

TRADEHIFI STOCK BROKING PVT. LTD.

Stock broker : NSE, Stock Membership ID : 13092

Sebi Reg. No. : INZ000208339

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S.No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	KYC	A. KYC form – Documents captures the basic information about the constituent and an instruction / checklist	2-3
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list	4-6
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker / trading stock broker, sub broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading)	7-12
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	13-17
4	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	18-19
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker	20-21
6	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	22
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7	Mobile Number Declaration	Declaration of Mobile number for sending alert / sms / call	23
8	Client Defaulter Declaration	Declaration of Client Defaulter	23
9	Running Account Authorization	Authorization of Client for maintaining running account	24
10	Undertaking for Electronic Communication	Undertaking of Client for accepting Electronic Communication	25
11	PMLA Investor's Education Write UP	Write Up on PMLA for education to Investor	26 – 27

For any grievance / dispute please contact Mr.O.Ramesh Bajaj at the above address or email id – compliance@tradehifi.in and Phone no. 91-9884455553. In case not satisfied with the response, please contact the concerned exchange(s) at ignse@nse.co.in phone no. 022 – 26598190

X1 _____

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individuals

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. **Name of the Applicant:** _____
2. **Father's/ Spouse Name:** _____
3. **a. Gender:** Male/ Female **b. Marital status:** Single/ Married **c. Date of birth:** _____(dd/mm/yyyy)
4. **a. Nationality:** _____ **b. Status:** Resident Individual/ Non Resident/ Foreign National
5. **a. PAN:** _____ **b. Aadhaar Number, if any:** _____
6. **Specify the proof of Identity submitted:** _____

B. ADDRESS DETAILS

1. **Residence Address:** _____
_____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. **Contact Details:** Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. **Specify the proof of address submitted for residence address:** _____
4. **Permanent Address** (if different from above or overseas address, mandatory for Non-Resident Applicant): _____
_____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____

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

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

(.....)

Name & Signature of the Authorised Signatory

Date

Seal/Stamp of the intermediary

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Non-Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

PHOTOGRAPH

Please affix the recent passport size photographs and sign across it

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of incorporation: _____ (dd/mm/yyyy) & Place of incorporation: _____
3. Date of commencement of business: _____ (dd/mm/yyyy)
4. a. PAN: _____ b. Registration No. (e.g. CIN): _____
5. Status (please tick any one):
Private Limited Co./Public Ltd. Co./Body Corporate/Partnership/Trust/Charities/NGO's/FI/ FII/HUF/AOP/ Bank/Government Body/Non-Government Organization/Defense Establishment/BOI/Society/LLP/ Others (please specify) _____

B. ADDRESS DETAILS

1. Address for correspondence: _____
_____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. Specify the proof of address submitted for correspondence address: _____
4. Registered Address (if different from above): _____
_____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____

C. OTHER DETAILS

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: _____
2. a) DIN of whole time directors: _____
b) Aadhaar number of Promoters/Partners/Karta: _____

DECLARATION

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

Name & Signature of the Authorised Signatory

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

(.....)
Name & Signature of the Authorised Signatory
Date

Seal/Stamp of the intermediary

SARAL

ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it

I KYC - Please fill this form in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Father's/ Spouse Name: _____
3. a. Gender: Male/ Female b. Marital status: Single/ Married c. Date of birth: ____ (dd/mm/yyyy)
4. Nationality: _____
5. a. PAN: _____ b. Aadhaar Number, if any: _____
6. Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

1. Residence/ Correspondence Address: _____ City/town/village: _____
Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. Permanent Address (if different from above address): _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
4. Specify the proof of address submitted for residence/correspondence /permanent address: _____

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 Date: _____ (dd/mm/yyyy)

Originals verified and Self-Attested Document copies received (.....)
Name & Signature of the Authorised Signatory
Seal/Stamp of the intermediary

Date

II OTHER DETAILS:

