



Redefining Services

GUINNESS SECURITIES LTD.

Regd. Office :
Suite No. 5, Rizvi Nagar, S. V. Road
Near Milan Subway, Santacruz (West)
Mumbai - 400 054
Tel : 022 32096452/32097206
Fax : 022 26120035

Corp. Off. :
GUINNESS HOUSE
18, Deshapriya Park Road
Kolkata-700 026
Tel : 033 3001 5555
Fax : 033 2464 6969



E-mail : info@guinessonline.net, Website : www.16anna.com

SEBI Registration Number :

NSE CM : INB 231146037 NSE F&O : INF 231146037
BSE CM : INB 011146033 BSE F&O : INF 011146033
NSE CDS : INE 231146037

Model Know Your Client form Client Registration Form (Format for Individuals)

To

GUINNESS SECURITIES LTD
Suite No. 5, Rizvi Nagar, S. V. Road
Near Milan Subway
Santacruz (West) Mumbai - 400 054
Tel : 022 32096452/32097206
SEBI Registration No. : INE231146037

Clearing Member's: EAST INDIA SECURITIES LTD

10/1D, Lal Bazar Street, Kolkata-700001

Ph No: 033-2248 7002 / 2220-0845

SEBI Registration No. INE230813439

Photograph
(Please Sign on the
Photograph)

CLIENT INFORMATION

Name of the Client	:	_____				
Date of Birth (dd/mm/yy)	:	_____				
Residence Address	:	_____				
City		Pin Code				
State		Country	_____			
Sex	<input type="checkbox"/> Male	<input type="checkbox"/> Female				
Marital Status	<input type="checkbox"/> Married	<input type="checkbox"/> Single	Nationality	_____		
Occupation	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Service	<input type="checkbox"/> Others	(PI. Specify)	
Income Tax Number [PAN/GIR]	_____					

BANK ACCOUNT DETAILS

Bank Name/Branch Address/Phone No.	Date of Opening A/c	Bank A/C No	A/C Type	MICR No.

(Copy of a cancelled Cheque leaf / pass book / bank statement containing name of the constituent should be submitted.)

DEPOSITORY ACCOUNT DETAILS

Name of the DP	DP ID	Name of Beneficiaries ID	Beneficiary ID

OCCUPATION DETAILS**A. IF EMPLOYED**

Name of the Employer : _____					
Office Address : _____					
City _____				Pin Code	
State _____ Country _____					
Telephone No. (Office) _____					
Fax No. Telex No. : _____					

B. IF SELF EMPLOYED / BUSINESS / PROFESSIONAL/OTHERS

Name of the establishment : _____					
Office Address : _____					
City _____				Pin Code	
State _____ Country _____					
Telephone No. (Office) _____					
Fax No. Telex No. : _____					

FINANCIAL DETAILS OF THE CONSTITUENT (Tick where applicable)

Income Range (per annum)	<input type="checkbox"/> A Below Rs. 1,00,000	<input type="checkbox"/> B Rs. 1,00,000 to Rs. 5,00,000
	<input type="checkbox"/> C Rs. 5,00,000 to Rs. 10,00,000	<input type="checkbox"/> D Rs. 10,00,000 to Rs. 25,00,000
	<input type="checkbox"/> E Above Rs. 25,00,000	

INVESTMENT/TRADING EXPERIENCE :

A. Stock Exchanges on which you wish to trade (if the member is registered for such Exchanges) : (Please tick in the relevant boxes)		
1. <input type="checkbox"/> NSE	2. <input type="checkbox"/> BSE	3. <input type="checkbox"/> Others _____ (please mention)
B. Market segments you wish to trade (if the member is registered for such segment) : (Please tick in the relevant boxes)		
1. Capital Market / Cash Segment <input type="checkbox"/>	2. Derivatives Market <input type="checkbox"/>	3. Debt Market <input type="checkbox"/>
4. Currency Derivatives Segment <input type="checkbox"/>		

INVESTMENT/TRADING EXPERIENCE :

_____ Years in Stocks	_____ Years in Derivatives	_____ Years in Other investment related fields
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Details of any action taken by SEBI/Stock exchange/any other authority for violation of securities laws/other economic offences.

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Attach separate sheet if required.

Whether registered with any other Broker Member / Sub Broker in India : Yes No

PARTICULARS	MEMBER BROKER	SUB BROKER
Name of Main Member (In case of Sub Broker)		
Constitution		
Name of Exchange		
SEBI Reg. No.		
Address		
Client Code : (Alloted to you)		

INTRODUCER'S DETAILS

Name	
Father's Name	
Address	
PIN	
Signature	Client Code of Introducer
Relationship with Applicant	Relationship with TM
Designation (if our employee)	

Declaration

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

The client's Signature / Authorised Signatory:

Signature : _____

Title:

Name of the client :

Witness :

1 .

