

FOR OFFICE USE ONLY

Branch / Sub Broker Name & Signature	
Date of Receipt of the Form at Branch Office	
Date of Receipt of the Form at Head Office [To be filled at HO]	
Date of Opening of Account [To be filled at HO]	
Checked By	
Client Code Allotted	

Remarks

ACCOUNT OPENING KIT

INDEX

Sl. No.	Name of the Document	P A R T I C U L A R S	Pages
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. Individual Non-Individual Instruction Check List B. Document captures the additional information about the constituent relevant to trading account.	A3 - A4 A5 - A7 B2 - B3* A8 - A11
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	B4 - B7*
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B8 - B10*
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B11*
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	A12 - A14
6.	Tariff Structure	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	A15
7.	Investor Greivance contact	Documents gives detail about the contact points of the client in case of any greivance	A16

PART - B NON-MANDATORY

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MANDATORY

KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR INDIVIDUAL



East India Securities Ltd
Excellent | Investment | Solutions

To
East India Securities Ltd.

Part - A

DA-14, Salt Lake, Sector - 1, Kolkata-700 064

I / We request you to register me / us as your client & in this regard following information is furnished.

Personal Details

Name [Block Letters] _____

Permanent Address _____

Near _____ City _____

Pin [Compulsory] _____ State _____

Country _____ Nationality _____

Paste Photograph
and Sign
across Photograph

Proof of Permanent Address _____

Address for Correspondence _____

Near _____ City _____ Pin [Compulsory] _____

State _____ Country _____

Proof of Address for Correspondence _____

Date of Birth ____/____/____ Gender Male Female

Marital Status Married Unmarried Widow / Widower Divorced Other _____

Father's /Spouse's Name _____

Phone _____ Mobile _____ E-mail _____

Proof of Identity Submitted _____

Occupation Details

Private Sector Public Sector Government Service Business Professional Agriculturist
 Retired House Wife Student Others, please specify _____

[Please Tick whichever is applicable]

Name of Employer / Establishment _____

Office Address _____

City _____

Pincode _____ State _____ Country _____

Phone No. _____ Fax/Telefax No. _____

Status

Resident Indian NRI Non Repatriable NRI Repatriable Foreign National

[Please Tick whichever applicable]

Please tick on the Appropriate Box

Politically Exposed Person (PEP) Related to Politically Exposed Person Not applicable

Annual Income [Rs.]

Less than 1 Lakh 1 Lakh to 5 Lakhs 5 Lakhs to 10 Lakhs 10 Lakhs to 25 Above 25 Lakhs

[Please Tick whichever applicable]

Details of Proof Submitted by Client

PARTICULARS	NO.	ISSUE PLACE	ISSUE DATE
VOTER ID CARD			
PASSPORT			
RATION CARD			
DRIVING LICENCE			
10 DIGIT PAN			
UID			

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.

Signature of the Client

Date : _____(dd/mm/yyyy)

For Office Use Only

- (Originals verified) True copies of documents received
 (Self-Attested) Self Certified Document copies received

(.....)
Signature of the Authorised Signatory

Date

(Seal/Stamp of the intermediary)

MANDATORY

KNOW YOUR CLIENT APPLICATION FORM FOR NON-INDIVIDUAL



East India Securities Ltd
Excellent | Investment | Solutions

Part - A

To
East India Securities Ltd.
DA-14, Salt Lake, Sector - 1, Kolkata-700 064

Status of Client (Tick whichever applicable)

- | | | | | |
|------------------------------------|--|--|--|--------------------------------|
| <input type="checkbox"/> Pvt. Ltd. | <input type="checkbox"/> Public Ltd. Co. | <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Partnership | <input type="checkbox"/> Trust |
| <input type="checkbox"/> Charities | <input type="checkbox"/> NGO | <input type="checkbox"/> FII | <input type="checkbox"/> HUF | <input type="checkbox"/> AOP |
| <input type="checkbox"/> Bank | <input type="checkbox"/> Govt. Body | <input type="checkbox"/> Non-Govt. Orgs. | <input type="checkbox"/> Defense Establishment | <input type="checkbox"/> BOI |
| <input type="checkbox"/> Society | <input type="checkbox"/> LLP | <input type="checkbox"/> Others (Please specify) _____ | | |

