

ACCOUNT OPENING KIT

Name of Stock Broker / Trading Member / Clearing Member / Depository Participant :
ELBEE SECURITIES PVT. LTD.

SEBI Registration No. and Date :

	Regn. No.	Date
NSE	INZ000199535	12.09.2018
BSE	INZ000199535	12.09.2018
NSDL	IN-DP-86-2015	22.06.2015

Other details:

NSE TM ID	07951
BSE TM ID	6212
NSDL DP ID	IN303841
CIN	U67120WB1994PTC065287
AMFI ARN	7369

Registered & Correspondence Office Address :

19, R.N. Mukherjee Road, 2nd Floor, Eastern Building, Kolkata – 700001

Ph.: (033) 2262-3066, Fax: (033) 2242-0959

Email: manishelbee@yahoo.com

Compliance Officer Name, Phone No. & Email ID:

Mr. Manish Agarwal, (033) 2262 – 3066, manishelbee@yahoo.com

For any grievance/dispute, please contact Elbee Securities Private Limited at the above address or send us an email at our Investor Grievance Email ID elbeesec1@rediffmail.com or call us on (033) 2262-3066

In case you are not satisfied with the response, please contact the concerned Exchange(s):

National Stock Exchange of India Ltd.	ignse@nse.co.in	(022) 2659-8190
BSE Limited	is@bseindia.com	(022) 2272-8097
Securities and Exchange Board of India	investorcomplaints@sebi.gov.in	(022) 2644-9000
National Securities Depository Ltd.	relations@nsdl.co.in	(022) 2499-4200

Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov'2003, NSE Circular No. : NSE/INVG/PRE/2003.16 dated 25th Nov'2003 and BSE Notice No. 20031125-7 dated 25th Nov'2003:

We, Elbee Securities Pvt. Ltd., are also engaged in Proprietary trading apart from Client based business.

I/We have fully understood the distinction and details regarding the Mandatory & Voluntary documents and do hereby enter and sign the same and agree not to call into question the validity, enforceability and applicability of any voluntary agreement(s)/document(s) or clauses within any voluntary/optional agreement(s)/document(s) under any circumstance whatsoever.

Signature of the Client

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MANDATORY DOCUMENT AS PRESCRIBED BY SEBI AND EXCHANGES *(provided separately)*

1.	Rights & Obligations of Stock Brokers, Sub-Brokers & Clients
2.	Rights & Obligations of Beneficial Owner & Depository Participant
3.	Risk Disclosure Document (RDD)
4.	Guidance Note
5.	Information on Prevention of Money Laundering Act, 2002 (PMLA)

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the form in English and in BLOCK letters.
 D) Please fill the date in DD-MM-YYYY format.
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 H) List of two character ISO 3166 country codes is available at the end.
 I) KYC number of applicant is mandatory for update application.
 J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode



For office use only

Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number	(Mandatory for KYC update request)
Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Minor <input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)

☐ 1. PERSONAL DETAILS* (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*	DD - MM - YYYY			
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
PAN*			<input type="checkbox"/> Form 60 furnished	

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C-Driving Licence
- ☐ D-NREGA Job Card
- ☐ E-National Population Register Letter
- ☐ F-Proof of Possession of Aadhaar

- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

☐ PHOTO*

Address

Line 1*				
Line 2				
Line 3	City / Town / Village*			
District*	Pin/Post Code*	State/U.T Code*	ISO 3166 Country Code*	

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C- Driving Licence
- ☐ D-NREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F - Proof of Possession of Aadhaar

- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

IV ☐ Deemed Proof of Address - Document Type codeV ☐ Self Declaration

Address

Line 1*				
Line 2				
Line 3	City / Town / Village*			
District*	Pin / Post Code*	State/U.T Code*	ISO 3166 Country Code*	

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction **C** at the end)

[illegible]

☐ 5. REMARKS (If any)

6. APPLICANT 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. Incase 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.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

[illegible]

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process
☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY

Date	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Code	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Designation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Branch	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

INSTITUTION DETAILS

[illegible]

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra & Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	MZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy Saint BartheJemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kittsand Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

LIST OF DOCUMENTS REQUIRED FOR TRADING AND DEMAT ACCOUNT

In addition to the Proof Of Address & Proof Of Identity, as specified in the Instructions for filling the KYC form, the following documents are required for the **Trading and Demat Account**:

1. A self attested copy of the PAN Card is mandatory for all clients
2. Additional documents in case of trading in derivatives segments:
 - Copy of ITR acknowledgement
 - Copy of Annual Accounts
 - In case if salary income - Salary Slip, Copy of Form 16
 - Net worth certificate
 - Copy of demat account holding statement
 - Bank account statement for last 6 months
 - Self-declaration with relevant supporting documents
 - Any other relevant documents substantiating ownership of Assets
3. For clients who are not trading in the derivatives segments, documents as per risk management policy of the stock broker needs to be provided by the client from time to time.
4. A cancelled cheque leaf or a copy of the pass book statement specifying name of the constituent, MICR code and IFSC code of the bank
5. A copy of the demat master/ recent holding statement issued by depository participant (DP) bearing name of the client.
6. 1 passport size photograph
7. (i) For Individuals:
 - Stock broker has an option of doing In-person verification through web camera at the branch office of the stock broker/sub-broker's office.
 - In case of non-resident clients, employees at the stock broker's local office overseas can do In- person verification. Further, considering the infeasibility of carrying out In-person verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy/Consulate General in the country where the client resides may be permitted.(ii) For Non-Individuals:
 - Form needs to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the person authorized to deal in securities on behalf of company/others & their specimen signatures.
8. For non-residents and foreign nationals (allowed to trade subject to RBI and FEMA guidelines) copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.

PART II – TRADING ACCOUNT OPENING FORM (FOR INDIVIDUALS)

Please fill the form in **ENGLISH** and in **BLOCK** letters with **BLACK** ink

A. BANK ACCOUNT DETAILS																			
Bank Account Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (please specify) _____																		
Bank Account Number																			
Bank Name																			
Branch Address																			
	City/Town/Village					Pin Code													
	State					Country													
IFSC											MICR								
B. DEPOSITORY ACCOUNT DETAILS																			
Depository Participant Name																			
CDSL / NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL																		
Depository Participant ID											Beneficiary ID								
Name of Sole/First Holder																			
Name of Second Holder																			
Name of Third Holder																			
C. TRADING PREFERENCES																			
(Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you)																			
Exchanges					NSE, BSE														
All Segments					Cash / Mutual Fund					F&O									
If you do not wish to trade in any of the segments / mutual fund, please mention here _____																			
(If in future the Client wishes to trade on any new segment/ Exchange, a separate authorization letter should be submitted by the client to ESPL)																			
D. PAST ACTIONS																			
Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock Exchange/ any other authority against the applicant/ constituent or its Partners/ Promoters/Whole Time Directors/Authorised Persons in charge of dealing in securities during the last 3 years _____																			
E. DEALINGS THROUGH SUB – BROKERS AND OTHER STOCK BROKERS																			
If the Client is dealing through the sub – broker, please provide the following details:																			
Sub – Broker's Name					SEBI Regn. No.														
Registered Office Address																			
Phone No.					Fax														
Website																			
If the Client is dealing with any other stock broker, please provide the following details (In case of dealings with multiple stock brokers/sub – brokers, please provide the details of all)																			
Name of Stock Broker					Client Code														
Name of Sub – Broker, if any					Exchange														
Details of Disputes/ Dues Pending from/ to such Stock Broker/ Sub – Broker																			
F. ADDITIONAL DETAILS																			
Whether you wish to receive	<input type="checkbox"/> Physical Contract Note <input type="checkbox"/> Electronic Contract Note																		
Specify your Email ID																			
Number of years of investment/trading experience																			
Are you a member of any Stock Exchange?					<input type="checkbox"/> Yes* <input type="checkbox"/> No *Please Specify														