1. Bank account details:

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/	MICR Number	IFSC code

2. Demat account details:(In case the client does not have DP account, this column may be crossed)

DP name	NSDL/CDSL	Beneficiary name	DP ID	BO ID

3. Whether DP account is also to be opened with the same intermediary (Yes/No)

4. Trading Preferences: Please sign the relevant boxes where you wish to trade.

Exchange	Sign	Exchange	Sign	Exchange	Sign
NSE		BSE		MCX-SX	

5. Mode of receiving Contract Note/ Statement of Account: Physical / Electronic (Please indicate your preference).....

6. Standing instructions to receive credits automatically into my BO account (Yes/No)

7. Nomination details (Name, PAN, Address and Phone no. of nominee); relationship with the nominee (If nominee is a minor, details of Guardian like name, address, phone no. and signature of Guardian may be obtained)

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

_____ Signature of the Applicant Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: -----

DP name	NSDL/CDSL	Beneficiary name	DP ID	BO ID

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

I / We undertake that I/we have made the client aware of 'Policy and Procedures', tariff sheet. 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 would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

If the client chooses to avail the demat facility from the same stock broker who is also a depository participant, the stock broker may use the same form and provide the details of the demat account opened for the said client to the client while providing a copy of the KYC documents.

.....

Signature of the Authorised Signatory

Date

Seal/Stamp of the stock broker

NOTE: This form is applicable for individual investors trading in the cash segment. If such investors wish to trade in segments other than cash segment and / or wish to avail facilities such as internet trading, running account, margin trading, Power of Attorney etc., they may furnish additional details required as per prescribed regulations to the concerned intermediary.

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individuals

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

1. Name of the Applicant : _____
2. Father's / Spouse Name: _____
3. a. Gender : Male / Female b. Marital status : Single / Married c. Date of Birth: _____
4. a. Nationality: _____ b. Status : Resident Individual / Non Resident / Foreign National. (If Non Resident / Foreign National, self-certified copy of statutory approval obtained must be attached)
5. a. PAN: _____ b. Unique Identification Number (UID)/Aadhaar, if available: _____
c. Any other additional proof of identity: _____
6. Specify the proof of Identity submitted : _____

B. ADDRESS DETAILS

1. Address for correspondence: _____
_____ City / district / village: _____ Pin Code: _____
State: _____ Country: _____
2. Contact Details : Tel. (Off) _____ Tel. (Res.) _____ Mobile No.: _____
Fax: _____ Email Id: _____
3. Specify the proof of address submitted for correspondence address : _____
4. Permanent Address (if different from above): _____
_____ City / district / village: _____ Pin Code: _____
State: _____ Country: _____ Tel. (Off) _____ Tel. (Res.) _____
Mobile No.: _____ Fax: _____ Email Id: _____
5. Specify the proof of address submitted for permanent address, if any: _____

C. OTHER DETAILS

1. Gross Annual Income Details: Income Range per annum: Below Rs.1 Lac / 1-5 Lac / 5-10 Lac / 10-25 Lac / > 25 Lac
Net-worth as on (date) _____ (_____) (Net worth should not be older than 1 year)
2. Occupation (please tick any one and give brief details) : Private Sector / Public Sector / Government Service / Business / Professional / Farmer / Others (Specify) _____

3. Please tick, as applicable: Politically Exposed Person (PEP) / Related to a Politically Exposed Person (PEP) / Not a Politically Exposed Person (PEP) / Not Related to a Politically Exposed Person (PEP)

4. Any other information : _____

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.

X2 _____

Signature of the Applicant

Date : _____(dd/mm/yyyy)

FOR OFFICE USE ONLY

1. (Originals verified) True copies of documents received
2. (Self attested) Self certified document copies received

Signature of Authorised Signatory

Seal / Stamp of Intermediary

Date _____

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account No.	Savings/Current/ Others	MICR No.	IFSC Code

B. DEPOSITORY ACCOUNT(S) DETAILS, if available

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

C. TRADING PREFERENCES

Sr.No.	Name of the Exchange	Segment	Date of consent for trading on concerned exchange	Signature of Client
1.	National Stock Exchange of India Ltd	Cash		X3
		Fao		X4

If, in future the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.