2.

The Trading Member's
GUINNESS SECURITIES LTD.

Signature/Authorised Signatory

Signature : _____

Title:

Name of the Trading Member :
Guinness Securities Limited

Witness :

1 .

2.

For Office Purposes :

Unique Client Code : _____ (To Be Inserted By The Brokerage Firm)

Original documents Verified By _____ Authorised By : _____

Date : _____

Place : _____

NON-INDIVIDUALS**FORMAT OF THE CLIENT REGISTRATION FORM FOR CORPORATES, FIRMS AND OTHERS**

(This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or in case of express permission of clients)

To

GUINNESS SECURITIES LTD

Suite No. 5, Rizvi Nagar, S. V. Road

Near Milan Subway

Santacruz (West) Mumbai - 400 054

Tel : 022 32096452/32097206

SEBI Registration No. : INE231146037

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10/1D, Lal Bazar Street, Kolkata-700001

Ph No: 033-2248 7002 / 2220-0845

SEBI Registration No. INE230813439

Name of Organisation	
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REGISTERED OFFICE DETAILS

Name	
Address	
PIN	
Phone No.	Fax No.

CORRESPONDENCE ADDRESS

<input type="checkbox"/> Registered Office	<input type="checkbox"/> Other
--	--------------------------------

CORRESPONDENCE ADDRESS DETAILS (if other than Regd. Office)

Name	
Address	
PIN	
Phone No.	Fax No.
E-mail ID	Mobile No.

REGISTRATION DETAILS

Date of Incorporation (dd/mm/yy)	
Date of commencement of Business (dd/mm/yy)	
Registration Number (with ROC, SEBI or any government authority)	
Date of Registration (dd/mm/yy)	Place of Registration
Registration Authority	
PAN	Ward No.
Date of Issue (dd/mm/yy)	
Nature of Business	

NAMES OF PROMOTERS / PARTNERS / KARTA AND RESIDENTIAL ADDRESS

Name	Residential Address	D.O.B
1. _____	_____	____/____/____
2. _____	_____	____/____/____
3. _____	_____	____/____/____

(Attach separate sheet , if required)

NAMES OF WHOLE TIME DIRECTORS AND RESIDENTIAL ADDRESS

Name	Residential Address
1. _____	_____
2. _____	_____
3. _____	_____
(Attach separate sheet , if required)	

NAMES AND DESIGNATION OF PERSONS AUTHORIZED TO DEAL IN SECURITIES INCLUDING DERIVATIVES ON BEHALF OF THE COMPANY / FIRM / OTHERS AND THEIR RESIDENTIAL ADDRESS

Name	Residential Address
1. _____	_____
2. _____	_____
3. _____	_____
(Attach separate sheet, if required)	

Details of any action taken by SEBI/Stock exchange/any other authority for violation of securities laws/other economic offences.

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Attach separate sheet if required.

BANK ACCOUNT DETAILS

Bank Name/Branch Address/Phone No.	Date of Opening A/c	Bank A/C No	A/C Type	MICR No.

(Copy of a cancelled Cheque leaf / pass book / bank statement containing name of the constituent should be submitted.)

DEPOSITORY ACCOUNT DETAILS

Name of the DP	DP ID	Name of Beneficiaries ID	Beneficiary ID

INVESTMENT/TRADING EXPERIENCE :

_____ Years in Stocks	_____ Years in Derivatives	_____ Years in Other investment related fields
-----------------------	----------------------------	--

TRADING PREFERENCE

A. Stock Exchanges on which you wish to trade (if the member is registered for such Exchanges) :

(Please tick in the relevant boxes)

1. NSE 2. BSE 3. Others _____ (please mention)

B. Market segments you wish to trade (if the member is registered for such segment) : (Please tick in the relevant boxes)

1. Capital Market / Cash Segment 2. Derivatives Market 3. Debt Market 4. Currency Derivatives Segment Whether registered with any other Broker Member / Sub Broker in India : Yes No

PARTICULARS	MEMBER BROKER	SUB BROKER
Name		
Name of Main Member (In case of Sub Broker)		
Constitution		
Name of Exchange		
SEBI Reg. No.		
Address		
Client Code : (Alloted to you)		

INTRODUCER'S DETAILS

Name	
Father's Name	
Address	
PIN <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Signature	Client Code of Introducer
Relationship with Applicant	Relationship with TM
Designation (if our employee)	

Declaration :

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

The client's Signature / Authorised Signatory:

Signature :

Title: _____

Name of the client :

Witness :

1 .