Clients Details

Name [Block Letters] _____
Date of Incorporation ____ / ____ / ____ Place of Incorporation _____
Date of Commencement of Business ____ / ____ / ____ Regn.No.(CIN) _____
PAN _____ SEBI Regn.No. (If applicable) _____

Registered Office

A _____
D _____
D _____ Near _____ City _____
R State _____ Country _____ Pin [Compulsory] _____
E Phone _____ FAX _____ E-mail _____
S Proof of Registered Office Address _____
S _____

Correspondence Office

D _____
E _____
T _____
A _____ Near _____ City _____
I State _____ Country _____ Pin [Compulsory] _____
L Phone _____ FAX _____ E-mail _____
S Proof of Correspondence Office Address _____
S _____

Annual Income [Rs.] (Please Tick whichever applicable)

Less than 1 Lakh 1 Lakh to 5 Lakhs 5 Lakhs to 10 Lakhs 10 Lakhs to 25 Lakhs
 25 Lakhs to 1 Crore > 1 Crore

Net Worth

Net Worth as on (Date) ____/____/____ : _____ (Net worth should not be older than one year)

Detail of Promoters / Directors / Proprietor / Trustee / Karta / Partners / Authorized Signatories / Key Managerial Personnet of the Company Firm (In case of company details of all shareholders holding 5% or more)

	1st Signatory	2nd Signatory	3rd Signatory
Name			
Residential Address [With Pin Code]			
PAN			
UID			
Telephone No.			
Designation			
DIN			
Qualification & Experience			
Equity Stake [%]			
Politically Exposed (Yes/No)			
Related to Politically Exposed (Yes/No)			
Photograph of The Signatory			
Signature			

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) True copies of documents received
- (Self-Attested) Self Certified Document copies received

(.....)
Signature of the Authorised Signatory

Date

(Seal/Stamp of the intermediary)

MANDATORY**KNOW YOUR CLIENT APPLICATION FORM**

East India Securities Ltd
Excellent | Investment | Solutions

Part - B**Investment / Trading Experience**

_____ years in Stocks, _____ years in derivatives, _____ years in other investment related fields.

Trading Preference

I/We would like to trade in following segments / exchange :

Exchange & Segment		Signature of Client		Exchange & Segment		Signature of Client	
NSE	CM			NSE	CDX		
NSE	FO			BSE	CM		

Bank A/C Details

Sl. No	Bank Name	Branch	Account No.	A/C Type	MICR Code	IFSC Code
1						
2						
3						

Demat Account Details

Sl. No	DP Name	DPID	Client ID	(Depository Name (NSDL / CDSL))
1				
2				
3				

Past Actions

Details of any action/proceeding 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 :

In Case Dealing through Sub Broker

Sub Broker's Name	SEBI Regn. No.	Regd. Office Address	Phone	Fax	Website

In Case Registered with any other Broker / Sub Broker

Name of Broker	Name of Sub broker, if any	C. Code	Exchange / Segment	Disputes Detail, if any

As we are not providing electronic contract notes, we will provide physical contract notes to you.

Do you wish to avail Internet Trading ? Yes No.

Introducer Details

Name _____

Status : Sub-broker Remisier Auth. Person Existing Client Other

[Please Tick whichever is applicable]

Address _____

Phone _____ Fax _____ E-mail _____

Signature of Introducer _____

Nomination Details (Only For Individuals)

I/We wish to Nominate I/We do not wish to nominate

Name of Nominee _____

Relationship of Nominee _____ Date of Birth of Nominee _____

Address _____

Phone No. _____ Pan No. _____

If nominee is a minor, details of Guardian :

Name of Guardian _____

Address _____

Phone No. _____ Pan No. _____

Signature of Guardian _____

Witness

1st Name _____

2nd Name _____

Address _____

Address _____

Signature _____

Signature _____

Declaration

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk 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.
4. I/We further confirm that we have received a copy of all the KYC documents.

