifications with attendant costs and expenses or in the alternative pay penalty if permitted under the procedures (including but not limited to exchange byelaws and regulations etc) and losses/ profits there from shall be entirely to Client's account.
38. Client agrees that Client may be required to have its duly authorised agent to carry the work for effecting / taking the deliveries of commodities, if they do arise. Client agrees that if Client fails to advise the Member at least 5 (five) days in advance of any delivery receipt / transfer in writing the details of the agent who shall undertake the relevant activities for and on behalf of the Client, the member shall stand authorised to appoint an agent on Client's behalf. Client agrees not to hold member responsible for any acts of omission / commission or deficiencies in the services of the person who is appointed as agent for and on behalf of the Client by the member. Client agrees that such agent appointed by member shall be Client's direct agent and not a sub-agent and Client shall be directly responsible for all acts of omission and commission of the agent appointed for and on behalf of the Client by the member. Client agrees never to call into question any of the acts of agent appointed by member and agrees to bear any & all losses which may occur on account of action taken / omitted by said agent. Client agrees that all charges, cost, levies and taxes etc associated with or incidental to the deliveries including cost/fee/ charges of agent appointed for and on behalf of the Client by the member shall be fully borne by Client alone. Client undertakes to indemnify the Member Broker for any penalty/ charges which

might be levied by any regulator i.e. SEBI/Exchange for non-adherence by the Client with any rules / regulations / circulars/instructions etc. issued by such regulator.


39. In this Agreement, unless the context otherwise requires:

Word denoting the singular number shall include the plural and vice versa. The pronouns "he" "she" "it" and their cognate variations are used as interchangeable and should be interpreted in accordance with the context. Words denoting a person shall include an individual corporation, company, partnership, trust or other entity; provided however that clauses specifically applicable to a company or body corporate shall not apply to any other entity. References to the word "include" or "including" shall be construed without limitation. Reference to any party to this agreement or any other agreement or deed or other instrument shall include its success on or permitted assigns. Reference to recitals and clauses shall be deemed to be a reference to the recitals and clauses of this agreement. Reference to any enactment shall be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order, notification, circular or other provision made under it. Heading or bold typeface, if used, are only for convenience and ease of reference and shall be ignored for the purposes of construction or interpretation of any provision of this Agreement;

40. The Client confirms having read and understood the terms & conditions of this Agreement, Rights and Obligations, Risk Disclosure Document, Guidance Note, Policies and Procedures and other relevant document(s) provided to the client as part of the account opening form and accepts and agrees to be bound by the terms and conditions including those excluding /limiting the Member Broker's and Exchange's liabilities.

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

Signed and Delivered by			
<b>Consortium Securities Pvt. Ltd.</b>			
Authorised Signatory			
Place of execution		Date of execution	
<b>WITNESS :</b>	Name and Signature (on behalf of Member Broker)		
Signature			
Name			
Address			

Signed and Delivered by			
Client- Name and Signature			
Signature  (25)			
Client Name			
Place		Date	
<b>WITNESS :</b>	Name and Signature (on behalf of Client)		
Signature			
Name			
Address			

Note: 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.

## STANDING INSTRUCTIONS/AUTHORISATION LETTER

To

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065

Phone: +91-11-26422413, 66237500

**SUBJECT: STANDING INSTRUCTIONS/AUTHORISATION LETTER**

UCC: \_\_\_\_\_

I/We have been /shall be dealing through you as my/our Broker on the Equity / Commodity Exchange(s) such as NSE/BSE/MCX/NCDEX/ICEX/MSEI. As my/our Broker, I/we direct and authorize you to carry out trading / dealing on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my/our verbal directions/authorizations given and carried out by you earlier.

