

No.:

CLIENT REGISTRATION FORM

INDIVIDUAL / MINOR / HUF / PROPRIETORSHIP FIRMS



Finance & Investments

HR FINANCE & INVESTMENTS

Member - NSE Capital Market & F&O Segment
CM Regn No : INB 231298523 F&O Regn No : INF 231298523

REGISTERED OFFICE :

UG-4, Suneja Tower-I, District Centre Janak Puri, New Delhi-110058

Ph. : 25528991, 25622991, 25506256, 25544044

Fax : 91-11-25536527 E-mail : hrfin@hrfinindia.com

Client Name : _____ Client Code : _____

Branch/Group : _____ UCC : _____

S. No.	Name of the Document	Brief Significance of the Document	Page No.
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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. B. Document captures the additional information about the constituent relevant to trading account.	1 – 15
2.	Rights and obligations	Document stating the Right & 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).	As per separate booklet page 1-8
3.	Risk Disclosure Document	Document detailing risks associated with dealing in the securities market.	
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	
6.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	16 – 18
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VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

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EXCHANGE	SEGMENT	SEBI REGISTRATION NO.
National Stock Exchange (NSE)	Cash	INB 231298523
	F&O	INF 231298523



REGD. OFFICE & CORRESPONDENCE ADDRESS :

UG-4, Suneja Tower-I, District Centre Janak Puri, New Delhi-110058

Ph. : 25528991, 25622991, 25506256, 25544044

• Fax : 91-11-25536527 • E-mail : hrrfin@hrfinindia.com • Website : www.hrfinindia.com

Compliance Officer Details :

Name : Mr. Hemant Kakkar
Phone No. : +91-11-41588655
E-mail : hemant@hrfinindia.com

CEO Details :

Name : Mr. Hemant Kakkar
Phone No. : +91-11-41588655
E-mail : hemant@hrfinindia.com

For any grievance / dispute please contact HR FINANCE & INVESTMENTS at the above address or email clientcare@hrfinindia.com and Phone No. +91-11-41588655. In case not satisfied with the response, please contact the concerned exchange at ignse@nse.co.in and Phone No. 91-22-26598190

**Know Your Client (KYC)
Application Form (For Individuals Only)**

Please fill in ENGLISH and in BLOCK LETTERS with black ink



Application No. :

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back), if printed separately then both the pages should be attached and signed by the applicant."

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth / /

3. Nationality Indian Other (Please specify)

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar) Passport Voter ID Driving Licence Others

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

(Please see guideline 'D' overleaf)

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village Pin Code

State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)

Mobile (ISD) (STD) Fax (ISD) (STD)

E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook

*Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village Pin Code

State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook

*Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details (Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs

OR

Net-worth in ₹. (*Net worth should not be older than 1 year) as on (date) / /

2. Occupation (Please tick(✓) any one and give brief details):

Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired

Housewife Student Forex Dealer Others (Please specify)

3. Please tick, if applicable: Politically Exposed Person Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

4. Any other information:

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place:

Date:

SIGNATURE OF APPLICANT



FOR OFFICE USE ONLY

IPV Done on / /

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

Please Submit the KYC Documents on A4 Size Paper Only.

Please fill this form in ENGLISH and in BLOCK LETTERS

FOR INDIVIDUAL

Please affix your recent passport size photograph and sign across it

A. IDENTITY DETAILS

Name of the Applicant :

Father's/Spouse Name :

Gender : Male Female Marital Status Single Married

Date of Birth : Nationality :

Status : Resident Individual Non Resident Foreign National

PAN :

Unique Identification Number (UID)/ Aadhaar, if any :

Specify the proof of Identity submitted :

B. ADDRESS DETAILS

Address for Correspondence : City/Town/Village : Pin Code :

State : Country :

Contact Details : Tel. (Office) : Tel. (Res.) : Mobile :

Fax : E-mail :

Specify the proof of address submitted for correspondence address :

Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant) : City/Town/Village : Pin Code :

State : Country :

Specify the proof of address submitted for permanent address :

C. OTHER DETAILS

Gross Annual Income Details (please specify):

Income Range per annum Below ₹ 1 Lac ₹ 1-5 Lac ₹ 5- 10 Lac ₹ 10-25 Lacs Above ₹ 25 Lacs

OR Net-worth as on (Net worth should not be older than 1 year)

Occupation (please tick any one and give brief details)

Private Sector Public Sector Government Service Business Professional Agriculturist

Retired Housewife Student Others _____

Please tick, If applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

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.