Place _____

Date _____

Signature of Client / Signature of Authorized Signatory (ies)

For Office Use Only

UCC Code allotted to the Client : _____

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

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

Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker

MANDATORY

POLICIES AND PROCEDURES

A. Penny/illiquid/physical Shares :

Broker has right to refuse orders for penny/illiquid/physical shares. I/we agree that I/we will have no objection to the right of broker to refuse orders for such scrips. I/we agree that broker will not be responsible for any financial loss incurred in such scrip.

B. Setting Limits :

I/we agree that all decision with regard to the amount that may be placed as margin, the exposure available to me/us as against funds deposited by me/us and the authorized trading limit shall be decided by the stock broker at their sole discretion and no reason thereof is required to be given to me/us.

The basis on which limits, exposures can be allowed to me/us are subject to change from time to time at the sole discretion of the broker and I/we have no right to object to such changes.

C. Payment of Margin/Collateral/Deposits :

I/we agree to pay margins/collaterals/deposits/securities to the stock broker, on the transactions and contracts executed/to be executed, of the amount, in the form and within the time schedule as required by the stock broker.

I/we are entitled to refund of the margin/collaterals/deposits/securities provided I/we have no outstanding dues or obligation in any segment/exchange towards the stock broker.

D. Pay-in of Funds and Securities :

I/we agree to pay immediately any amount which is payable by me/us as a result of the transaction done on my/our behalf .I/we agree to deliver immediately any securities which are deliverable by the client as a result of the transaction done on his/her/its behalf. I/we agree to pay immediately MTM amount payable for transaction done in futures and options/Currency Segment.

I/we agree to submit cheque towards pay-in of funds to stock broker's office within one day of trading. I/we agree to meet my/our pay in of securities to stock brokers POOL account within the time specified for pay in.

E. CLOSE OUT :

- In case of Purchase :** In case of purchase on behalf Client, the Client authorizes the Member to close out the transactions by selling the securities in case the Client fails to make full payment to the Member for the execution of the contract before pay-in-day (as fixed by stock exchange for the concerned settlement period), unless the Client already has an equivalent credit with the Member. The loss incurred in this regard, if any, will be met from the margin money of the Client. The Client agrees to make good the shortfall, if any, immediately on being intimated of the shortfall by the Member. The close out however will be to the extent of shortfall of the client.
- In case of Sale :** In case of sales on behalf of Client, the Client authorizes the Member to close out the contract by effecting purchase if the Client fails to deliver the securities sold with valid transfer documents within delivery day (as fixed by stock exchange authorities for concerned settlement period), Cost of the transaction (i.e. close out) will be deductible from the margin money of the Client. The Client agrees to make good the shortfall, if any, immediately on being intimated of the shortfall by the Member.

F. Rights of Stock Broker against Non Payment of margin/debit obligation :

I/we agree that stock broker has right to sell/square-off/adjust, without any notice to me/us, any margin/ deposit/collaterals/money/securities provided by me/us to the stock broker in any segment/exchange, to

recover any dues/margin/interest payable to stock broker in any/all exchange/segment. Such right of the stock broker will be limited to the extent of my/our debit balance/margin shortfall and/or Interest in all exchange/segment in which I/we am/are registered with the stock broker.

I/we agree that stock broker has right to square off my existing outstanding position in any segment, without any notice to me/us, If I/we don't provide adequate margin to the stock broker in such segment. Such right of the stock broker will be limited to the extent of my/our debit balance/margin shortfall in all exchange/segment in which I/we am/are registered with the stock broker.