D. PAST ACTIONS

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

E. DEALINGS THROUGH OTHER STOCK BROKERS

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

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) : _____
Specify your Email if, if applicable : _____
- Whether you wish to avail of the facility internet trading / wireless trading : _____
- Number of years of Investment / trading experience : _____
- Any other information : _____

10	Address of Guardian(s)						
	City / Place: State & Country:						
		PIN Code					
11	Mobile / Telephone no. of Guardian #						
12	Email ID of Guardian #						
13	Relationship of Guardian with nominee						
14	Guardian Identification details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN Aadhaar Saving Bank account no. Proof of Identity <input type="checkbox"/> Demat Account ID						
Name(s) of holder(s)						Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)							
Second Holder (Mr./Ms.)							
Third Holder (Mr./Ms.)							

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature
Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Name and Signature of Holder(s)*		
1. _____	2. _____	3. _____

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

G. INTRODUCER DETAILS

Name of the Introducer: _____
Status of the Introducer : Sub-broker / Remiser / Authorized Person / Existing Client / Others : _____
Address and phone no. of the Introducer : _____
Signature of the Introducer : _____

H. NOMINATION DETAILS

I/We wish to nominate I/We don't wish to nominate

Name of the Nominee : _____ Address and ph. No. of nominee : _____
Relationship with Nominee : _____ Pan of Nominee : _____ DOB of Nominee : _____

If Nominee is a minor, details of guardian :

Name of the Guardian : _____ Address and ph. No. of Guardian : _____
Signature of guardian : _____

Witness

Name _____	Name _____
Signature _____	Signature _____
Address _____	Address _____

DECLARATION

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

Place : _____ **X5** _____
Date : _____

FOR OFFICE USE ONLY

UCC Code allotted to Client : _____

	Documents verified with original	Client Interviewed by	In-person Verification done by
Name of the Employee			
Employee Code			
Designation of Employee			
Date			
Signature			

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

Date _____

Signature of the Authorised Signatory
Seal/Stamp of the Stock broker

INSTRUCTIONS / CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income – salary slip, copy of form 16	Net worth certificate
Copy of demat account holding statement	Bank account statement for last 6 months
Any other relevant document substantiating ownership of assets	Self declaration with relevant supporting documents

2. 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
3. Demat master or recent holding statement issued by DP bearing name of the client
4. For individuals:
- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock brokers / sub-broker'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

RIGHTS AND OBLIGATIONS OF STOCK BROKER, SUB-BROKERS AND CLIENTS
as prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

X6 _____

13. The client shall give any order for buy or sell of security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Stock broker. The Stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The Stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant securities exchange where the trade is executed.
15. The Stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the Stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, Stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Business Rules and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The Stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed

X7_____

through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

24. The client and the Stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/Stock broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/Stock broker shall be binding on the client/Stock broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/Stock broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the Stock broker and the client shall be terminated; if the Stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the Stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Exchange.
28. The Stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub-broker by the Stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the Stock broker and all clauses in the 'Rights and Obligations' document(s) governing the Stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the Stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The Stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The Stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The Stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The Stock broker shall make pay out of funds or delivery of securities, as the case may be, to the client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

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34. The Stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The Stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the Stock broker. The client shall communicate to the Stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The Stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the Stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The Stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Securities exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the Stock broker for the specified period under the extant regulations of SEBI/Stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The Stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the regulations of SEBI/Stock exchanges.
41. The Stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the Stock broker shall send a physical contract note to the client within the stipulated time under the extant Regulations of SEBI/stock exchanges and maintain the proof of dispatch and delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the Stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the Stock broker, Authorised Person and the client shall be entitled to exercise any other rights which the Stock broker or the client may have under the Rules, Bye-laws and Business Rules of the Exchanges in which the client chooses to trade and

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circulars/notices issued thereunder or Rules and Regulations of SEBI.