Signature of the Applicant (1) Date :

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

KNOW YOUR CLIENT (KYC) APPLICATION FORM

MANDATORY

Please fill this form in ENGLISH and in BLOCK LETTERS

FOR NON-INDIVIDUAL

Please affix
your recent
passport size
photograph and
sign across it

A. IDENTITY DETAILS

Name of the Applicant :

Date of incorporation :

Place of Incorporation :

Date of Commencement of Business :

PAN : Registration No. (e.g. CIN) :

Status (please tick any one) : Private Limited Co. Public Ltd. Co. Body Corporate Partnership

Trust Charities NGO's FI FII HUF Bank

Government Body Non-Government Organization Defense Establishment

BOI Society LLP Others (please specify)

B. ADDRESS DETAILS

Address for :

Correspondence City/Town/Village : Pin Code :

State : Country :

Contact Details : Tel. (Office) : Tel. (Res.) Mobile :

Fax : E-mail :

Specify the proof of address submitted for correspondence address :

Registered Address :

(if different from above) City/Town/Village : Pin Code :

State : Country :

Specify the proof of address submitted for Registered Address :

C. OTHER DETAILS

Gross Annual Income Details (please specify): Income Range per annum

Below ₹ 1 Lac ₹ 1-5 Lac ₹ 5- 10 Lac ₹ 10-25 Lacs ₹ 25 Lacs - 1 Crore Above ₹ 1 Crore

Net-worth as on _____ (*Net worth should not be older than 1 year)

Name, PAN, residential address and photographs of Promoters/Partners/Karta/T rustees and whole time directors

Name (1) :

PAN :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

DIN / UID :

Photographs of
Promoters/Partners/
Karta/
Trustees and whole
time directors

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information :

Name (2) :

PAN :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

DIN / UID :

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information :

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Name (3) :

PAN :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

DIN / UID :

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information :

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Name (4) :

PAN :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

DIN / UID :

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information :

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

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/ies (3) ⊗

Signature of the Authorised Signatory/ies (4) ⊗

Signature of the Authorised Signatory/ies (2) ⊗ Date :

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

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/

Passport/Voter ID card/Driving license.

3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (* Documents having an expiry date should be valid on the date of submission.)

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

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.

2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified

copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

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



TRADING ACCOUNT RELATED DETAILS
(For Individuals & Non-Individuals)

MANDATORY ANNEXURE-3

BANK ACCOUNT DETAILS

Primary Bank Details

Bank Name : _____
 Account No. : _____ Branch : _____
 Address : _____
 _____ Pin Code : _____
 MICR Code of Branch : _____ IFS Code : _____
 Account Type : Savings Current NRE/NRO OTHERS : _____ (Please Specify)

Secondary Bank Details

Bank Name : _____
 Account No. : _____ Branch : _____
 Address : _____
 _____ Pin Code : _____
 MICR Code of Branch : _____ IFS Code : _____
 Account Type : Savings Current NRE/NRO OTHERS : _____ (Please Specify)

DEPOSITORY ACCOUNT DETAILS

Depository Name (1) : CDSL NSDL
 Name of Depository Participant : _____
 Beneficiary Name : _____
 DP ID : _____ Beneficiary ID (BOID) : _____
 Depository Name (2) : CDSL NSDL
 Name of Depository Participant : _____
 Beneficiary Name : _____
 DP ID : _____ Beneficiary ID (BOID) : _____

TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

EXCHANGE	SEGMENT	SIGNATURE
National Stock Exchange (NSE)	Cash	(5 a) <input checked="" type="checkbox"/>
	F&O	(5 b) <input checked="" type="checkbox"/>

PASTACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / any other authority against the applicant / constituent or its partners / promoters / whole time directors / authorised persons in charge of dealing in securities during last three years.