G. INTRODUCER DETAILS (OPTIONAL)

	Name of the Introducer			
	Status of the Introducer	<input type="checkbox"/> Sub – Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person		
		<input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (please specify) _____		
	Address Details			
	Mobile/ Phone No.		Email ID	
Signature of the Introducer				

H. INCOME DETAILS

(i)	Income range (in Rs.) per annum (please specify)			
	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1 – 5 lacs <input type="checkbox"/> 5 – 10 lacs			
	<input type="checkbox"/> 10 – 25 lacs <input type="checkbox"/> More than 25 lacs			
(ii)	Occupation (please tick any one)			
	<input type="checkbox"/> Private Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Professional <input type="checkbox"/> Retired <input type="checkbox"/> Student			
	<input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Please specify) _____			
(iii)	Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)		
(iv)	Any other information			

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/ we am/are aware that I/we may be held liable for it.
- I/ We confirm having read/ been explained and understood the contents of the documents on policy and procedures of the stock and the tariff sheet.
- 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.

Date	D	D	M	M	Y	Y	Y	Y	Signature of the Client
Place									

TARIFF STRUCTURE FOR TRADING ACCOUNT

S No	Particulars	Brokerage/ Charges (₹)	Minimum Charge (₹)
1	Equity Intraday		
2	Equity Delivery		
3	Futures		
4	Options		

Note:

- Clients who opt for physical contract notes will be charged at ₹10 per contract note plus actual courier charge
- GST, STT, stamp duty, SEBI turnover fees, exchange turnover charges and other statutory charges as applicable will be levied additionally
- Any revision of charges will be communicated 30 days in advance
- Any service not quoted above will be charged on actuals
- Brokerage will not exceed the rates specified by SEBI and the exchanges
- Brokerage is also charged on expired, exercised and assigned Options contract

I/ We agree to pay the charges as per the above tariff structure for our trading account with Elbee Securities Pvt Ltd

Client Signature	Date	D	D	M	M	Y	Y	Y	Y
------------------	------	---	---	---	---	---	---	---	---

ELBEE SECURITIES PVT. LTD.

Reg. Office: 19 R. N. Mukherjee Road, 2nd Floor, Eastern Building, Kolkata – 700001

PART III – DEMAT ACCOUNT OPENING FORM (FOR INDIVIDUALS)

Please fill the form in **ENGLISH** and in **BLOCK** letters with **BLACK** ink

DP ID	I	N	3	0	3	8	4	1	Client ID									Date	D	D	M	M	Y	Y	Y	Y
I/We request you to open a depository account in my/our name as per the following details																										
A.	DETAILS OF ACCOUNT HOLDER(S)																									
	Account holder(s)		Sole/ First Holder										Second Holder										Third Holder			
	Name																									
	PAN																									
	Occupation		<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Govt. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (please specify) _____										<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Govt. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (please specify) _____										<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Govt. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (please specify) _____			
B.	For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:																									
	Name																				PAN					
C.	TYPE OF ACCOUNT																									
	<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> NRI-Repatriable <input type="checkbox"/> NRI-Non Repatriable <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Foreign National <input type="checkbox"/> Promoter <input type="checkbox"/> Margin <input type="checkbox"/> Others (please specify) _____																									
D.	GROSS ANNUAL INCOME DETAILS																									
	Income range (in Rs.) per annum (please tick any one)																									
	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1 – 5 lacs <input type="checkbox"/> 5 – 10 lacs <input type="checkbox"/> 10 – 25 lacs <input type="checkbox"/> More than 25 lacs																									
E.	IN CASE OF NRIS/ FOREIGN NATIONALS																									
	RBI Approval Reference Number																									
	RBI Approval Date										D	D	M	M	Y	Y	Y	Y								
F.	BANK DETAILS																									
	Bank Account Type		<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (please specify) _____																							
	Bank Account Number																									
	Bank Name																									
	Branch Address																									
			City/Town/Village										Pin Code													
			State										Country													
	IFSC												MICR													
G.	STANDING INSTRUCTIONS																									
	1	I/ We authorise you to receive credits automatically into my/our account																		<input type="checkbox"/> Yes		<input type="checkbox"/> No				
	2	Account to be operated through Power of Attorney (PoA)																		<input type="checkbox"/> Yes		<input type="checkbox"/> No				
	3	Mode of receiving Statement of Account (Please tick any one)																		<input type="checkbox"/> Physical Form		<input type="checkbox"/> Electronic Form (Please read Note 3)				
	4	Standing Instruction Indicator for Auto Pledge Confirmation																		<input type="checkbox"/> Yes		<input type="checkbox"/> No				

	5	SMS Alert Facility <i>[Mandatory if you are giving Power of Attorney (PoA). Please ensure that the mobile number is provided in the KYC Application Form]</i>	Sole/ First Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
			Second Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
			Third Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	6	I/We would like to receive Annual Reports, AGM notices and other communications from Issuers & RTAs in physical form	Sole/ First Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
			Second Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
			Third Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	7	Mode of receiving Rights & Obligations of Beneficial Owner & Depository Participant	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form <i>(Please read Note 3)</i>			
	8	I/We would like to opt for your BSDA facility	<input type="checkbox"/> Yes <input type="checkbox"/> No			
	H.	Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)				
	I.	GUARDIAN DETAILS <i>(where sole holder is a minor)</i>				
		[For account of a minor, two KYC Application Forms must be filled, i.e. one for the guardian and another for the minor <i>(to be signed by guardian)</i>]				
		Guardian Name				
PAN						
Relationship of Guardian with Minor						
J.	NOMINATION DETAILS					
	<input type="checkbox"/> I/ We wish to make a nomination <input type="checkbox"/> I/ We do not wish to make a nomination					
DECLARATION						
<p>The rules and regulation of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and obligations of the Beneficial Owner and Depository Participant".</p>						
	Name of Holder		Signature of Holder			
Sole/ First Holder/ Guardian (in case sole holder is minor)						
Second Holder						
Third Holder						
Notes: <ol style="list-style-type: none"> All communication shall be sent at the address of the Sole/First holder only. Thumb impressions and signatures other than English or Hindi or any of the other languages not contained in the 8th schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate. For receiving Statement of account and/or any other documents in electronic form: <ol style="list-style-type: none"> Client must ensure the confidentiality of the password of the email account. Client must promptly inform the Participant if the given email address has changed. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice. Strike off whichever is not applicable. 						