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

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**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK
BROKERS TO CLIENT**

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

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. Basic Risks

1.1 .Risk of Higher Volatility

Volatility refers to the dynamic changes in price that a security/ derivative contracts undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/ derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities/ derivatives

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contracts than in active securities/ derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads

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

1.4 Risk-reducing orders

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

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

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

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

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1.5. Risk of News Announcements:

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

1.6 Risk of Rumours

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

1.7 System Risk

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

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

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

1.8 System/ Network Congestion

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

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

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B. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Stock broker may liquidate a part of or the whole position or substitute shares. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an Investor may find it difficult or impossible to execute the transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain stability, the following steps may be adopted: changes in the margin rate, increase in the cash margin rate or others. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your Stock broker to provide the full details of the derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflations; currency devaluation; and sentiment of the market. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

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

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

2.4 Risks of Option Writers:

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

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

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

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all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

4.1 The term 'Constituent' shall mean and include a Client, a Customer or an Investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities/derivatives contracts through the mechanism provided by the Exchange.

4.2 The term 'stock broker' shall mean and include a Stock broker a Broker or a Stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI

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GUIDANCE NOTE - DO'S AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

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

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

- d) You need to bring any dispute arising from the settlement of account or settlement so made to the notice of the stock in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchange without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

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

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MANDATORY POLICIES AND PROCEDURES:

The Following are the policies and procedures formulated by Tradehifi Stock Broking Pvt. Ltd.:

1. **Refusal of order for penny stocks:** Tradehifi Stock Broking Pvt. Ltd. is advising to the clients not to deal in penny securities and if client deals with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin Deposit. Tradehifi Stock Broking Pvt. Ltd. shall have authority from time to time limit(quantity/value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value / delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the Tradehifi Stock Broking Pvt. Ltd. / exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the Tradehifi Stock Broking Pvt. Ltd. Decision of Tradehifi Stock Broking Pvt. Ltd. will be binding on the client and will be final.

2. **Setting Up of Client's Exposure Limits:** The client agrees to abide by the exposure limits, if any, set by Tradehifi Stock Broking Pvt. Ltd. or by the Exchange or Clearing Corporation or SEBI from time to time. The client is ware and agrees that Tradehifi Stock Broking Pvt. Ltd. may need to vary or reduce or impose new limits urgently on the basis of its risk perception, risk profile of the client and other factors considered relevant by the Tradehifi Stock Broking Pvt. Ltd. including not limited to limits on account of exchanges / SEBI directions / limits(such as broker level/market level limits in security specific / volume specific exposures etc.). Tradehifi Stock Broking Pvt. Ltd. may be unable to inform the client of such variation, reduction or imposition of limits.

3. **Applicable Brokerage Rate :** Tradehifi Stock Broking Pvt. Ltd. shall levy brokerage rate for the client's transactions as per the brokerage slabs mutually agreed with the client in writing in the Client Registration Form subject to the maximum rate prescribed by the Stock Exchanges / SEBI from time to time. Any change in brokerage rate shall be intimated to the client at least 7 days in advance.

4. **Imposition of penalty / delayed payment charges :** Client shall be liable to penalty and other charges on non payment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non delivery of shares, increase open position or any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulation, Guidelines and circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines.

Notwithstanding anything contained in these presents and without prejudice to margin funding guidelines issued by SEBI in case of non receipt of full payment of value of delivery purchased, margin imposed(initial+MTM)interest will be charged at 18%p.a.calculated on daily basis on shortfall amount till the date of actual realization of money. All fines/penalties and charges levied upon the Client due to its acts/ deeds or transactions will be recovered by the Tradehifi Stock Broking Pvt. Ltd. directly from the client's account.

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

a. If payment /securities towards the margin or shortfall in margin in not received instantaneously to enable restoration of sufficient margin in the client's account.

b. In case of benefit of margin will be given only after realization to instrument.

c. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason before the close of market.

d. Tradehifi Stock Broking Pvt. Ltd. has the right but not the obligation, to cancel all pending orders and to sell/close / liquidate all open positions/securities given as collateral or otherwise /shares at the pre-defined square off time or when Mark to market(M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. Tradehifi Stock Broking Pvt. Ltd. will have sole discretion to decide referred stipulated margin percentage depending upon the market conditions. Similarly, all transactions outstanding under limit by whatsoever name called may be closed out at specified time if not squared off by the client. Any and all the losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the client. Such liquidation/close out may be without any prior reference or notice to client. Client shall keep and hold Tradehifi Stock Broking Pvt. Ltd. indemnified and harmless from any loss arising out of such closing out / squaring off.

e. In case open position(ie.long/short) get covered in to delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client have to pay penalties and charges levied by exchange in actual and losses, if any.

f. Any reference in these terms to sale or transfer of securities by Tradehifi Stock Broking Pvt. Ltd. shall be deemed to include sale of the securities which form part of the Margin maintained by the Client with Tradehifi Stock Broking Pvt. Ltd.