(Please Specify)

DEALING THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details :

Name of the sub-broker	
Sub-broker SEBI Registration No.	
Sub-Broker's Address	
Sub-Broker's Phone/Fax No.	
Sub-Broker's Website	

Whether dealing with any other stock broker / sub-broker (In case dealing with multiple stock brokers / sub-brokers, please provide details of all)

Name of the stock broker	
Name of Sub-Broker (If any)	
Client Code (UCC)	
Exchange	

Details of disputes / dues pending from / to such stock broker / sub-broker

(Please Specify)

ADDITIONAL DETAILS

Whether you wish to receive : Physical Contract Note Electronic Contract Note (ECN)

E-mail (If Applicable) : _____

Whether you wish to avail of the facility of internet trading / wireless technology : Yes No

Trading Experience / Number of Years of Investment

- No Prior Investment Experience
 ____ Years in Equities
 ____ Years in Derivatives
 ____ Years in other Investment related fields

In case of Non-Individual, Name, Designation, PAN, UID, Signature, Residential Address and Photographs of persons authorised to deal in securities of behalf of the company / Firm/ others.

Please provide the details in **Annexure A** as per format attached

Any other information : _____

Stock Profile Details : Nil < 5 Lac Rs. 5 - 25 Lac Rs. 25 - 50 Lac Rs. 50 - 1 Crore Above 1 Crore

Educational Details : High School Graduate Post-Graduate Doctorate Professional Degree
 Under High School Illiterate Other _____ (Please Specify)

DETAIL OF INTRODUCER (OPTIONAL)

Introduced by : Existing Client Sub-Broker Remisier Authorised Person Others _____ (Please Specify)

Name of Introducer : _____

Sub-Broker Registration No. _____ UCC : _____ Employee Code : _____

PAN NO. : _____

Address : _____

City : _____

Pin : _____ State : _____ Country : _____

Phone : _____

Signature of the Introducer : _____

NOMINATION FORM

(FOR INDIVIDUAL ONLY)

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

[Strike off which is not applicable]

Nominee Details

Name of Nominee : Mr. / Ms. / Mrs. : _____

PAN of Nominee : _____ Date of Birth : [D][D][M][M][Y][Y][Y][Y]

Relationship with the Nominee : _____

Address of Nominee : _____

_____ City : _____ Pin : _____

State : _____ Ph. : _____

If Nominee is minor, details of Guardian :

Name of Guardian : Mr. / Mrs. : _____

Address of Guardian : _____

_____ City : _____

Pin : _____ State : _____ Country : _____

Phone(with STD Code) : _____ - _____ Mobile : _____

Signature of Guardian : _____

Name & Address Of Witness**(in Case Of Nominee)**

1 | s | t | w | i | t | n | e | s | s | _____

☉☉

Signature of 1st witness

2 | n | d | w | i | t | n | e | s | s | _____

☉☉

Signature of 2nd witness

DECLARATION

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

Name of Applicant : _____

 Signature : (6) ⊗

 Signature of Applicant / authorised Signatory(s) with rubber stamp of

Date : [D][D][M][M][Y][Y][Y][Y] Place : _____

FOR OFFICE USE ONLYUCC :

	Documents Verified with Originals	Client Interviewed By	In-Person Verification Done By
Name of the Employee			
Employee			
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.

FOR & ON BEHALF OF HR FINANCE & INVESTMENTSName :

Signature :

Signature of the authorised signatory

Date :

(Seal / Stamp of HR FINANCE & INVESTMENTS)

ADDITIONAL INSTRUCTIONS/ CHECK LIST FOR DERIVATIVES

- Additional documents in case of trading in derivatives segments - illustrative list:
 - Copy of ITR Acknowledgement
 - Copy of Annual Accounts
 - In case of salary income - Salary Slip, Copy of Form 16
 - Net worth certificate
 - Copy of demat account holding statement.
 - Bank account statement for last 6 months
 - Any other relevant documents substantiating ownership of assets.
 - Self declaration with relevant supporting documents.
 - * In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For Individuals**
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/subbroker'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.
- For Non-Individuals**
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

a) Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

b) Setting up client's exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any 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 stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh

exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

c) Applicable brokerage rate: - Brokerage will be charged within the limits prescribed by SEBI/Exchange.

d) Imposition of penalty / delayed payment charges

Clients will be liable to pay late pay in/delayed payment charges for non making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate upto 2% per month.

The client agrees that the stock broker may impose fines / penalties for 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, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

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

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations. The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such

reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/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. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

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

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the

short delivering seller client along with reversal entry of provisionally amount debited earlier.

b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+3 day or Auction day on Exchange +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.

c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

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

We have margin based RMS system. Client may take

exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts.

h) Temporarily suspending or closing a client's account at the client's request

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

i) Deregistering a client: - Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

(i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.