TARIFF STRUCTURE FOR DEMAT ACCOUNT

S No	Particulars	Plan A	Plan B	Lifetime	BSDA
1	Annual Maintenance Charge	₹250/-	₹750/-	NIL	NIL
2	Advance Fee	NIL	NIL	₹1500/-	NIL
3	Transaction Charges				
	(a) Mutual Fund Debits	₹10/-	₹10/-	₹10/-	₹10/-
	(b) All other Debits	0.01% of value subject to a minimum of ₹25/-	₹25/-	0.01% of value subject to a minimum of ₹25/-	₹25/-
4	Demat Request	₹5 per certificate subject to a minimum of ₹50/-			
5	Remat Request	₹20/- per 100 securities or ₹20/- per certificate (whichever is higher) subject to a minimum of ₹100/-			
6	Pledge				
	(a) Creation	₹50/- per transaction			
	(b) Closure	NIL			
	(c) Invocation	NIL			
7	Other Services				
	(a) Courier	On Actuals			
	(b) Additional DIS Booklet	₹25/- per booklet			
	(c) Email CAS (as and when incurred)	₹0.75/-			
	(d) Physical CAS (as and when incurred)	₹8/-			
	(e) Conversion of MF units into SOA	₹20/- per transaction			

	Plan A	Plan B	Lifetime	BSDA
Please tick the Applicable Category				
Note: <ul style="list-style-type: none"> The above schedule is effective from 1st September 2024 All charges are based on NSDL/SEBI and may be revised accordingly The advance fee is a one-time payment which is non-refundable A settlement fee of ₹4.00 per debit instruction in a Client's account is charged to the DP of the Client by NSDL. GST and other statutory charges as applicable will be levied additionally Any revision of charges will be communicated 30 days in advance Any other service not quoted above will be charged on actuals 				
Eligibility for BSDA: <ul style="list-style-type: none"> All individuals who have or propose to have only one demat account where they are first/ sole holder An individual can have only one BSDA in his/ her name across all depositories where he/ she is the first/ sole holder Value of securities held in the demat account shall not exceed rupees two lakhs at any point of time 				
<input type="checkbox"/> I/We hereby declare that we do not opt for BSDA and agree to pay the charges for our demat account as per our selected plan		<input type="checkbox"/> I/ we hereby declare that we are eligible for a BSDA account and thereby opt for BSDA and agree to pay the charges as per the given tariff structure for BSDA accounts		

Client ID		
	Name	Signature
Sole/ First Holder		
Second Holder		
Third Holder		

DECLARATION FOR BASIC SERVICES DEMAT ACCOUNT (BSDA)

To: Elbee Securities Pvt Ltd																										
Reg. Office: 19 R. N. Mukherjee Road, 2nd Floor, Eastern Building, Kolkata – 700001																										
DP ID	I	N	3	0	3	8	4	1	Client ID									Date	D	D	M	M	Y	Y	Y	Y
With reference to my / our application for opening a depository account, I / We request you to open my / our depository account as per the following details																										
Name										PAN																
Sole/ First Holder/Guardian																										
Second Holder																										
Third Holder																										
<ul style="list-style-type: none"> I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA. I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA. I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account. I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID. 																										
Signature(s) of Account Holder(s)																										
Sole/ First Holder/Guardian																										
Second Holder																										
Third Holder																										

OPTION FOR ISSUANCE OF DIS BOOKLET ALONG WITH ACCOUNT OPENING

(To be filled by persons seeking to open a depository account who have a Power of Attorney to operate the depository account to a stock broker/ participant/ portfolio manager and do not intend to open a Basic Services Demat Account)

DP ID	I	N	3	0	3	8	4	1	Client ID									Date	D	D	M	M	Y	Y	Y	Y											
Name(s) of Account Holder(s)																																					
Sole/ First Holder/Guardian																																					
Second Holder																																					
Third Holder																																					
Option for Issue of DIS booklet (please tick any one)																																					
<input type="checkbox"/> Option 1									I/ We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening																												
<input type="checkbox"/> Option 2									I/ We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date																												
														Name														Signature									
Sole/ First Holder/Guardian																																					
									Date										D	D	M	M	Y	Y	Y	Y											
Second Holder																																					
									Date										D	D	M	M	Y	Y	Y	Y											
Third Holder																																					
									Date										D	D	M	M	Y	Y	Y	Y											

FAMILY DECLARATION FORM FOR DEMAT ACCOUNT

DP ID	I	N	3	0	3	8	4	1	Client ID								Date	D	D	M	M	Y	Y	Y	Y
FIRST HOLDER																									
Name of Account Holder																									
<input type="checkbox"/> Mobile Number																									
<input type="checkbox"/> Email ID																									
I hereby declare that the aforesaid mobile number and/or email ID <input type="checkbox"/> Me <input type="checkbox"/> My family* <i>(please tick any one)</i>																									
Signature of Account Holder																									
SECOND HOLDER																									
Name of Account Holder																									
<input type="checkbox"/> Mobile Number																									
<input type="checkbox"/> Email ID																									
I hereby declare that the aforesaid mobile number and/or email ID <input type="checkbox"/> Me <input type="checkbox"/> My family* <i>(please tick any one)</i>																									
Signature of Account Holder																									
THIRD HOLDER																									
Name of Account Holder																									
<input type="checkbox"/> Mobile Number																									
<input type="checkbox"/> Email ID																									
I hereby declare that the aforesaid mobile number and/or email ID <input type="checkbox"/> Me <input type="checkbox"/> My family* <i>(please tick any one)</i>																									
Signature of Account Holder																									
<i>*Note: "Family" includes spouse, dependent children and dependent parents</i>																									

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														
Employee signature														
	Account and form verified by					Account opened by								
Name of the employee														
Employee code														
Designation of the employee														
Date														
Employee signature														
<p>I/ We undertake that we have made the client aware of the Policy and Procedures, Tariff Structure, and all the non-mandatory documents. I/ We have also made the client aware of the 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 Structure, 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 document(s), RDD and Guidance Note would be made available to our clients via physical or electronic means for the information of the clients.</p>														
<div style="border-bottom: 1px solid black; width: 100%; margin-bottom: 5px;"></div> <div style="text-align: center;">Signature of the Authorised Signatory</div>						Date	D	D	M	M	Y	Y	Y	Y

FORM FOR NOMINATION/ CANCELLATION OF NOMINATION

(To be filled in by individuals applying singly or jointly)

DP ID	I	N	3	0	3	8	4	1	Client ID							Date	D	D	M	M	Y	Y	Y	Y																	
A. NOMINATION OPTION																																									
		<input type="checkbox"/> I/ We wish to make a nomination [As per details given below]										<input type="checkbox"/> I/ We wish to cancel the nomination made by me/ us earlier and consequently all rights and liabilities in respect of beneficiary ownership in the securities held by me/ us in the said account shall vest in me/ us. [Strike of (B) Nomination Details below]																													
B. NOMINATION DETAILS (Please ask for additional forms if there are multiple nominees)																																									
I/ We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my/our death. I/ We also hereby nominate the following person(s) who shall receive the amount held in my/ our trading account held with ESPL in the event of my/ our death.																																									
		Nomination can be made upto three nominees in the account.										Details of 1st Nominee										Details of 2nd Nominee										Details of 3rd Nominee									
1		Name of Nominee(s) (Mr./Ms..)																																							
2		% Share of Nominee																																							
3		Relation with Applicant (If Any)																																							
4		Address of the Nominee(s)																																							
		PIN Code																																							
5		Mobile/Tel. No. of Nominee(s)																																							
6		Email ID of Nominee(s)																																							
7		Nominee Identification details:																																							
a		Photograph & Signature																																							
b		PAN																																							
c		Aadhaar No																																							
d		Savings Bank Account No																																							
e		Proof of Identity																																							
f		Demat Account ID																																							
DETAILS OF GUARDIAN (If nominee is a minor)																																									
8		Date of Birth [In case of minor nominee (s)]																																							
9		Name of the Guardian (Mr./Ms.) [In case of minor nominee (s)]																																							
10		Address of the Nominee(s)																																							
		PIN Code																																							
11		Mobile/Tel. No. of Guardian																																							
12		Email ID of Guardian																																							
13		Relation of Guardian with																																							

	nominee			
14	Guardian Identification details			
	Photograph & Signature			
b	PAN			
c	Aadhaar No			
d	Savings Bank Account No			
e	Proof of Identity			
		Name		Signature
Sole/ First Holder/Guardian (In case sole holder is minor)				
Second Holder				
Third Holder				
Witness Details for Nomination				
Name				
Address				
Signature			Date	<div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div>
INSTRUCTIONS				
<ol style="list-style-type: none"> The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner. The nominee(s) shall not be a trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family or a power of attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities. Transfer of securities in favour of a nominee(s) shall be valid discharge by the depository and the Participant against the legal heir. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same person who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the nominee(s). Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the client must specify the percentage of share for each nominee that should total up to 100%. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees. In case of there are any residual securities, they would be transferred to the first nominee by default. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the above FORM FOR NOMINATION/CANCELLATION OF NOMINATION at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees. A copy of any proof of identity document should be submitted by the nominee and guardian (if any) accompanied by original(s) for verification or duly attested by any entity authorized for attesting the documents. Savings bank account details shall only be considered if the account is maintained with the same participant. DP ID and client ID shall be provided where demat details is required to be provided. 				