1. I/We understand that you require written instructions for placement/modifying/canceling orders. However, since it is not practical to give written instructions for order, I/We, in terms of the Rights & Obligations of Stock Brokers, Authorized Persons & Clients, as prescribed by SEBI, hereby authorize you to kindly accept my/our and or my/our authorized person's verbal instructions / orders in person or over phone and execute the same. I/We understand the risk associated with verbal orders and accept the same. I/We agree that I/We shall not be entitled to disown the trades so executed through verbal orders/instructions or ask for proof of placement of orders. However, I/We shall have right to contest discrepancy, if any, within 24hrs of your confirming the trades so executed in my/our said UCC through SMS or ECN, in terms of various clauses, specifically clause 16.6, of the Contract between Member Broker and Client and other documents executed. I/We also understand that the above authorization can be revoked by me/us at any time by giving notice through physical letter by registered A.D. at your above mentioned address
2. I/We specifically agree that no interest, for any reason, shall be payable to me/us on any amount or credit balance lying with MEMBER BROKER.

I/We agree to indemnify you and keep indemnified against all losses, damages and actions which you may suffer or arise as a consequence of your adhering to and carrying out/ my /our directions given above.

I/We have signed/submitted this document at my/our own volition.

Thanking you,

Yours faithfully,

Signature of Client

 (26)

Name : .....

Date : .....

**RUNNING ACCOUNT AUTHORISATION**

To

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065

Phone: +91-11-26422413, 66237500

**SUBJECT: RUNNING ACCOUNT AUTHORISATION**

UCC: \_\_\_\_\_

I/We have been /shall be dealing through you as my/our Broker on various equity/commodity exchange(s) such as NSE/BSE/MCX/NCDEX/MSEI and I /we further authorize you to follow these instructions across exchanges & across segments in which I /we have already opened accounts with you or I/We may open account in future. As my/our Broker i.e. agent I/we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I/am/We are aware that you and I/we have the option to make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds. Further, I/we also desire to use my/our funds as margin without which I/We cannot deal/trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these funds from running accounts and make pay-in of funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive funds in settlement of trades/ dealings please keep the funds with you and make credit entries for the same in running accounts of funds maintained by you for the purpose of any obligations due to me/us. In view of the same it would be proper for you to release the funds due to me/us on my/our specific, either written or verbal instructions. Further, the funds can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion please treat my/our funds lying to my/our credit in running accounts as margin for my/our dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I /we have been / shall be dealing with you. Further I/We understand and agree that any credit amount with you will not attract any interest.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. You may also retain such other funds as may be specified by the exchanges from time to time. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds displaying all receipts/payments of funds. Please explain in the statement(s) being sent the retention of funds and the details of the pledged securities, if any. I/We agree that I/we shall bring any discrepancy(ies)/dispute in the/arising from the statement of retention of funds or statement of funds or settlement so made to your notice, preferably, within 30 working days from the date of receipt of funds or statement of retention of funds, as the case may be, in writing, through Registered A.D./Speed Post at your corporate office or through email at [customer-care@consortiumsecurities.com](mailto:customer-care@consortiumsecurities.com) from my/our registered email id. Further, do not carry out settlement of running account referred to above for funds given by me/us towards margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Notwithstanding anything contained anywhere in the above authorization signed by me/us, this Running Account Authorisation shall not be applicable in case of any purchases of securities in cash segment or in F&O segment (under physical settlement) and transferred to Client Unpaid Securities Account (CUSA). The securities lying in the CUSA shall be settled as per the rules, regulations & guidelines of the exchanges/SEBI. I/We further agree that the funds shall be returned to me/us if I/we have not done any transaction in the 30 calendar days since the last transaction, within three working days irrespective of the date when the running account was previously settled or within the period as may be specified by SEBI/Exchanges from time to time.

Please further note that while I/We am/are entitled to revoke this authorisation at any time, by sending signed physical letter of revocation, through post / courier at your above mentioned address.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/funds under this agreement.

My/Our preference for actual settlement of funds is at least:

 Once in a Calendar Quarter

 Once in a Calendar Month

Thanking you,  
Yours faithfully,

Signature of Client

 (27)

Name: ..... Date: .....