(ii) If there is any commencement of a legal process against the client under any law in force;]

(iii) On the death/lunacy or other disability of the Client;

(iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;

(v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;

(vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

(vii) If the Client is in breach of any term, condition or covenant of this Agreement;

(viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;

(ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;

(x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;

(xi) If the Client has voluntarily or compulsorily become the

subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

Inactive Client account: - Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our

back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We shall be fully liable and responsible for any such problem/fault.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

Signature of Client : (7) 



TARIFF SHEET

BROKERAGE STRUCTURE (Capital Market Segment)

Client Code : _____

Client Name : _____

Trading Account Percentage Minimum Paisa

1. Square off same dayEach Side

2. Delivery

3. Trade to Trade

4. Flat Brokerage Per Trade Order Value in Multiples
(In Rs.) (In Rs.)

Intraday

Delivery

Percentage

Transaction Charges J D Yes No

Stamp Duty J D Yes No

Other Charges J D Yes No

Service Tax J D Yes No

Security Transaction Tax J D Yes No

BROKERAGE STRUCTURE (F&O Segment)

Square off same day Each Side Percentage Minimum Paisa

Square off another day Each Side

Option Brokerage Percentage Minimum Rupees
 (on premium) Each Side

Min Per Lot Rs. Max Per Lot Rs.

Transaction Charges Yes No

Stamp Duty Yes No

Other Charges Yes No

Service Tax Yes No

Security Transaction Tax Yes No

* Transaction Charges, Service Tax, Stamp Duty, STT, other Govt. levies are extra.

* One time account opening charges (Rs.) _____

Name : _____

(8)
 Signature of Client

ACKNOWLEDGMENT FROM CLIENT

VOLUNATARY

I/We hereby acknowledge to have received from HR FINANCE & INVESTMENTS, (the Broker) an account opening book, for my/our record, containing –

1. Rights and Obligations of Stock Brokers, Sub-Brokers and Clients as prescribed by SEBI and Stock Exchanges including Terms and Conditions as to Internet & Wireless Technology Based Trading Facility Provided by Stock Brokers to Client.
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for investors.
4. Policies and Procedures.

I/We have fully understood each one of the above and filled the forms as per instructions contained therein. All of my/our queries have been satisfactorily clarified.

I/We will be provided photo/scan copies of account opening documents signed by me/us after scrutiny and acceptance by the Broker's office.

Further I/We conform that the document for KYC submitted by me/us are proof and correct. I/We acknowledge that the other details related to me/our account are as under.

Trading Code : _____ UCC _____

My E-mail ID : _____

Name : _____

(9)
 Signature of Client

HR FINANCE & INVESTMENTS

UG-4, Suneja Tower-1, District Centre, Janak Puri,
New Delhi-110058

I/We are dealing through you as a client in Capital Market and/or Future & Option segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account Once in every calendar Quarter or Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
6. I/We confirm you that I can revoke the above mentioned authority at any time by giving a notice in writing to you.

Thanking you

Yours faithfully,

Signature: (10)

Client Name:

Client Code:

Date:

HR FINANCE & INVESTMENTS

UG-4, Suneja Tower- I , District Centre, Janak Puri,
New Delhi- I I 0058

Date : _____

Dear Sir,

Sub: Letter of Authority - CASH / F&O Segment of NSE

I/We am/are dealing in securities with you at NSE Capital Market Segment and Derivatives Segment and in order to facilitate ease of operations. We authorize you as under