POLICIES AND PROCEDURES

A. REFUSAL OF ORDERS FOR PENNY STOCK

'Penny Stocks' can be referred to as those stocks which are generally considered to be highly speculative and risky because of their lack of liquidity, large bid-ask price spreads, small capitalisations, etc. As per our policy, 'penny stocks' can be referred to as the stocks which appear in the list of illiquid securities issued by the Exchanges every quarter and any other stock deemed so by Elbee Securities Private Limited (ESPL).

ESPL at its discretion can accept, refuse or partially accept any buy or sell orders for execution from the client in respect of such scrips. ESPL may allow restrictive acceptance of orders in such scrips and may demand appropriate declarations and additional margin from the client before accepting orders of such stocks. ESPL may cancel orders in such scrips received by the client before execution or partial execution or place any other kind of restrictions on the trade on such scrips without assigning any reason therefore to the client.

ESPL shall not be responsible for any consequential opportunity loss or financial loss that a client may incur from delay or non-execution of orders in penny stocks.

B. SETTING UP CLIENT'S EXPOSURE LIMIT

ESPL may give an exposure limit which would be a multiple (ranging between one to four times) of the clear ledger balance in the account plus value of the shares given as collaterals computed after applying the appropriate haircut. In the F&O segment, exposure is given on the value of initial margin after applying appropriate haircut on the securities given as collateral. The exposure limit may be changed based on the volatility in the market and quality of the collaterals.

ESPL may set different exposure limits for different clients depending on their credit worthiness, integrity and past conduct. The client agrees that ESPL shall not be responsible for such variation, reduction, imposition, or the client's inability to route any order through ESPL's trading systems on account of any such variation, reduction or imposition of limits.

C. APPLICABLE BROKERAGE RATE

ESPL follows the policy of charging brokerage not more than the maximum permissible brokerage as per the rules and regulations of SEBI/Exchange. Brokerage shall be levied as per the rates agreed upon with the client at the time of registration. The brokerage amount may be revised with prospective effect after a notice of 15 days. The brokerage amount debited to the client's account does not include any Exchange related charges or statutory levies as applicable. Any other applicable taxes imposed by the statutory authorities including Securities Transaction Tax (STT), GST, duties etc. will be paid by the client separately as may be levied from time to time.

D. IMPOSITION OF PENALTY/ DELAYED PAYMENT

Clients will be liable to pay late pay-in/delayed payment charges 2% per month for not making payments of their pay-in obligations on time as per the Exchange requirements or net ledger debit balance as applicable. Further, where ESPL has to pay 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. No interest/delayed payment charges will be payable by ESPL on the credit balance lying in the margin account or ledger balances of the client.

E. THE RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENT'S POSITIONS WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON-PAYMENT OF DUES (THIS SHALL BE LIMITED TO THE EXTENT OF SETTLEMENT/MARGIN OBLIGATION)

ESPL shall be entitled to liquidate the client's securities (both paid and unpaid securities) as well as collaterals deposited towards margins or close out client's position, without giving notice to the client, for the 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 client's liabilities/obligations. Any losses and financial charges on account of such liquidations/closing out shall be charged to and borne by the client.

In case the payment of the margin/security is made by the client through a bank instrument, ESPL shall have absolute discretion to give the benefit/credit for the same only after realisation of clear proceeds in the ESPL bank accounts. Where the margin/security is made available by way of securities or any other property, ESPL is empowered to decline its acceptance and/or accept it at such reduced value as ESPL may deem fit applying haircuts or by valuing it by marking it to market. ESPL has the sole discretion to decide referred stipulated margin percentage depending upon the market conditions.

In the event of death or insolvency of the client, ESPL may close out all outstanding positions of the client, adjusting the loss incurred on such closures with the margin deposited by the client and claim further shortfalls, if any, against the estate of the client, and if needed further, from his/her successors/heirs. In case of any surpluses, the successors/heirs will be entitled to the same.

The above actions are at the sole discretion of ESPL and may vary from client to client. It would be undertaken only if the client fails to respond after repeated reminders and after giving the client a reasonable opportunity to be heard after giving a verbal/ electronic show cause notice and explaining the details of the proposed action.

Signature of the Client

F. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES

If the Client fails to deliver any one or more securities to the pool account of ESPL in respect of the securities sold by the Client which turns out to be an internal position, on or before the pay-in date notified by the Exchange from time to time, for such un-discharged obligation in relation to delivering, any one or more securities, attempt shall be made by ESPL to buy the shares from the market on the pay in day or on the next working day on behalf the client who has delivered short and deliver the same to the client who has bought them. The client who has delivered short will be debited with the rate at which the shares were purchased or the rate at which the said shares were sold by him, whichever is higher. However, in case for any reason, whatsoever ESPL is unable to buy such quantity, the outstanding obligation of the Client shall be settled in the manner it deems fit and appropriate. The loss, if any, on account of the close out shall be to the account of the Client.

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

Any one or more of the below mentioned conditions may result the client not being allowed to take further positions or the closure of his/her existing positions:

- If the client does not meet his pay-in obligation as per the Exchange requirements irrespective of the deposited collaterals.
- If the client has continuous debit balances.
- If the client does not compensate the margin shortfall.
- If the client fails to submit any information/document that is mandatory.
- If the Exchange is not allowing any further positions in that scrip or if the scrip is declared illiquid by ESPL.
- If the transaction appears to be suspicious.

H. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST

- The account of the client will be suspended/ closed on the receipt of a written request from the client specifying the reason to close the account. If the reason(s) given are justified, then the account of the client is suspended after effecting the settlement of the account.
- The Trading Member can withhold the pay-out of the client and suspend his trading amount due to surveillance action or judicial or/and regulatory order/action requiring client suspension.

I. DEREGISTERING A CLIENT

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

- If the actions of the client are prima facie illegal/ improper or such to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- On the death, lunacy or any other disability of the client.
- If the client being a partnership firm/ any other organisation, has any steps taken by the client and/or its partners for reorganization, dissolution or liquidation.
- If the client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with ESPL.
- If the client is in breach of any term, condition or covenant of any agreement with ESPL.
- If the client has made any material misrepresentation of facts including (without limitation) in relation to the security.
- Any suspicious information found by ESPL in sites like CIBIL, World Check etc. or if there is any commencement of a legal process against the client under any law in court.
- If the client forms a part of the list of debarred entities published by the SEBI and/or any action is taken by NSE/BSE/SEBI on the client.
- If the client suffers any adverse material change in its financial position.
- If there is reasonable apprehension that the client may be unable to pay its dues or has admitted its inability to pay its dues.

ESPL reserves the right to deregister a client after giving a 30 day notice without specifying any reason whatsoever. ESPL freezes the assets of the client where it deems prudent and shall have the right to close out the existing positions, sell all the collaterals to recover its dues, if any, before deregistering the client.

J. INACTIVE ACCOUNTS

The account will be treated as inactive if the client does not trade for a period of six months and may be temporarily suspended. ESPL reserves the right to ask for a written request or any other document for reactivating the account.