6. **Shortages in obligation arising out of internal netting of trades :** The polices and procedures for settlement of shortages in obligation arising out of internal netting of trades in as under:

If the client has short delivered any securities against his/her/its pay-in obligation which resulted in internal shortage i.e. resulting in failure of delivery of securities to another client of Tradehifi Stock Broking Pvt. Ltd. who purchased the securities and the

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securities could not be auctioned in the market(self-auction), then close out price will be 5% above the closing price on settlement (Payin/Payout) day. If the scrip is under upper circuit then close out price will be 20% above closing price on settlement(Payin/Payout) day or such rate as may be revised by Tradehifi Stock Broking Pvt. Ltd. from time to time. The close out value which will be arrived after taking into account the close out price as mentioned above, will be charged to seller & then the same will be passed on to the buyer.

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

Tradehifi Stock Broking Pvt. Ltd. may refuse to execute /allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by itself / exchange / SEBI and any other reasons which it may deem appropriate in the circumstances.

a. For non-payment or erosion of margins or other amounts, outstanding debits, etc and adjust proceeds of such liquidation / close out, if any, against the client's liabilities/obligations.

b. Any order which is executed without the required Margin in the Client's account of the Tradehifi Stock Broking Pvt. Ltd. exposure is more than 90% and above so no fresh trade will be taken.

c. The client hereby authorizes the Tradehifi Stock Broking Pvt. Ltd. to square up all his outstanding positions at its discretion, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 90 % in any of exchanges, Tradehifi Stock Broking Pvt. Ltd. reserves the right to square off positions.

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

e. Tradehifi Stock Broking Pvt. Ltd. entitled to disable / freeze the account or trading facility / any other service if, in its opinion, the client has committed a crime, fraud or had acted in contradiction of this agreement or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if it so apprehends. Any profit/loss arising out of these transactions shall be at the risk of and borne by the clients.

f. Tradehifi Stock Broking Pvt. Ltd. reserves the right to restrict or refuse execution of any orders for transaction in any scrip if transaction in such scrip is not in accordance with its internal policy or penny / illiquid securities and/ or the directives and guidelines of the Exchanges / Regulators issued from time to time.

8. Temporarily suspending or closing a client's account at the client's request : Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by the him. The client shall ensure pay in of funds and securities in respect of all transactions pending to be settled on or before the respective settlement date(s) and shall compulsorily square off the open derivative positions, failing which Tradehifi Stock Broking Pvt. Ltd. without further reference to the Client shall square off open derivative positions and / or sell client's stock given as collateral margin or otherwise to recover outstanding amount prior to suspending the account. For reactivating the account, the client has to request in writing to Tradehifi Stock Broking Pvt. Ltd. and on receipt of such request for reactivation, account will be reactivated subject to compliance with KYC norms prevailing at that time.

9. Deregistering a client : A client is at liberty to deregister himself / itself from the member. For that purpose client will be liable first to settle his account in full. In case of any shortfall or any dues or payment remaining after adjusting the margin account, the client will be liable to make payment of the same. And in case of surplus arising out after netting of account, client shall be entitled to receipt of the same.

10. Dormant Account : If there is no trades during last 6 months, your trading account will become dormant / inactive and the same will be activate after receiving the request through trading activation form available with KYC duly filled and signed.

Tradehifi Stock Broking Pvt. Ltd. reserves the right to deregister the client in the event of any breach of the terms of the member client agreement or in the event of violation of any Rules, Bye-laws, Regulations of SEBI or the Stock Exchange or of the provisions of any law for the time being in force governing dealings in the securities market without prior notice or the directions of SEBI / the Exchanges. All rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to deregistration of the client shall continue to subsist and vest in / be binding on the respective parties or his / her / its respective heirs, executors, administrators, legal representatives or successors, as the cas may be.