I/we agree that stock broker has right to close/sq-off my/our position at any point of time due to non/delay payment of payin/margin obligation to the stock broker.

G. Delay Payment Charges/ Penalty Charges :

I/we agree to reimburse deemed financial cost incurred by the stock broker resulting due to non payment/ delay payment of the margin/pay-in/other obligation resulting due to transaction carried out on my/our behalf.

I/we agree that to pay delay payment charges upto @ 2 % per month or part thereof for all delayed payments towards short/non margin payment and/or non/delay payment of obligation to the stock broker. I/we will not object for debit of delay payment charges to my/our ledger account from time to time by the stock broker. I/we understand that if we meet our obligation and payments on time, we can avoid delay payment charges/Interest/Penalty.

I/we understand that the broker is not extending any client funding to me/us and charging of delay payment is incidental to the normal business transaction done by me/us with the stock broker and with a sole intention to reimburse incidental financial cost to the stock broker.

I/we further agree to pay penalty for not meeting my/our funds/securities obligation from time to time. The penalty will be charged at the sole discretion of the stock broker and will be agreed to me/us.

I/we further agree to reimburse to the stock broker any statutory penalty levied by any regulatory authority on transaction carried out on my/our behalf or due to any lapse on my /our part.

I/we further agree that stock broker is not liable to pay any interest to us on margin/collateral/securities/ money provided by me/us to the stock broker in any exchange/segment.

H. Shortage in obligation due to Internal Netting of Trades :

In case client has purchased shares and counter party has not delivered the shares to the broker by the pay in time due to some mistake on his/her part and counter party wishes to deliver the shares after pay in time is over, the client will get it's shares after the counter party delivers it to the POOL Account of stock broker.

In case counter party is unable to deliver the shares even after pay-in time shares will be purchased in the client code of the counter party on the day of pay in and the client will get shares from broker on the day of pay out of the purchase of shares by the counter party.

In any case broker will not be responsible for any financial loss that may arise due to shortage in obligation due to Internal Netting of Trades.

I. Temporary Suspension of Account :

Client can request the stock broker to suspend its trading account temporary period. The client can do so by writing giving specific details of suspension.

The account will be reactivated only upon written request from the client himself and updating its KYC details.

J. Brokerage Rate :

I/we agree to pay to the stock broker brokerage at following rates on transaction done by me/us:-

Nature of Transaction	Percentage Rate (On Value of Transaction)
Delivery Trade	
Sq off Trade (Chargeable each Leg of Transaction)	
Futures	
Options (Application on Strike + Premium)	
Others(Please Specify)	

I/we agree that stock broker has rights to revise the above brokerage rates at any point of time and I/we agree to pay brokerage at such new rates as and when revised by the stock broker.

I/we further agree to pay other statutory charges like service tax, stamp duty, exchange TOT, SEBI TOT and other statutory charges levied by regulatory authorities on transaction carried out by me/us at relevant rates to the stock broker, over and above the brokerage charged to me/us.

K. De- registration :

I/we agree that unless otherwise mentioned my/our account will be active until I/we apply for de-registration to the stock broker. Awe agree that upon de-registration I/we will not be allowed to do any transaction with the stock broker. In case I/we wish to transact with the broker in future I/we will reapply to the stock broker for re-registration to reactivate the account.

Date: _____

Client Signature

TARIFF STRUCTURE

Standard Brokerage Payable by Clients

SEGMENT	TYPE	RATE
Capital Market	Delivery	0.75%
Capital Market	Square Off	0.10%
Equity Futures	—	0.10%
Equity Options	—	0.10% of (Strike + Premium)
Currency Futures	—	0.0075 Per Unit
Currency Options	—	0.0075 Per Unit

NOTE : All Statutory Charges like Service Tax, STT, Stamp Duty, Exchange TOT, and SEBI Fees etc. is payable separately as per actual By the Client Over And Above Brokerage.