CLIENT ACCEPTANCE OF POLICIES AND PROCEDURES STATED HEREINABOVE

I/We have fully understood the Policies and Procedures and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses in this document under any circumstance whatsoever. These Policies and Procedures may be amended/ changed by the broker after giving a 15 day notice. The change(s) can be communicated to me/us through any one or more means/methods. I/We agree never to challenge the same on any grounds including delayed receipt/non-receipt or any other reason whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and ESPL before any court of law/judicial/adjudicating authority including arbitrator/mediator, etc.

Signature of the Client

FATCA/CRS DECLARATION FORM (FOR INDIVIDUALS)

To: Elbee Securities Pvt. Ltd.		Date	D	D	M	M	Y	Y	Y	Y
Client Name		BO ID								
Client Code (UCC)		Residential Status	<input type="checkbox"/> Indian				<input type="checkbox"/> Non Resident			

Part I Please fill in the COUNTRY for each of the following (Applicable for all customers):

1	Country of Birth			
2	Country of Citizenship			
3	Residence for Tax Purposes			
4	Current Residence (Overseas Country for NRI)			
5	U.S. Person	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Please refer to definition on Page 2

Part II Please Note:

A.	If in all fields above, the country mentioned by you is India (except in case of seafarers) and if you do not have a U.S. person status, please proceed to Part III for signature.			
B.	If for any of the above fields, the country mentioned by you is not India and/ or if your U.S. person status is Yes, please provide the Tax Payer Identification Number (TIN) or Functional equivalent as issued in the specific country in the table below:			
(i)	<input type="checkbox"/> TIN, or		Country of Issue	
	<input type="checkbox"/> Functional Equivalent (please specify name & number)			
(ii)	<input type="checkbox"/> TIN, or		Country of Issue	
	<input type="checkbox"/> Functional Equivalent (please specify name & number)			
(iii)	<input type="checkbox"/> TIN, or		Country of Issue	
	<input type="checkbox"/> Functional Equivalent (please specify name & number)			
C.	If you satisfy the criteria mentioned in Part II (B) above but do not have a Tax Payer Identification Number (TIN) / Functional Equivalent, please tick the reason for the same as provided below:			
	<input type="checkbox"/> I am a person resident out of India with (choose only if applicable): <div style="margin-left: 20px;"> <input type="checkbox"/> Country not issuing TIN/ Functional equivalent _____ (mention VISA/ Residence/ Work Permit Number – please tick as applicable) <input type="checkbox"/> Dependent Visa _____ (mention dependent visa number) <input type="checkbox"/> Student Visa _____ (mention student visa number) <input type="checkbox"/> Seafarer Status _____ (mention CDC/ visa number) <input type="checkbox"/> Going to the country of residence for the first time _____ (mention visa number. TIN/ Functional Equivalent to be communicated to ESPL within 90 days, or else the account will be closed.) </div> <p style="text-align: center; margin: 5px 0;">OR</p> <input type="checkbox"/> I am a person resident in India as well as resident for tax purposes in India (Please also fill Part IV self-certification):			
D.	In case you are declaring U.S. person status as 'No' but your Country Of Birth is U.S., please provide document evidencing Relinquishment of Citizenship. If not available please provide reason(s) for the same _____ _____ (In addition to the above, please fill Part IV, i.e. self-certification)			

Part III CUSTOMER DECLARATION *(Applicable for all customers)*

1. Under penalty or perjury, I certify that:
 - (a) The applicant is (i) an applicable taxable as a US person under the laws of the United States of America (US) or any state or political subdivision thereof or therein, including the District Of Columbia or any other states of the US, (ii) an estate the income of which is subject to the US federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person) or
 - (b) The applicant is taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside India)
2. I understand that ESPL is relying on this information for the purpose of determining my status in compliance with FATCA/CRS. Elbee Securities is not able to offer any tax advice on FATCA/CRS or its impact. I shall seek advice from professional tax advisors for any tax questions.
3. I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
4. I agree that as may be required by domestic regulators/ tax authorities ESPL may also be required to inform reportable details to CBDT or close or suspend my account.
5. I certify that I provide the information on this form and to the best of my knowledge and belief that the certification is true, correct, and complete including the taxpayer identification number / functional equivalent number of the applicant.

Name

Date

D D M M Y Y Y Y

Signature

Part IV SELF CERTIFICATION *(Not applicable for NRI customers except for point (b) below)*
To be filled only if

- (a) Any of the indicated parameters is outside India and TIN or functional equivalent is not available since not a resident for tax purposes outside India, or
- (b) Country of birth is U.S. and U.S. person is mentioned as "No" in Part I

I confirm that I am not a US person or a resident for tax purposes in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and / or residency.

Signature

Document proof submitted (Please tick document being submitted)
☐ Passport ☐ Election ID card ☐ PAN card ☐ Driving License ☐ UIDAI Letter ☐ NREGA job Card ☐ Govt. issued ID Card

Note:
The term United States person means:

- a) An individual being a citizen or resident of the United States of America;
- b) Partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- c) A trust if: (i) a court within the United States of America would have authority under applicable law to render orders or judgements concerning substantially all issues regarding administration of the trust; and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust;
- d) An estate of a decedent who was a citizen or resident of the United States of America

Functional equivalent of TIN includes the following:

A social security/ insurance number, citizen/ personal identification/ services code/ national identification number, a resident/ population registration number, alien card number, etc.

INFORMATION TO BE PROVIDED BY THE CLIENT IN RELATION TO PMLA, 2002

A. IDENTITY DETAILS																				
Name of the Client						Client Code														
If Business/ Profession		Nature of Business																		
		Industry																		
B. DETAILS OF MY/ OUR RELATIVES HAVING ACCOUNT(S) WITH ESPL (Please attach an additional sheet if required)																				
		Name		Relationship				UCC (Client Code)												
1																				
2																				
3																				
C. DETAILS OF THE CORPORATE /PARTNERSHIP FIRM/ TRUST etc. WHERE I/ WE AM/ ARE AFFILIATED																				
		Name		Entity Type		Business Nature		Relationship		UCC (Client Code)										
1																				
2																				
<p>I/ We agree to submit the following documents to ESPL every year before the due date as prescribed by ESPL:</p> <table style="width: 100%;"> <tr> <td>1. Profit & Loss Account and Balance Sheet</td> <td>5. Demat Transaction Statement</td> </tr> <tr> <td>2. Form 16 (Salary Certificate) in case of Salary Income</td> <td>6. Bank Statement (for 6 months)</td> </tr> <tr> <td>3. Self Attested copy of Income Tax Return</td> <td>7. Shareholding Pattern</td> </tr> <tr> <td>4. Networth Certificate</td> <td></td> </tr> </table> <p>I/ We confirm that I/ we will immediately inform ESPL in case I/ we am/are convicted under any grounds or any action is taken against me/ us by any authority (ies).</p> <p><input type="checkbox"/> I/ We hereby declare that I/ we do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 OR</p> <p><input type="checkbox"/> I/ We hereby declare that I/ we fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (Choose the relevant category as under):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Non Resident client <input type="checkbox"/> High Net – Worth Client (having annual income + networth of more than Rs. 1 Crore) <input type="checkbox"/> Trusts, Charities, Non – Governmental Organizations (NGOs) and organizations receiving donations <input type="checkbox"/> Companies having close family shareholdings or beneficial ownership <input type="checkbox"/> Civil Servant or family member or close relative of civil servant <input type="checkbox"/> Bureaucrat or family member or close relative of bureaucrat <input type="checkbox"/> Current or Former MP or MLA or MLC or their family member or close relative <input type="checkbox"/> Politician or their family member or close relative <input type="checkbox"/> Current or former Head of State of Governments or their family member or close relative <input type="checkbox"/> Senior government/judicial/military officers or their family member or close relative <input type="checkbox"/> Senior executives of state-owned corporations or their family member or close relative <input type="checkbox"/> Companies offering foreign exchange offerings <input type="checkbox"/> Non face to face client / Clients with dubious reputation as per public information available etc. <input type="checkbox"/> Clients in high risk countries where existence/ effectiveness of money laundering controls is suspect etc. 													1. Profit & Loss Account and Balance Sheet	5. Demat Transaction Statement	2. Form 16 (Salary Certificate) in case of Salary Income	6. Bank Statement (for 6 months)	3. Self Attested copy of Income Tax Return	7. Shareholding Pattern	4. Networth Certificate	
1. Profit & Loss Account and Balance Sheet	5. Demat Transaction Statement																			
2. Form 16 (Salary Certificate) in case of Salary Income	6. Bank Statement (for 6 months)																			
3. Self Attested copy of Income Tax Return	7. Shareholding Pattern																			
4. Networth Certificate																				
I/ We intend to invest in the stock market with:						<input type="checkbox"/> Own Funds		<input type="checkbox"/> Borrowed Funds												
If borrowed Funds, then please specify the source(s) of funds																				
Source(s) of Borrowed Funds (Please attach an additional sheet if required)										Amount (Rupees)										
1																				
2																				
(Certificated/ Opinion Report from the Banker/ Financial Institution confirming that there has been no default in the client's account is to be attached, which I/ we agree to attach herewith.)																				
I/ We declare that I/ we am/ are beneficial owner of the trading/online account opened with Elbee Securities Pvt. Ltd.																				
Signature						Date		D	D	M	M	Y	Y	Y	Y					
FOR OFFICE USE ONLY																				
Risk categorization of client as per PMLA, 2002		<input type="checkbox"/> High Risk		<input type="checkbox"/> Medium Risk		<input type="checkbox"/> Low Risk														
Verified By																				
Authorised and Approved By																				