Tradehifi Stock Broking Pvt. Ltd. has formulated a set of Policies and Procedures as given above which are to govern all the trades and other transactions of the Client on the Exchange. The said Policies and Procedures form an integral part of Member Client Agreement executed. Tradehifi Stock Broking Pvt. Ltd. reserves the right to vary, alter, modify or revise the said Policies and Procedures in keeping with the applicable Rules, Bye-Laws and Regulations governing the stock market.

Tradehifi Stock Broking Pvt. Ltd. declares that it has brought the contents of the said Policies and Procedures to the notice of the client and the client declares that he / she / it has read and understood the said Policies and Procedures and agrees and undertakes to be bound by the same or as may be varied, altered, modified or revised by Tradehifi Stock Broking Pvt. Ltd. from time to time.

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TARIFF SHEET

BROKERAGE SLAB AND STATUTORY CHARGES

Exchange	Square Up %	Square up minimum ps.	Delivery %	Delivery Minimum ps.
Cash				
Fao				
Options Rs.				

The above given brokerage will be exclusive of the following charges.

Statutory & Other Charges

Brokerage will be exclusive of transaction charges, service tax, or any other tax/levy imposed by exchange /SEBI/ any other government agencies.

Charges/service standards are subject to revision at sole discretion of Tradehifi Stock Broking Pvt. Ltd. from time to time with a notice of 7 days in advance. This notice may be given by ordinary post, email or by an advertisement in a newspaper.

PROPRIETARY TRADE DECLARATION

In terms circular no. SEB/MRD/SE/CIR-42/2003 dated 19 Nov.2003 issued by Securities Exchange Board of India the broker member is obliged to disclosed to its clients/constituents whether the member is trading in his own account or not. Accordingly we hereby inform you that we do Proprietary Trading the same may please be noted.

Client Signature
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Signature of Sub Broker / Authorised Person

Authorised Signatory

Declaration for Mobile No.

VOLUNTARY

Date :

I, _____ having Pan No. _____ do hereby declare that my mobile no. is _____ further, I authorize Tradehifi Stock Broking Pvt. Ltd. that the same may be used for giving my information / alert / sms / call.

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

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Client Defaulter Declaration

VOLUNTARY

Date:

I/We _____ having PAN no _____ do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI / Various Exchange / Regulatory / bodies / CIBIL(Credit Information Bureau of India Ltd.) etc.

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Opting for SMS and Email Alerts to Investors by Stock Exchanges

I/We _____ having Client Code _____ do hereby opting for the following facilities offered by Stock Exchanges:

SMS

Email

SMS and Email Both

The following is my / our Mobile Number and / or Email Address :

Mobile No. _____ Email Address: _____

I declare that mobile number _____ is in my name or in my name of my family member _____ (mention the relationship) having Client Code _____.

Further, I declare that Email Address mentioned above is of my or in the name of my family member _____ (mention the relationship) having Client Code _____.

In case of any changes in the above mentioned mobile number / email address, I/ We will inform you immediately in writing. This number / email can be used for giving any information/ alert/ SMS.

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Authorization for maintain Running Account

VOLUNTARY

Date:

I/We hereby authorize you to maintain a Running Account with the following objectives:

1. I/We request you to keep my/our funds/securities payout/given in advance /given for Margin purpose/given as security deposit with you only and without insisting me/us for taking payment/delivery within 1 working day of the pay-out received from the exchange . I/We will specifically request you for the release of funds/securities and till that time I/We authorize you to retain the funds/securities with you. I/We also hereby request you to do inter segment transfer of excess balances lying in my/our NSE accounts maintained with you.
2. Maintenance of funds/securities, which means that the actual settlement of funds and securities shall be done at least once in a calendar quarter.
3. In case I/We have any outstanding obligations on the settlement date, you have the right to retain securities/funds as follows:
 - In respect of Derivative Market transactions, apart from margin liability as on the date of settlement, you have the right to retain additional margins (maximum up-to 75% of margin requirement on the day of settlement) to take care of any margin obligation in next 5 days.
 - In respect of Cash Market transactions, you have the right to retain the entire pay-in obligation of funds and securities due as on the date of settlement.
4. I/We reserve the rights to revoke this authorization at any time.
5. In spite of this authorization, I/we shall retain the right to withdraw funds/securities at any time after submitting a formal request for the same.
6. I/We also undertake to bring any dispute arising from the statement of account or settlement so made preferably within 7 working days from the date of receipt of funds/securities or statement, as the case may be.
7. The authority as given above by me/us will remain valid till such time I withdraw the same by giving instruction in writing to you.
8. I/We undertake to retain an amount of Rs.10000/- to address the administrative / operational difficulties in settling the funds.