EAST INDIA SECURITIES LIMITED

Exchange	Segment	SEBI Regn. No.	Date of Regn.
National Stock Exchange	Capital Market	INB230813439	19th October, 1995
National Stock Exchange	Derivatives	INF230813439	03rd July, 2000
National Stock Exchange	Currency Derivatives	INE230813439	25th August, 2008
Bombay Stock Exchange	Capital Market	INB010813435	12th August, 2005
Bombay Stock Exchange	Derivatives	INF010813435	23rd November, 2006
MCX Stock Exchange	Currency Derivatives	INE260813439	03rd October, 2008
United Stock Exchange	Currency Derivatives	INE270813434	05th August, 2010

Registered Office Address :

10/1D, Lal Bazaar Street, 3rd Floor,
Mercantile Building, Kolkata - 700 001
Tel. : +91 33 2248 9779 / 2248 7002
Fax : +91 33 2248 9779

Head Office / Correspondence Address :

DA - 14, Sector - I, Salt Lake City
Kolkata - 700 064
Tel. : +91 33 4020 5901 / 2358 6026
Fax : +91 33 2358 6631 / 4020 5909

Compliance Officer :

Name : **Mr. Sumeet Kumar Kejriwal**
Phone No. : +91 33 4020 5900
E-mail : sumeetk@eisec.com

Chief Executive Officer :

Name : **Mr. Vivek Agarwal**
Phone No. : +91 33 4020 5901 / 2358 6026
E-mail : viveka@eisec.com

For any grievance / dispute please contact East India Securities Limited at the above address or Email Id : mail@eisec.com and Phone No. : +91 33 2358 6026. In case not satisfied with the response, please contact the concerned exchanges at :

Investor Grievance Cell

National Stock Exchange of India Ltd.

Exchange Plaza, Plot No. C/1
G-Block, Bandra Kurla Complex,
Bandra (E), Mumbai - 400 051
Tel No. : +91 22 2659 8190
Fax No. : +91 22 2659 8191
Email : ignse@nse.co.in

Investor Services Cell

Bombay Stock Exchange

'Horizon' Building
2nd Floor, 57, J. L. Nehru Road,
Kolkata - 700 071
Tel No. : +91 33 2282 1375/60/61
Telefax No. : +91 33 2282 1376
E-mail Id : isc.kolkata@bseindia.com ;
anirban.guha@bseindia.com

Investor Service Centre

Senior Manager
MCX Stock Exchange Limited
Exchange Square, Suren Road,
Chakla, Andheri (E), Mumbai - 400 093
Tel No. : +91 22 6731 8933/9000
Fax No. : +91 22 6731 9004
E-mail : investorcomplaints@mcx-sx.com

Investor Service Centre

United Stock Exchange

25th Floor, West Wing,
P J Towers, Dalal Street,
Fort, Mumbai - 400 001
Tel No. : +91 22 4244 4904/4932
Fax No. : +91 22 2272 2303
E-mail Id : investorcomplaints@useindia.com

NON MANDATORY

NON MANDATORY TERMS & CONDITIONS

The Client and member, in addition to the member-client agreement, also agree to the terms and conditions stated in hereinbelow.

A. CLIENTS ADDITIONAL REPRESENTATIONS AND WARRANTIES :

The Client has represented to the member that:

1. Member has disclosed to the client that member regularly trade in proprietary capacity in capital market and derivative segments.
2. The Client confirms that all the trades and dealings, which will be done by the client, will be on client's own account and not on behalf of any other entity. The Client will not be doing any sub-broker activity.
3. The information supplied in the KYC account application is truthful and accurate and not misleading (whether by reason of an omission to state a particular fact or otherwise at the time of completing the Account opening).
4. Member can maintain client's details as mentioned in the client registration form or any other information pertaining to client in confidence and not disclose the same to any other person/entity except as required under the law.
5. The Client shall notify the Member within seven days, of any change in the details set out in the Application form submitted to the Member at the time of opening the account or furnished to the Member from time to time.
6. The Client shall, at all times, be responsible for his investment decision and /or orders placed, or applications preferred by the Client, either electronically or otherwise. Client shall not hold, nor seek to hold the Member and or any of their officers, directors, employees, agents, subsidiaries or affiliates, liable for any loss including but not limited to trading losses incurred by the Client. The Client understands that placing an order with the Member either electronically or otherwise, does not guarantee execution of the said order or acceptance of an application until the Member has confirmed the receipt of such an order or application.
7. Since sending orders (for purchase and sale of securities) in writing to member will cause lot of delay, Client requests the member to accept verbal orders/instructions given by the client or clients representative and these verbal orders shall be deemed to have been given in writing and shall be subject to all such terms and conditions as applicable to written contract.
8. Since all the information required to be given are available in the contract not issued for trades executed, the client advises the member not to send to the client the order/ Trade confirmation slips for the same. The Client will obtain daily contracts from the member whenever the client trades and agrees to return one copy duly signed immediately. If there are any discrepancies in the contract the client agrees to inform the member in writing within 24 hours of receiving the contract note, failing which it will be assumed to be correct. If on a particular day the client trades but due to some reason does not receive the contract note within 24 hours, the client undertakes to inform the member in writing to send the client another copy, failing which it will be assumed that the client has received the contract note.
9. The Client agrees that none of the services available on the website or other literature shall amount to investment advise on the part of the stock broker.
10. The Client agrees that the stock broker shall not be required to provide the client with any form of legal/accounting or tax related advise.
11. The client agrees that as per rules and regulations the Member will send to the client quarterly statement of funds and securities at the end of each quarter. The Client confirms that upon receipt of such statements the client will immediately verify the transactions, ledger balance, margin details

and other information and discrepancies if any found in the said statement will be brought to the notice of the stock broker within seven days of receipt of such statement. The Client further confirms that the client will not be eligible for any claim if the client doesn't inform the stock broker about such discrepancies within seven days of receipt of statement of funds and securities.

B. DP CHARGES :

It is agreed by the client that the client having demat account with East India Securities Ltd authorizes East India Securities Ltd to adjust any debit balance in the demat account with the credit balance in the trading account.

C. LIEN :

1. All Securities and/or other property in any Account in which the Client has an interest or which at any time are in the possession or under the control of the Member, shall be subject to a lien for the discharge of any and all indebtedness or any other obligation that the Client may have to the Member in any segment/exchange.
2. All of the Client Securities and /or other property shall be held by the Member as security for the payment of any such obligation or indebtedness to the Member in any Account in which the Client has an interest
3. In enforcing its lien, the Member at its sole discretion may determine which Securities and/ or other property are to be sold or which contracts are to be closed.
4. The client warrants that all securities/collateral deposited by the client as margin or sold through the stock broker are owned by the client (and have not been taken from somebody else) and that the title thereof is clear and free of encumbrances .

D. TAPE RECORDING OF CONVERSATIONS :

The Client is aware that the Member may tape-record the conversations between the Client or its representative and the Member, either personally or over the telephone, and the Client hereby specifically permits the Member to do so. The Member may rely upon such recordings as and when required to resolve disputes in connection with the trading transactions.