AUTHORITY LETTER FOR RUNNING ACCOUNT

To,
Elbee Securities Private Limited,
19, R.N. Mukherjee Road,
2nd Floor, Eastern Building,
Kolkata – 700001.

Dear Sir/Madam,

I/We as the client of Elbee Securities Pvt. Ltd. ("ESPL") for Trading in Capital Market Segment and/or Futures & Options of NSE/BSE do hereby authorise ESPL for the following:

- In order to facilitate my/our smooth trading operations, I/we authorise ESPL to maintain a running account, instead of settlement to settlement clearance of funds/securities due to me/us. In this regard, I/we have been informed about the SEBI circular no. MIRSD/SE/Cir-19/2009 dated December 3, 2009. I/We have read and understood the same. I/We hereby authorize ESPL to maintain a running account in all segments across the exchanges (NSE/BSE).
- The payout of funds/securities may be retained by ESPL and no interest shall be payable by ESPL on such retention. I/We further agree that ESPL shall not be liable for any claim of loss or profit or any consequential, incidental, special or exemplary damages, caused by retention of such securities/ funds under this agreement or otherwise.
- I/We may be trading in Capital Market Segment and/or Futures & Options segment of NSE and/or BSE and hence have obligations under various accounts with ESPL. In this regard I/we hereby authorize ESPL to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in any account across segments/exchanges, without taking any further instruction from me/us. I/We also agree/ understand that there shall be no inter-client adjustment for the purpose of settlement of running account.
- I/We hereby further authorize ESPL to hold and retain the said funds/securities until a request for the same is made by me/us, subject to the condition that sufficient margin in respect of my/our continued trading, across the exchanges and/or across the segments of the exchanges, are available with ESPL. I/We further authorize ESPL to keep my/our shares purchased through it, in its margin account and to deliver and/or adjust said shares against our sales in subsequent settlements i.e. inter transferring the shares from one settlement to another settlement in various segments across Exchanges, unless ESPL receives any verbal or written instruction from me/us to deliver the same to my/our Depository Account. Similarly, I/we authorize ESPL to issue a cheque against our fund pay out only after getting an instruction from me/us. Otherwise the same will remain with ESPL against my/our margin obligation towards Capital Market Segment and/or Futures & Options Segment.
- I/We authorize ESPL to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of funds or by sale of securities which from part of margin.
- I/We agree that (a) in respect of derivatives market transactions, ESPL may retain the requisite securities/ funds on settlement date to take care of any obligation arising in next 5 days, calculated in the manner specified by the exchange, (b) in respect of cash market transaction, ESPL may retain the entire pay-in obligation of funds & securities due from me/us as on the date of settlement and for next day's business, ESPL may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement.
- I/We hereby authorize ESPL to pledge my/our Securities/Funds (Collaterals) as margin with the Clearing Corporation(s) of the Exchange(s) towards my/our margin/exposure requirements.
- I/We authorize ESPL to transfer the funds/securities in my/our credit within one working days of the request if the same are lying with ESPL and within three working days from the request if the same are lying with the Clearing corporation(s) of the Exchange(s).
- I/We agree that funds given towards collateral/margins in the form of Bank Guarantee (BG)/Fixed Deposit Receipts (FDR's) may not be periodically settled.
- I/We authorise you to retain an amount upto ₹10,000/- (consolidated amount across segments and exchanges) for actual settlement of that respective traded quarter/month.
- I/We authorize you to actually settle my account with you atleast once in a calendar quarter or month as per the option selected below. Further, I/we confirm that I/we will bring to the notice of ESPL any dispute arising from the settlement of account or settlement so made in writing within seven working days from the date of receipts of funds/securities or settlement of account or statement related to it, as the case may be at ESPL's registered office.

SETTLEMENT PREFERENCE	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly	(Please select any one option)
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- The instructions/authorizations made by me/us above are revocable and can be revoked/ withdrawn at any time by giving a notice in writing by me/us.

Signature of the Client

Date	D	D	M	M	Y	Y	Y	Y
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ELECTRONIC PAYOUT REQUEST

To,
Elbee Securities Private Limited,
19, R.N. Mukherjee Road,
2nd Floor, Eastern Building,
Kolkata – 700001.

Dear Sir/Madam,

I/We furnish the details of my Bank Account as given in PART II – TRADING ACCOUNT OPENING FORM to enable the transfer of funds payable to me/us against sale of securities/ credit balances in my account.

I/We hereby declare that the particulars mentioned above are correct, complete and true and I/we request Elbee Securities Pvt. Ltd. ("ESPL") to transfer the funds against payments due to me into the above mentioned Bank Account until any other instruction is given by me/us. It is also agreed by me/us that the above facility is being provided to me/us by ESPL at my/our request and it can be discontinued/withdrawn by ESPL at its discretion at any point of time, as and when required without prior notice.

- The transfer of funds to my/our bank account will continue to be governed by the terms and conditions as per my declaration to ESPL
- I/We shall review, upon receipt; all transfer of all funds made into the aforesaid bank account. In case the fund payment is not received in my/our account on the scheduled date, then I/we will notify the same to ESPL within two working days, failing which it will be assumed that the funds have been credited to my account and ESPL shall not be liable in any manner thereafter for the same.
- If the transaction is delayed or not effected at all for incomplete or incorrect information provided by me/us, I/we would not hold ESPL responsible and hereby indemnify ESPL from any losses or damage therefrom.
- All charges levied by Bank for the said facility shall be borne by me/us.

Signature of the Client

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

CONSENT LETTER FOR RECEIVING ALERTS/ TRADING CALLS ON MOBILE

To,
Elbee Securities Private Limited,
19, R.N. Mukherjee Road,
2nd Floor, Eastern Building,
Kolkata – 700001.