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

- Once in a Calendar Quarter
- Once in a Calendar Month

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Undertaking for Account accepting electronic communication VOLUNTARY DOCUMENT

Client Code : _____

Name : _____

To

TRADEHIFI STOCK BROKING PVT. LTD.
53, KUPPU MUTHU STREET,
TRIPLICANE,
CHENNAI 600005.

Dear Sir,

Sub: Request for sending contract Notes/Documents etc. on my e-mail id's

1.	
2.	

1. To receive contract notes, bills, ledgers, transaction statement (statement of funds/securities), report, letter, circular etc. in electronic form through above mentioned e-mail id provided by me/us to TRADEHIFI STOCK BROKING PVT. LTD. (Stock Broker) in relation to trades/ transaction done on the exchange through TRADEHIFI STOCK BROKING PVT. LTD.

2. To complete the necessary formalities those are required under the provisions of the Information Technology Act, 2000 for getting the above facility. I/We shall initially download the specified software (Signature Verifier utility) or any other software as may be advised by the Stock Broker for time to time on our computer and the same shall be used for receiving, viewing, storing the contract notes, bills, ledgers, transaction statement (statement of funds / securities), report, letter, circulars, etc. sent by TRADEHIFI STOCK BROKING PVT. LTD. from time to time in respect of the trades / transaction that have been executed by me/us through the terminal of the Stock Broker.

3. Contract notes, bills, ledgers, transaction statement (statement of funds/securities), report, letter, circulars, etc. sent by TRADEHIFI STOCK BROKING PVT. LTD. from time to time to my/our-mail be deemed to have been delivered to me and it shall be presumed that the TRADEHIFI STOCK BROKING PVT. LTD. same is in order unless any discrepancies are given in writing to TRADEHIFI STOCK BROKING PVT. LTD. Securities within 24 hours of the receipt of the same. I/we confirm that non-receipt of bounced mail notification by the member shall amount to delivery of the contract TRADEHIFI STOCK BROKING PVT. LTD. note at the above mentioned e-mail id.

4. In case of my/our request for physical contract notes, bills, ledgers, transaction statement (statement of funds/securities), report, letter, circulars and any other such documents in addition to digital copy, the stock broker is authorized to debit the charges decided by broker to my/ our account.

5. I/We hereby state that the handling over of the said contract(s) bill(s) confirmation notes or any communication in respect of my/our transactions relating as due discharge of obligation of the Member under th Rules and Regulations and bye - laws of SEBI and the stock exchange(s).

6. Contract notes, bills, ledgers, transaction statement (statement of funds/securities) may be kept for seven days on the web server of TRADEHIFI STOCK BROKING PVT. LTD. i.e., on www.tradehifi.in which can be downloaded by me/us through the login id and password provided by TRADEHIFI STOCK BROKING PVT. LTD. to me/us.

7. The above service may require using password/digital signature and I/we will be responsible for confidentiality and proper use at all time of password/digital signature for all transactions initiated through the service.

8. Any change in the email-id shall be communicated by me/us through a physical letter to the stock broker.

9. I/we or the stock broker do have right to terminate the service at any time with a prior request of 15 days notice to the other party.

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PMLA INVESTOR'S EDUCATION WRITE UP

The Prevention of Money Laundering Act (PMLA) came into effect from 1st July 2005. Necessary Notifications/Rules under the said Act were published in the Gazette of India on 1st July, 2005 by the Department of Revenue, Ministry of Finance, and Government of India. The PMLA has been further amended vide notification dated March 6, 2009 and inter alia provides that violating the prohibitions on manipulative and deceptive device, insider trading and substantial acquisition of securities or control as prescribed in Section 12 A read with Section 24 of the Securities and Exchange Board of India Act, 1992 (SEBI Act) will now be treated as a scheduled offence under schedule B of the PMLA.