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)/OTHER DOCUMENTS**

To

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065

Phone: +91-11-26422413, 66237500

**SUBJECT: AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)/OTHER DOCUMENTS**

UCC: \_\_\_\_\_

I/We have been / shall be dealing through you as my / our Broker on various equity/commodity exchange(s) such as NSE/BSE/MCX/NCDEX/ICEX/MSEI. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you &/or I/We may open account in future with you. As my / our Broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

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

I. \_\_\_\_\_

I/we have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations. I/we am/are aware that this declaration form should be in English or in any other language known to me/us.

I/ We agree not to hold you responsible for late / non-receipt of contract notes/other documents/communication sent in electronic form for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I/ we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes & other communication/document to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt/ delayed receipt for any reason whatsoever.

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

I/We also agree that in case, you want to send contract notes/other documents/communication in physical form in any of the above segments / exchanges due to any reason, whatsoever, including bouncing of email, I / we here by permit you to send the same in physical mode and the charges, if applicable, shall be debited to my/our account.

I/We understand that I/We am/are required to intimate any change in the email id/ email account mentioned herein above which needs to be communicated by me/us through a duly signed request letter in original to you by registered A.D./Speed Post at your above mentioned address, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

I/We agree that till the time the change in email address(s) is not updated in your records, the ECN and other documents sent to existing email address (s) with you shall be deemed to be a valid delivery and I/We shall not hold you responsible for any direct or indirect consequences faced by me/us on this account.

The above authorization and the guidelines on ECN given in the note below have been read and understood by me/us. I/we am/are aware of the risk involved in dispensing with the physical contract note and do hereby take full responsibility for the same.

I/We have signed/submitted this document on my/our own volition.

Thanking you,  
Yours faithfully,

Signature of Client

 (28)

Name: ..... Date: .....

**Note :**

1. To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.
2. You can revoke ECN facility and opt for the Contract Note in the physical form only by giving 7 working days notice to the member broker through Registered A.D./Speed Post at the above mentioned address and copy of the same would be retained by you.
3. In case, due to any reason, whatsoever, including bouncing of email, if contract note is sent in physical form, charges, if applicable, shall be debited.

## Undertaking for Issuance of DIS Booklet

Option for issuance of DIS booklet along with account opening (to be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)

To <b>Consortium Securities Pvt. Ltd.</b> Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065 Phone: +91-11-26422413, 66237500	<table border="1" style="border-collapse: collapse; margin: auto;"> <tr> <td style="padding: 2px;">NSDL DP ID</td> <td style="padding: 2px;">I</td> <td style="padding: 2px;">N</td> <td style="padding: 2px;">3</td> <td style="padding: 2px;">0</td> <td style="padding: 2px;">2</td> <td style="padding: 2px;">3</td> <td style="padding: 2px;">I</td> <td style="padding: 2px;">6</td> </tr> </table>	NSDL DP ID	I	N	3	0	2	3	I	6
NSDL DP ID	I	N	3	0	2	3	I	6		

Name(s) of account holder(s)	Sole/ First holder
	Second holder
	Third holder

### Option for Issue of DIS booklet (please tick any one)

**Option 1**

I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening

**Option 2**

I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date.

Beneficial Owner	Name	Signature with date
Sole/ First Holder		(29)
Second Holder		
Third Holder		

## AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)/OTHER DOCUMENTS

To

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065

Phone: +91-11-26422413, 66237500

**SUBJECT: Subject: Enablement / Empanelment on the SLB Segment -NSE & BSE**

I/We hereby declare that I/We wish to deal/trade in the additional Segments (SLB) provided by you and furnish the following details

Client Code / UCC : \_\_\_\_\_

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

I am registered as a 'Client' with you vide the aforementioned Unique Client Code ("UCC")

I am desirous of participating in the 'Securities Lending Scheme, 1997' ("SLBM") of SEBI vide its Circular No SMD/POLICY/SL/CIR-09/97 dated May 07, 1997

I confirm that I have been handed over a copy of the Rights &amp; Obligations Document ("R&amp;OD") mentioned in the SEBI Circular No CIR/MRD/DP/19/2014 dated 03 Jun 2014 and that I have perused the same. I further confirm that the said R&amp;OD as well as the Circulars issued by SEBI and NSCCL from time to time in this regard shall be binding on me / us.