Dear Sir/Madam,

I/We hereby give my/our consent to ESPL to send me/us Alerts, Trading Calls, Research Reports, News, Live Updates or any other information on my Email ID _____ and mobile number _____

This shall not be treated as violation of any DND or any other similar rules applicable from time to time. The number may be given to the exchange database also. Further, I/we undertake to ESPL and confirm to use my/our own judgment in taking a view and execute trade in the identified security (ies) according to my/our financial strength/capabilities and shall not hold ESPL responsible for any losses suffered by me/us on account of executing or omitting to execute any trades in pursuance of such communication and/or investment advises sent by ESPL.

Signature of the Applicant

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

CONSENT LETTER FOR ELECTRONIC COMMUNICATION

To,
Elbee Securities Private Limited,
19, R.N. Mukherjee Road,
2nd Floor, Eastern Building,
Kolkata – 700001.

Dear Sir/Madam,

I/we authorise Elbee Securities Private Limited (“ESPL”) to issue the contract notes, statement of funds & securities, circulars, amendments, client registration documents, DP bill, transaction statements, holding & financial statements and other such documents in electronic mode in lieu of physical mode on my/our updated E-mail ID, which is as follows:

Email ID: _____

I/We confirm that it will be my/our responsibility to ensure that the above E-mail ID is active. Any changes in the E-mail ID shall be communicated by me/us in writing to ESPL. Further to my/our authority to ESPL to issue Contract Notes in digital format, I/we authorise ESPL 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 the Contract Notes issued to me/us.

I/We authorise ESPL to send periodic statements of funds and securities & margin statement etc. in digital format at my/our Email address unless I/we request in writing to send them in paper form. I/We understand and agree that any request to provide paper form of documents shall be charged to me/us by ESPL as per the prevailing rates. I/We do hereby confirm that I am aware of an extra levy (as per prevailing rates) by ESPL for physical delivery of any of the aforementioned documents, in case the e-mail sent to me bounces back.

I/We hereby acknowledge that all the documents sent on the above E-mail ID by ESPL will be considered as having delivered to me/us once the email leave the ESPL email server and no bounced mail notification is received by ESPL.

I/We agree that the log reports of ESPL’s dispatching software shall be conclusive proof of dispatch of all statements or bills to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

I/We further agree that in the absence of any communication from my/our end regarding the non-receipt of documents through e-mail or notification of any discrepancy within two working days from the date of issuance of digital contract note through e-mail, ESPL may construe that there is a deemed acknowledgement of the document(s) sent to client electronically.

In case I/we wish to withdraw this facility, I/we shall inform ESPL in writing at least ten days in advance from the date of withdrawal.

Thanking You,
Yours Faithfully,

Signature of Client

Date

D

D

M

M

Y

Y

Y

Y

LETTER OF UNDERSTANDING

A. CLIENT OPERATIONS

- The Client agrees that ESPL will not provide him/her order confirmation/modification/cancellation slip and trade confirmation slip to avoid unnecessary paper work. He/ She hereby requests ESPL to kindly accept his/her mandate holder's verbal order/instruction in person over phone and execute the same. He/ She shall get the required details from contract notes issue by ESPL. The client understands the risk associated with placement of verbal order and accepts the same. He/ She will not disown order under the plea that the same was not placed by him/her.
- The Client is aware that ESPL/Sub Broker/Authorised Person may tape record the conversation, while providing trade confirmation/advisory services/research calls or otherwise, between the Client or the Client's representative and ESPL/sub broker/authorised person, either personally or over the phone, and the client hereby specifically permits ESPL to do so. Such electronic recording may be relied upon by ESPL/Sub Broker as and when required to resolve disputes in connection with the trading transaction or otherwise.
- The Client is aware that he/she is required to make full payment to ESPL for the execution of the contract on the day of execution of trade. The Client explicitly agrees and authorizes ESPL to suspend/deactivate his/her account for non- payment of the above stated dues and other such amounts as may be due from the client from time to time without giving any further notice or intimation to the client.
- The client hereby informs ESPL that he/she has executed/intends to execute an agreement with ESPL for trading on different Exchanges, i.e. NSE and BSE, in cash and derivative segment. The Client requests ESPL to transfer, make adjustments and /or set off a part or whole of the securities placed as margin and/or any surplus funds in any one of the accounts maintained with ESPL against the outstanding dues payable, if any, by the client account(s) maintained with ESPL. ESPL will have lien on the credit balances in any of the client's account(s) for meeting the debit obligations in progress in any other of the client's account(s). Any entries passed by ESPL in accordance with this authorization will be binding on the client.
- The Client hereby agrees to ensure that before selling any shares, he/she has to have them in his/her ownership. Any loss arising out of auction/closeout due to short selling of shares will be borne by the client. The client also agrees to bear any losses arising out of auctions due to incomplete instructions, illegible instructions, unclear instructions and instructions not received on time.
- The client hereby authorises ESPL to transfer shares, lying in ESPL's pool account to his account for pay-in purposes for shares purchased by the client in previous settlements. In case the client does not want ESPL to transfer these shares towards inter settlement from ESPL's pool account for pay-in purposes, he/she shall inform ESPL in writing within 48 hours before the pay-in date. In case ESPL does not receive the same in writing or for a wrong statement, ESPL shall not be responsible for losses, if any.
- Any queries related to securities delivered would be brought to the notice of ESPL within 7 working days of the receipt of such securities in the client's demat account. Otherwise, it can be presumed that the client has checked all the securities received by him/her and that they are good as per the prevailing terms.
- The client irrevocably authorises ESPL to pledge any securities purchased for the client and held in its pool A/C, awaiting payment of price from the client with any bank or other institution as it may deem fit.

B. AUTHORIZATION TO DEBIT DEMAT ACCOUNT AND MISCELLANEOUS CHARGES

- The client authorises ESPL to debit his/her trading account for all the charges relating to its Demat Account. The client understands that the said charges in the Demat Account are incurred on a regular basis and this authorisation of transferring the same to the client trading account shall be remain valid for all such instance. The client also authorises ESPL to retain its shares/ any other security till the clearance of the dues in the trading as well as Demat Account.
- The client here by agrees and understands that in case of any non-compliance and/or default by the client such as cheque dishonour, client code modification, F&O short margin, UCC violation, price rigging or for any other matter as may be decided by ESPL from time to time, without prejudice to ESPL's other rights, ESPL may be levy charges/penalty (ies) on the Client and debit such charges/penalty (ies) in the client account which has been imposed by Regulatory Authorities.
- The client hereby authorizes ESPL to debit his account other miscellaneous charges including payment instruction charges, settlement/ professional charges, research service fee, trading platform charges, charges related to IPOs. Rights issue and other investment avenues

C. PAYMENT OF MARGINS

- The client hereby agrees to make payment against debit balance and margin payment as demanded by ESPL in the form of Fund or securities in proportion, as prescribed by ESPL or exchange, failing which the broker can square up all or any outstanding position of sale and/or in any segment and/or in any Exchange, without any notice to the client.
- Margin in the form of securities: ESPL, in its absolute direction will decide the eligible securities, which could be deposited by the client for meeting current of future margin/deposit obligation. ESPL would be free to the continuously review the eligibility of securities already deposited by the client. Securities accepted as margin/deposit, shall be valued as per valuation norms decided by ESPL from time to time. The client authorizes ESPL to sell their securities for margin requirements in cash and F&O segment of the Exchanges.
- Lien: The client agrees that all monies, securities or any other property that may be held by ESPL on the client's account shall be held by ESPL at the sole risk and cost of the client and such monies, securities or property as permitted by the Exchange(s) shall be held subject to general lien for the discharge of the client obligation to ESPL under the voluntary clauses irrespective of whether such obligation of the client is disputed by the Client. ESPL shall be under no obligation to release such monies, securities or property until client has discharged its entire obligation in full to ESPL under the voluntary clause to the satisfaction of ESPL.