1. As per the provisions of the PMLA every banking company, financial institution (which includes chit fund company, a cooperative bank, a housing finance institution and a non-banking financial company) and intermediary (which includes a stock-broker, sub-broker, share transfer agent, banker to an issue, trustee to a trust deed, registrar to an issue, merchant banker, underwriter, portfolio manager, investment adviser and any other intermediary associated with securities market and registered under Section 12 of the SEBI Act, Shall have to maintain a record of all the transactions: the nature and value of which has been prescribed in the Rules under the PMLA.

Such transactions include:

- All cash transactions of the value of more than Rs. 10 Lakh or its equivalent in foreign currency.
- All series of cash transactions integrally connected to each other which have been valued below Rs. 10 Lakh or its equivalent in foreign currency where such series of transactions take place within one calendar month.
- All suspicious transactions whether or not made in cash and including, inter-alia, credits or debits into from any non

monetary account such as demat account, security account maintained by the registered intermediary.

2. It may however, be clarified that for the purpose of suspicious transactions reporting, apart from 'transactions integrally connected', 'transactions remotely connected or related shall also be considered.

3. In case there is a variance in CDD/AML standards prescribed by SEBI and the regulators of the host country, branches/ overseas subsidiaries of intermediaries are required or related shall also be considered.

4. It is an obligation of the entities to whom this Act is applicable, to report certain kind of transactions routed through them to FINANCIAL INTELLIGENCE UNIT, a department specially set up to administer this Act under the Ministry of Finance.

5. The transactions which are supposed to be reported are cash transactions above Rs. 10 Lakh or series of cash transactions below 10 Lakh but aggregating to above 10 Lakh in a month or its equivalent in any foreign currency and the transactions which may not be in cash but suspicious in nature.

6. Any such above types of transaction, though not executed but attempted and failed are also required to be reported.

7. The suspicious transaction can be related to the transaction under the circumstances such as:

- a) Client whose identity verification seems difficult or clients that appear not to co-operate
- b) Asset management services for clients where the source of the funds is not clear or not in keeping with clients apparent standing/business activity:
- c) Clients based in high risk jurisdictions:
- d) Substantial increases in business without apparent cause:
- e) Clients transferring large sums of money to or from overseas locations with instructions for payment in cash:
- f) Attempted transfer of investment proceeds to apparently unrelated third parties:
- g) Unusual transactions by CSCs and businesses undertaken by offshore banks/financial services, businesses reported to be in the nature of export-import of small items.

8. Clients of Special Categories may include:

- a) NRI/HNI/Trust/Charities/NGO/Organizations receiving donations
- b) Companies having close family shareholdings or beneficial Ownership
- c) Politically Exposed Persons
- d) Companies offering foreign exchange offerings
- e) Clients in high risk countries
- f) Non face to face clients
- g) Clients with dubious reputation as per Public information available

9. No trading or demat account can be opened in the name of entity whose name is listed on the banned entity list being maintained at United Nation's website at <http://www.un.org/sc/committees/1267/consolist.shtml>

10. While opening the new account all the prescribed procedures of KYC and client identifications should strictly be followed in the context of ensuring the compliance under this act.

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11. All the records of transactions and client identifications must be preserved in manner which can be promptly retrieved and reported to the authorities in the specified format.

12. These are the highlights of the requirements under the Act. Clients/Sub-brokers/Authorized Persons/Remisiers are advised to go through the SEBI's master circular at <http://www.sebi.gov.in/circulars/2010/cirisdam12010.pdf> for detailed information and understanding and also to visit the website of FIU – IND at <http://fiuindia.gov.in>

13. The clients are advised to co-operate with us by providing the additional information/documents, if asked for during the course of your dealings with us to ensure the compliance requirements under this act.

14. For any further clarifications or information on the subject, you can contact as on our **E-mail ID:** admin@tradehifi.in

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