E. INDEMNIFICATION :

1. If the client fails to notify the Member on the conditions stated in clauses in this agreement the client shall indemnify and hold the Member harmless from and against any and all claims, losses, liability, costs, expenses arising from such failure.
2. The Client agrees to fully indemnify the Member for any losses arising from execution of incorrect/ambiguous/fraudulent instructions provided by the client and/or his authorized representative.
3. The Client acknowledges that he is fully aware of the risks involved in online trading activities, including the risks involved due to unauthorized access or any technical difficulties. Clients specifically agrees to hold the Member harmless from any and all claims, and agrees that the Member shall not be liable for any loss actual or perceived, caused directly by government restriction : exchange or market regulation, suspension of trading, war, strike, equipment failure, communication line failure, system failure, security failure on the internet, unauthorized access, theft, or any problem, technological or otherwise Or other conditions beyond the control of the Member that might prevent the client from entering an order or the Member, from executing an order. Client further agrees that he will not be compensated by the Member for "lost opportunity" via notional profit on buy/sell orders which could not be executed. Further more, in a technical environment should an error occur with respect with the tracking of an any account holding or order entry , the true, actual and correct transaction or position will be restored. It is client's responsibility to ensure account correctness and accuracy and to contract the Member, immediately with respect of any discrepancies.

F. FORCE MAJEURE :

The Member shall not be responsible for any losses, costs, of damages resulting directly or indirectly from:-

1. Any action, omission, suspension or trading, decision or ruling of any exchange or regulatory, governmental or other body or of any other person which is beyond the Member's control (including floor broker, exchange, dealing or clearing house) : or
2. Any war, strike, lock-out, natural disaster, act of terrorism, delay in postal service any other delay or in inaccuracy in the transmission of orders or other information , or any breakdown, failure or malfunction which is beyond the control of the Member of any telecommunication or computer system.
3. The above Force Majeure events do not exempt the Client to fulfill the obligations in his account with the Member.

G. SEVERANCE :

In case anyone or more of the provisions contained in this Agreement becomes void, invalid, illegal or unenforceable in any respect under any law, rule, administrative order or judicial decision, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

Date _____

Client Signature

NON MANDATORY

RUNNING ACCOUNT AUTHORIZATION FOR FUNDS & SECURITIES

To
East India Securities Ltd.
DA-14, Salt Lake City, Sector - 1
Kolkata-700064

Date _____

I/we authorize you to maintain a running account subject to following terms and conditions:-

1. With regards to my/our settlement wise pay outs of Funds & Securities, you may retain credits if any as margins on my/our outstanding purchases/sales positions in any segment of any exchange and/or for adjustment with my/our pay-ins, if any, for subsequent settlement.
2. I/we authorise you to retain credits of funds & securities, if I/we have any obligation of any nature pending towards you. However, if I/we have no obligations of any nature pending towards you, on a request in writing from me/us, you would be required to immediately release in my/our favour credit if any lying in my/our name.
3. I/we understand that in case of futures and options segment there is a daily mark to market valuation and pay-in/payout of options premium/margin due to which there might be debit / credit in my/our F&O running account with you on a particular date. However, since it is not practicable for me/us to issue to you or to receive cheques from you on a daily basis, I/we hereby authorize you to with-hold a credit balance in my/our account to be adjusted against subsequent debits.,if any, as on any day unless otherwise requested by me/us to be issued a cheque of the amount of credit.
4. Please do not issue any cheque for my/our credits suo moto as I/we trade regularly and frequent exchange of cheques will be practically difficult for me/us. However, whenever I/we need a cheque against my/our credits, you will be bound to issue the cheque within one working day of my/our request to do so.
5. I/we also maintain that in case of a debit in my/our running account, I/we shall issue to you a cheque to the tune of the debit amount immediately and hereby for go any intimation thereto.
6. I/we also authorize you to adjust excess margin paid by me/us with debits in my/our running account and adjust credit in my/our account with shortfall in margin.
7. I/we also authorize you to adjust debits in my/our account in any segment of any exchange with credits, if any, in my/our account in any segment of any exchange without taking any further instructions from me/us.
8. I/we further agree to settle funds and securities at least once in a calendar quarter/ month. The onus to do so will be on me/us and I/we will request the stock broker to settle my/our accounts at the end of each such period for the credit balance if any.
9. I/we further agree that in case of debit balance I/we will clear the balance at the end of each such period as agreed in point no-8 by paying cheque and/or squaring off my positions in all segment/exchange failing which the stock broker has rights to do so and I/we will be responsible for financial loss if any due to sq off the positions.
10. The broker will issue a statement of funds and securities to me/us at the end of each such period. I/we agree to bring dispute if any to the notice of the stock broker within seven days of receipt of such statement from the stock broker failing which the statement will be presumed to be correct.
11. I/we understand that the running account authorization given to stock broker can be revoked by me/us at any point of time.