Brokerage Slab for SLB Trading: \_\_\_\_\_ % of the value of lending/borrowing fee.

Note: The above rates are exclusive of GST, Exchange / Clearing Members Charges, Stamp Duty, Statutory Charges payable to exchange / Govt. Authorities etc., which will be charged extra at the rate prevailing from time to time.

Thanking you,

Yours faithfully,

Signature of Client

 (30)



### Mode of Operation for Joint Account

Jointly

Anyone of the holder or survivor (s)

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

Note: Other than above transactions/ conditions, all the other request should be duly signed by all the holders.

 (31)

Signature of Sole / First Holder



Signature of Second Holder



Signature of Third Holder

### Mode of Communication to be sent in case of joint account

For joint accounts, communication to be sent to

First Holder

All joint account holders

### Account Holder Details for UCC Mapping / Link :

Name of Sole/ First Holder

PAN

UID

I/We Authorized Consortium Securities Pvt Ltd to Link My/Our UCC Code in My/ Our Demat Account open with this form number with following details.

#### Exchanges

NSE

CM ID / TM ID - 08772

BSE

CM ID / TM ID - 0323

MCX

CM ID / TM ID - 12895

Name of Second Holder

PAN

UID

Name of Third Holder

PAN

UID

## DEMAT DEBIT PLEDGE INSTRUCTION (DDPI) AUTHORISATION













To

Date : .....

**Consortium Securities Pvt. Ltd.**

Regd. Office : 36, Sant Nagar, East of Kailash, New Delhi-110065

Phone: +91-11-26422413, 66237500

<b>Purpose- 1.</b>	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.		
Signature of Client*	 (32) ..... Signature of First Accountholder Name .....	 ..... Signature of Second Accountholder Name .....	 ..... Signature of Third Accountholder Name .....
<b>Purpose- 2.</b>	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.		
Signature of Client*	 (33) ..... Signature of First Accountholder Name .....	 ..... Signature of Second Accountholder Name .....	 ..... Signature of Third Accountholder Name .....
<b>Purpose-3.</b>	Mutual Fund transactions being executed on Stock Exchange order entry platforms.		
Signature of Client*	 (34) ..... Signature of First Accountholder Name .....	 ..... Signature of Second Accountholder Name .....	 ..... Signature of Third Accountholder Name .....
<b>Purpose- 4.</b>	Tendering shares in open offers through Stock Exchange platforms.		
Signature of Client*	 (35) ..... Signature of First Accountholder Name .....	 ..... Signature of Second Accountholder Name .....	 ..... Signature of Third Accountholder Name .....

\* The same may be signed physically against each purpose of DDPI. The same may also be eSign. In case of eSign, client shall be given an option for choosing the specific purpose(s) of DDPI.




## ACKNOWLEDGEMENT

### CONSORTIUM SECURITIES PVT. LTD.

I/we acknowledge the receipt of following documents as prescribed by SEBI/Exchanges and Depositories. I/We have read and understood the contents of these and agree to abide by them. I/We have got my unique client code for trading:

- Account Opening Form
- Rights and obligation of Stock Brokers, Sub-Brokers and Clients
- Risk Disclosure Documents
- Guidance Note
- Policies and Procedures
- Schedule of Charges
- Rights and obligation of Beneficial Owner, and Depository Participant
- All other Documents

#### Name & Signature of Client

	Sole/First Holder / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Signature			
Name			

\* Please stamp & Sign in case of HUF Account \*\* In case of Joint holding, all joint holders must sign.

Date:





It is not a  
**Level Playing  
 Field**

To win, play with someone  
 who knows the pitch.

Leverage the stock market plays with knowledge and services of Consortium to your maximum advantage and be where you want to be.

**CONSORTIUM Trinets**



- Foresightedness
- Market Understanding
- Superior Service Delivery

Client Trading Code	
Client Depository A/C no.	
Outlet Name	Code
Employee Name	Code
Remisier Name	Code

Served By	
RM Code	
RM Admin Mapping	
Dealer Code	