2.

**The Trading Member's
GUINNESS SECURITIES LTD.***Signature/Authorised Signatory*

Signature :

Title: _____

Name of the Trading Member :
Guinness Securities LimitedWitness :

1 .

2.

For Office Purposes :

Unique Client Code : _____ (To Be Inserted By The Brokerage Firm)

Original documents Verified By _____ Authorised By : _____

Date : _____

Place : _____

MODEL AGREEMENT BETWEEN MEMBER AND CLIENT

This agreement is made and executed at this day of 20..... between :

M/s. Guinness Securities Ltd. a body corporate, incorporated under the provisions of the Companies Act, 1956, being a member of the National Stock Exchange of India Ltd (hereinafter called "the Exchange"), and having its registered office at Suite No. 5, Rizvi Nagar , S.V.Road , Near Milan Subway , Santacruz (West) Mumbai – 400 054 (hereinafter called "the stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the Currency Derivatives Segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part :

And

Mr./Ms/M/s....., an individual/a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/ its residence/ registered office at.....

.....(hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part :

Whereas the stock broker is registered as the stock broker of the Exchange with SEBI registration number INB231146037 in the Capital Market Segment; SEBI registration number INF231146037 in the F and O Segment and SEBI registration number INE231146037 in the Currency Derivatives Segment.

Whereas the client is desirous of investing/trading in those securities / contracts / other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time.

Whereas the client has satisfied itself of the capacity of the stock broker to deal in securities and / or deal in equity / currency derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.

Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and

Whereas the stock broker has taken steps and shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.

Whereas the stock broker and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker at the time of opening of the account or at any time thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
 - a. He has read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his investment decisions and trades.
 - c. The failure of the client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
 - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House / Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate / require.
3. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client.
4. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye -laws of the relevant stock exchange / SEBI.
5. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
6. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate / close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities / obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
7. The stock broker agrees that the money / securities deposited by the client shall be kept in a separate account, distinct from his / its own account or account of any other client and shall not be used by the stock broker for himself / itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars / guidelines / Exchange's Rules / Regulations / Byelaws and circulars.
8. The client agrees to immediately furnish information to the stock broker in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

(Client's Signature)

Client's Signature

Client's Signature

9. The stock broker agrees to inform the client and keep him apprised about trading / settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules / procedures of the relevant stock exchange.
10. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving and paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities, the stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.
11. The client and the stock broker agree to refer any claims and / or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
12. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
13. Information about default in payment / delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity / partnership / proprietary firm or any other artificial legal entity, then the name(s) of director(s) / promoter(s) / Partner(s) / proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).
14. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
15. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
16. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.
17. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
18. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
19. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
20. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in / be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
21. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.
22. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under.
23. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
24. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person / authority except as required under any law / regulatory requirements; Provided however that the stock broker may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement.

Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

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

The client's Signature / Authorised Signatory:

**The Trading Member's
GUINNESS SECURITIES LTD.**

Signature : _____

Signature/Authorised Signatory

Signature : _____

Title:

Title:

Name of the client :

Name of the Trading Member :

Guinness Securities Limited

Witness :

Witness :

1 .

1 .

2.

2.