Signature of the Client

D. INDEMNIFICATION

- The Client and the Sub broker shall indemnify and shall always keep indemnified ESPL harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to ESPL directly or indirectly, owing to bad delivery (as defined by the Exchange Rules/Regulations/Bye-Laws) of shares/securities and/or as a result of fake/forged/stolen shares/securities/transfer documents that are introduced or may be introduced by or through the Client during the course of its dealings/operations of the Stock Exchange(s).
- The Client undertakes that he/she shall not hold ESPL, its Directors or Officers responsible for his/her/their acceptance of any lucrative offer or fixed return on investment made by any of their representative (verbal/written) without the knowledge of ESPL and the onus to bring the same to the notice of ESPL lies with the Client.
- Trading on all exchanges is in electronic mode, based on connectivity through various media such as VSAT, Leased Line, ISDN, Modem and VPN, as well as through a combination of technologies and computer systems to place and route orders. The Client understands that there exists a possibility of communication failure or system problem or slow/delayed response from systems or a trading halt, or any such other problem/glitch which may result in ESPL not being able to establish/provide access to the trading system/network, which may be beyond ESPL's control and may result in delays in processing of buy/sell orders either in part or full. The Client shall be fully liable and responsible for any such problem/fault and shall not make any claims on ESPL for the same.

E. GENERAL

- In case of any one or more of the provisions contained in the voluntary clauses becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality, and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.
- The Client agrees not to hold ESPL liable or responsible for any delay or default in performance of ESPL's obligations due to contingencies beyond ESPL's control, such as Fire, Flood, Civic Commotion, Earthquakes, Riots, Wars, Failure of systems, failure of internet links, government/regulatory actions or any other contingencies beyond ESPL's control.
- ESPL will not be liable to the client for loss arising due to fine, theft or loss due to human error in case of shares sent to dematerialisation, or any other unforeseen circumstances if the shares are in the custody of ESPL beyond the stipulated time.
- The Client understands that information about him/her and their transactions may be reported by ESPL to FIU/concerned authorities/regulators without any intimation to the Client and have no objection for the same.
- The Client hereby undertakes to extend full co – operation to ESPL in their endeavour towards compliance with Anti – Money laundering norms, and to not hold ESPL legally liable in any manner whatsoever towards the same.
- In case of any delayed payment by the Client towards any obligations on the client's part, ESPL is authorised to debit the client's Trading Account with the delayed payment charges which shall be levied by ESPL subject to a maximum of 2% per month.
- The Client has clearly read and understood all the points mentioned in this Letter of Understanding/Authority. All the instructions are given by the client's own free will. In case the client wishes to withdraw any of the above mentioned terms, he/she shall inform ESPL in writing and acknowledge the same at least one week in advance from the date of withdrawal.
- The Client hereby confirms that he/she is not a Stock Broker or Sub – Broker or Authorised Person or Remieser of any Stock Exchange(s). further, in the event the client wishes to obtain any membership of any Stock exchange (s) or wishes to become a Sub – Broker or Authorised Person or Remieser of any Trading member in any Stock exchange, then the Client undertakes to obtain a No-objection certificate from ESPL prior to making an application to the Exchange (s).

Signature of the Client	
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MUTUAL FUND SERVICE SYSTEM FACILITY

To,
Elbee Securities Private Limited,
19, R.N. Mukherjee Road,
2nd Floor, Eastern Building,
Kolkata – 700001.

Dear Sir/ Madam,

I/We _____ am/are registered as your client with Client Code No. _____ and have entered into relationship with the Trading Member for the purpose of trading in the Capital Market Segment of Bombay Stock Exchange Ltd. and/or National Stock Exchange Ltd. (Exchanges).

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Fund Schemes permitted to be dealt with on the BSE StAR MF and NSE MFSS platforms.

I/We am/are providing consent for mutual fund trading against collateral lying in my/our account and am/are aware that in any event of non – clearance of debit in my/our trading account(s), there is a risk of stock collateral or MF collateral getting liquidated to the extent of my/our ledger debit for the recovery of trading debit.

For the purpose of availing this BSE StAR MF & NSE MFSS facility, I/we state that Know Your Client details as submitted by me/us for stock broking may be considered for the purpose of BSE StAR MF & NSE MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions mentioned in the circular dated December 2, 2009 and in circular No. NSE/MFSS/003/2001 download Ref. No. NSE (MIC/13533) dated November 24, 2009 for BSE STAR MF and NSE MFSS respectively. I/We am/are willing to also abide by the terms and conditions as may be specified by the Exchanges/ICCL/NCL through any other Notices/Circulars from time to time in this regard.

I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document (SID) and Key Information Memorandum (KIM), addenda issued regarding each Mutual Fund Scheme which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in BSE STAR MF and NSE MFSS.

Thanking you,
Yours Faithfully,

Client Name												
Client ID								Client UCC Code				
Date	D	D	M	M	Y	Y	Y	Y	Place			
Signature of Client/ Authorised Signatories												

ACKNOWLEDGEMENT FOR THE RECEIPT OF DOCUMENTS

From,

Client Name: _____

Client Code (UCC): _____ Client ID (BO ID): _____

To,

Elbee Securities Private Limited
19, R.N. Mukherjee Road,
2nd Floor, Eastern Building,
Kolkata – 700001.

Dear Sir/ Madam,

Ref: Acknowledgement of the Receipt of Documents

This is to acknowledge that I/we have received the duly executed copy of the following documents:

- PART I – CKYC FORM
- PART II – TRADING ACCOUNT OPENING FORM
- PART III – DEMAT ACCOUNT OPENING FORM
- Tariff Structure for Trading & Demat Account
- Client Master Report
- FATCA/CRS and PMLA Declaration
- Nomination Form, if any
- Power of Attorney, if any
- Other Voluntary Documents

I/We also acknowledge to have received (*physically and/or electronically*), read and understood the following documents:

- Policies and Procedures of Elbee Securities Pvt Ltd
- Literature on Anti – Money Laundering – Combating Financing of Terrorism
- Rights & Obligations of Stock brokers, Sub – Brokers & Clients
- Rights & Obligations of Beneficial Owner & Depository Participant
- Risk Disclosure Document
- Guidance Note

I/We hereby confirm that the Client Code (UCC) allotted to me/us has been duly communicated to me/us.

Thanking You,
Yours Faithfully,

Date : _____

Client Signature

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ACKNOWLEDGEMENT

ELBEE SECURITIES PRIVATE LIMITED

19, R. N. Mukherjee Road,
2nd Floor, Eastern Building,
Kolkata – 700001.
DP ID: IN303841

Received the application from Mr./ Mrs./ M/s. _____ as the sole/ first holder along with _____ and _____ as the second and third holders respectively for opening of a depository account. Your Client ID will be intimated to you shortly. Please quote the DP ID & Client ID (CM-BP-ID in case of Clearing Members) allotted to you in all your future correspondence.

Date : _____

Participant Stamp & Signature

ACKNOWLEDGEMENT

ELBEE SECURITIES PRIVATE LIMITED.

19 R. N. Mukherjee Road,
2nd Floor, Eastern Building,
Kolkata – 700001.

Received the application from Mr./ Mrs./ M/s. _____ for opening of a trading account. Your Trading Client Code (UCC) will be intimated to you shortly. Please quote the UCC allotted to you in all your future correspondence.

Date : _____

Authorised Signatory