1. I/We authorize you to setoff outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you. " I/We authorize you to record the telephonic conversations"
3. Trading in exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems glitch.
4. All fines/penalties and charges levied upon you by exchanges/regulator due to my acts / deeds or transactions may be recovered by you from my account.
5. Notwithstanding anything contained in these presents, any amounts which are overdue from the client or a member of the client's family towards trading either in the cash, F&O or derivatives segments or on account of any other reason to the Stock Broker or to any of the Stock Broker's group or associate companies will be charged delayed payment charges at the rate of 1.5% per month or such other rate as may be determined by the Stock Broker. The client hereby authorizes the stock Broker to directly debit the same to the account of the Client at the end of each month. The client also authorizes the Stock Broker to debit charges for depository services to the trading account.
6. The Stock Broker shall send the trade confirmation to the client in form of contract Note, digitally signed contract note or otherwise via mail, email, fax, courier, Registered A.D./ oral communication, putting them on web server or otherwise at the postal address, telephone/fax nos. Email addresses intimated by the client to the Stock Broker. The client understand that it is his/ her/ its responsibility to review the trade confirmations, the contract note, the bills or statements of account immediately upon their receipt. All information contained therein shall be binding upon the client, if the client does not object in writing to any of the contents within twenty four hours of such intimation/ confirmation. In all cases, the Stock Broker reserves the right to determine the validity of the client's objection to the transaction. The client agrees that the Stock Broker will not be responsible for the non-receipt of the trade confirmation due to any change in the correspondence address of the client not intimated to the Stock Broker in writing.
7. The client further undertakes to collect or get collected from the Stock Broker and his/ its agents/ employees and authorized persons the order placement/ Modification slip, order cancellation details, trade confirmation slips and contract notes etc. And agrees to indemnify and hold the trading Stock Broker harmless for any delay in such collection and non-collection by his of his Order placement / modification slip, order cancellation details, trade confirmation slips and contract notes etc. From the office of the trading Stock Broker. The client understands that it is his responsibility to review the trade confirmation, receive/ view/save the contract notes/ digital contract notes. And that all information contained therein shall be binding upon the client.
8. The client further agrees and accepts that transmission of document/records/data and information including but not limited to contract notes (including digital contract notes, and other electronic documents) through ordinary post, UPC, courier/ speed post/ registered post / electronic mail i.e. email/ electronic mail attachment/ download available from website or fax to his last known business and / or fax no. shall be deemed to have been properly delivered or served even if such communication is returned as unclaimed/ refused/ undelivered.
9. The client agrees that the Stock Broker will not be responsible for the non-receipt of the trade confirmation/contract notes or any other data/ information due to any change in the address/ E-mail address etc. not intimated to the trading Stock Broker in writing. The client also understands that he will have to down load the data/information within a week of the trading date and the Stock

Broker shall be at liberty to delete old data that is to say data more than a week old from the web server without any notice.

- 10. I/We hereby authorize you not to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
- 11. I/We hereby authorize you to keep all the securities which I/we have given you in margin including the payout of securities received by us for meeting margin / other obligation in any of the stock exchanges in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same or meeting margin/ pay - in obligation on my/our behalf or for giving the same as margin to the any of the Stock Exchanges or otherwise.
- 12. We request that you may send/dispatch us contract notes/other documents through e-mail on my/our designated e-mail address of _____

I/We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same.
- 13. I/We will inform you the change of my/our email ID, if any, in future either by a letter or through a digitally signed e-mail.
- 14. We have a depository account with _____. We authorize you to debit the charges relevant with depository services from my trading account on monthly basis.
- 15. I/We do hereby declare that my Mobile Telephone No. is further I authorize you that same may be used for given me any information /Alert/ SMS / Call.

* Strike off the clauses not relevant to you.

Thanking you,
Yours faithfully,

Signature of Client : (11) 

(DISCLOSURE TO CLIENT)

To,
..... (Fill Client Name & Address)
.....

Sir,
As per exchange notification, we hereby inform you that, we do trading on behalf of client and on our own account also.

Thanks and best regards
For **HR FINANCE & INVESTMENTS**

(Authorized Signatory)
I acknowledge receipt of your information that you do client based trading and Pro account trading.

Signature of Client : (12) 

HR FINANCE & INVESTMENTS

UG-4, Suneja Tower- I, District Centre, Janak Puri,
New Delhi- I 10058

As our HUF firm wishes to open an account with your company (HR Finance & Investments) in the said name we beg to say that the first signatory to this letter, i.e., is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to you from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform you of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

Name and Signature of Karta :

signature of Karta : (13) ⊗

Name of Karta :

Name..... Signature.....