The above authorization given to stock broker by the within named client this _____ day of _____ 20____

Name of The Client	
Signature of the Client (With stamp where ever necessary)	

NON MANDATORY

MARGIN HOLD LETTER

To
East India Securities Limited,
DA-14, Salt Lake City, Sector- 1
Kolkata-700064

Date _____

Dear Sir,

SEBI and Exchange norms require you to deliver all securities bought by me/us within 24 hours of payout. In today's scenario, it is very difficult for me/us to send demat slips on regular basis for sales made by me/us. Demat expenses are also substantial.

Hence, I/we hereby request you, to transfer all securities purchased by me/us and/or provided by me/us to you as margin from time to time, to the demat account maintained by you for holding client shares. This will be treated as my/our margin contribution and you will allow me/us exposure on these securities. Whenever I sell, you will deliver these securities on my/our behalf. I/we will intimate you whenever I/we sell securities on the day of trading itself.

If I sell any securities which are not lying in margin with you, I/we will directly deliver these securities from my demat account to your pool account.. Whenever I/we want refund of any securities lying with you, I/we will intimate you and you have to refund these shares within 1 working day if lying with you and 3 working days if lying with Clearing Member / Exchange. Refund of shares will be subject to my/our dues towards margin/debit obligation in all segment/exchange. For any corporate benefits like dividend/rights /bonus, I/we will raise a letter on you and you will reimburse us on receipt from the company.

I/we understand that you will be sending us statement of securities each and every quarter to me/us and I/we will be responsible to verify the correctness of the same. I/we confirm to bring to your notice any discrepancy found in the statement within seven days of receipt of the same failing which it is will be assumed as correct.

I/we understand that I/we have right to revoke/cancel this facility at any point of time and I/we will do so by writing to you whenever I/we so desire.

I/we understand that shares kept with you on my/our behalf can be refunded by you at any point of time without any further notice to me/us.

Sincerely,

Name of The Client	
Signature of the Client	

NON MANDATORY

E-NET VIEW REQUEST FORM

To
East India Securities Ltd.
DA-14, Salt Lake City, Sector- 1
Kolkata-700064

Date _____

Dear Sir,

I/we wish to avail facility to view my/our trading account related transaction details on your backoffice website. I/we request you to provide us necessary login facility on following terms and conditions: -

1. I/we will ensure secrecy of login name and password.
2. In case I/we don't receive login details, I/we will inform you immediately.
3. I/we will immediately inform you in case of change of Email address
4. I/we will change password on regular basis.
5. You will not be responsible for unauthorized access to my/our accounts.
6. In case of loss of password I/we will give written request to you to issue me/us new password.
7. Since you are providing all kind of financial statements and securities ledger no hard copy is necessary to be delivered to us. In case I/we need any statement in hard copy we will give written request to you. Display of transaction details and various statements on your website will be equal to delivery of physical statement by you.
8. I/we will be checking our transaction details on daily basis at the given website. I/we further confirm that if any discrepancy is found in transaction shown in our account it will be my/our responsibility to bring it to your notice immediately. I/we further agree that no claim will be entertained if dispute is not raised within 24 hours of transaction by me/us.
9. I/we further confirm that it will be my/our responsibility to check my/our trading account details on regular basis. I/we will be responsible for any consequential losses for not checking my/our accounting details.

Please provide my/our login ID and password at my/our email address mentioned below:-

Name of Client	
Address	
Email Address (be very clear)	
Client Signature	

[Note - Your login ID and password will be sent by email to above mentioned email ID]