Name & Signature of Adult Co-parceners (Use Annexure for additional Members)

S. No. Name

1. Signature.....

2. Signature.....

3. Signature.....

4. Signature.....

Name & Date of Birth of Minor-Co-parceners

S. No. Name Date of Birth Guardian's Signature

1. Signature.....

2. Signature.....

3. Signature.....

4. Signature.....

घोषणा

मैं..... यह घोषणा करता/करती हूँ कि मैंने एच. आर. फायनेन्स एण्ड इन्वेस्टमेंट्स में अपना ट्रेडिंग (सीएम/एफओ) खाता खोला है। उसके लिए एकाउन्ट ओपनिंग फॉर्म (के.वाई.सी) और विभिन्न कागजातों पर हस्ताक्षर किया है जोकि अंग्रेजी भाषा में है। मुझे इसका हिन्दी में मतलब समझा दिया गया है। मैं एच. आर. फायनेन्स एण्ड इन्वेस्टमेंट्स के नियम व शर्तों से सहमत हूँ। मुझे के.वाई.सी. फॉर्म की कॉपी, अनुच्छेद 4, 5, 6 सहित मिल गई है।

हस्ताक्षर: (14) ⊗

AUTHORIZATION FOR ADJUSTMENT OF BALANCES IN FAMILY/GROUP ACCOUNTS (In case of Individuals) (Voluntary)

HR FINANCE & INVESTMENTS

Dated:

UG-4, Suneja Tower-I, District Centre, Janak Puri,
New Delhi-110058

S.No.	Name of Family Members/Associates	Client Code	Name of Father / Spouse	Category
1				
2				
3				
4				
5				

The above mentioned entities/constituents are registered with you and investing through you on the Stock exchange. For the purpose of smoother operations with you, all these accounts should be treated collectively with my account as a FAMILY of accounts in terms of Member Client Agreement.

In order to facilitate operations, I hereby authorize you to set off the outstanding (including interest on delayed payments) in any of the above mentioned accounts in any segment of the Exchange against credits available or arising in my account irrespective of the fact that such credit in my account may pertain to transactions in any segment of the Exchange and/or may pertain to the value of cash margin or against the value of sale proceeds of collateral shares provided to you by me.

I am aware and I have agreed and authorized you to charge delay payment charges on net total debit balance of the Family accounts, after appropriating the credit balance. I authorize you to debit the above delay payment charges on the net debit balance of the FAMILY of accounts, which shall be calculated on daily basis and charged on monthly basis.

I agree to intimate to you, from time to time, of any additions or deletions of clients to the said FAMILY of accounts and agree that any deletion shall take effect only on the completion of settlement and adjustments of all debit balances in the said account of the client belonging to the FAMILY of accounts. I agree not to close my account with you before all the debit balances in all the FAMILY of accounts have been cleared off.

I have affixed my signature below consenting to the above mentioned terms of adjustments.

Name of Client : _____

Place :

Signature of Client : (15) ⊗

Date :

To be Given By Guardian (In case of Minor Account)

Dated :

HR FINANCE & INVESTMENTS

UG-4, Suneja Tower-I, District Centre Janak Puri
New Delhi-110058

Ref: A/C No. (HR FINANCE & INVESTMENTS)

Dear Sir/Madam,

This is with reference to the account opened in the name of Minor

U/G of Mr. /Ms. with you for the purposes of dealing in securities on the Stock Exchange(s) .

With reference to the aforementioned trading account, you are requested to kindly accept issue/ receipt of payments relating to funds/ transfer of securities to/ from the account of my son/ daughter Master / Ms as per the details given below for all future dealings in the trading account:

BANK DETAILS

DP DETAILS

Bank A/c No. _____

DP Name _____

Bank Name _____

DP Type CDSL NSDL DP ID _____

Branch _____

Beneficiary ID _____

I shall be held personally responsible for all the debit and credit transactions dealt in the above account. Kindly do the needful.

Thank you

Yours truly

Place :

Name and address of the Constituent/Guardian:

Date :

Signature of the Client: (16) ⊗



HR FINANCE & INVESTMENTS

Member : National Stock Exchange of India Ltd.

CORE VALUES

- ✦ **TRANSPARENCY** : We believe transparency is the only force which can make the small sapling a giant tree.
- ✦ **HONESTY** : Honesty is the Best Policy.
- ✦ **INTEGRITY** : Financial Broker's job is the job of utmost confidence & trust. Even an iota of doubt can rock the

ADVANTAGE HR

- ✦ SMS Alert Service.
- ✦ Electronic Contract Notes.
- ✦ Tie Up With Best in the Industry
- ✦ Wide choice of Trading Platforms.
- ✦ Online Back Office Integration.