Note: All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

VOLUNTARY

In addition to the above the parties hereby agree to the below mentioned

- I. **Payment of margins :** The client is liable to pay the initial margins up-front on or before creating a position in any Cash or Derivatives contract. The Trading Member or the said Exchange shall decide upon such margin from time to time. Furthermore the client is liable to pay daily margins depending on whether the price of the Cash, Derivatives and CDS contract moves for or against the position undertaken. The client hereby agrees to make all margin payments as demanded by the Trading Member on square up all or any outstanding position of sale and/or purchase without any notice to the client. The client also authorizes the Trading Member to withhold transfer of shares to his account /family accounts/relative accounts/group accounts in case he/it fails to furnish margin cheques as demanded by the Trading Member and hold the same towards margin requirements.
- II. **Maintenance of Accounts :** The clients agrees to deposit monies, securities or other property which may be required to open and/or maintain its accounts with the Trading Member.
- III. **Excess Contracts :** The client agrees that he shall not, acting alone or concert with others, directly or indirectly, hold and control excess number of permitted futures contracts and shares as fixed from time to time.
- IV. **Long or short position :** The clients agrees that he shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly that it shall have exercised in excess of the number of permitted future contracts and shares as fixed from time to time by the said Exchanges.
- V. **Lien :** The clients agrees that all monies, securities or other property that may be held by the Trading Member on the client's account shall be held subject to a general lien for the discharge of the client's obligation to the stock broker under this agreement.
- VI. The Trading Member and/or its agents will not be liable for losses caused directly or indirectly by Government restriction, Exchanges or market rulings, acts of God, commotion, insurrection, embargo, industrial dispute, suspension of trading, computer, communication, telephone or system failure, war, earthquake, flood, accident, power failure, equipment or software malfunction, strikes or any other condition.
- VII. The client agrees that in the event of Trading Member or any employee or official of Trading Member, providing any information, recommendation or advice to the client, the client may act upon the same at the sole risk and cost, of the client and the stock broker shall not be liable or responsible for the same. The client assumes full responsibility with respect to his investment decision and transactions. The Trading Member, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decision or transaction of the client.
- VIII. **Contract Note :**
 - 1 > The Trading Member shall deliver to the client a contract note of the trades executed on their behalf via e-mail/digitally signed/post or courier. The contract note shall be final and binding proof of the order placed by the client if the client do not object to it within 24 hrs from the receipt of contract note. For the purpose of sending digitally signed contract notes by e-mail, the e-mail id specified by the client in the application form or send by any later communication would be used.
 - 2 > The Client also authorizes the member to deliver the contract note or any other documents at the address provided by the client to any person available at that address.
- IX. In case of payment by the client to the Trading Member on its due date, the member in respect of such delayed payment will charge interest. The said delayed payment shall include amounts payable by the client to the Trading Member in respect of daily margin and mark to market and other related margins and pay-in obligations. Interest will be levied at a maximum rate of 21% p.a. for the delayed period.
- X. The client agrees to furnish such details as regards financial position assets, liabilities etc. as and when required to do so by Trading Member.
- XI. The client hereby agrees to ensure that before selling any shares, he has the same in hand. Any loss arising of auction /close/out on account of shares not cleared in the member account will be borne by the client. The client also agrees to bear any loss arising out of auction due to incomplete instructions, illegal instructions, unclear instructions and instructions not received on time.
- XII. The client hereby authorize the Trading Member to transfer shares, lying in the Trading Members pool account for pay-in-purpose by the client in previous settlements.
- XIII. The Trading Member will not be liable to the client for loss arising due to fire, theft or loss due to human error in case of dematerialised shares, or any other unforeseen circumstances if the shares are in the custody of the Trading Member beyond the stipulated time. In case of dematerialised shares, the Trading Member will be entitled to recover the custody charges from the client, if the deliveries are not transferred out of the Trading Member's depository account within the stipulated time. The member will not be responsible in case pay-in is not done in the proper settlement.
- XIV. The client hereby authorizes the Trading Member to maintain his account on running basis. The client also authorizes the member to hold his credit in anticipation of future debts.
- XV. The client authorizes the Trading Member to appropriate credits lying in his accounts on the cash segment of the Exchange against debits in his accounts on the Derivatives segment of the Exchange and vice-versa through issue of cheques or by passing appropriate Journal entries for the same.
- XVI. The client agrees that he/she/it will not act as sub-broker without prior written pension of the stock broker and without obtaining certificate of registration from Securities & Exchange Board of India (SEBI)
- XVII. The client agrees to accept confirmation/modification/cancellation of an order for the sale or purchase of any securities through oral communication via telephone or otherwise.
- XVIII. The client authorizes the Trading Member to debit his trading account by demat charges (if any) payable to Guinness Securities Ltd.
- XIX. **Proprietary Trading :** The Trading Member discloses herewith that it undertakes proprietary trading in addition to client based trading.
- XX. **Indemnification :** The client shall indemnify and keep indemnified the member harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges, and or expenses that are occasioned to the Trading Member directly or indirectly, owing to bad delivery of shares/securities/or as a result of fake/forged/ stolen shares/securities/transfer documents that are introduced or that may be introduced by or through the client during the course of its dealings/operations on the Exchanges.
- XXI. The Trading Member reserve its right to recover the DP Charges due from the client having Demat Account with the Trading Member from the amount payable to client in any segment of any exchange.
- XXII. The Trading member reserve the right to transfer the funds of respective clients lying in the Clients A/c. of one exchange to the client A/c of other exchange to satisfy the debit balance of the respective Clients in that exchange.
I/we authorise the Trading Member
 - a) To apply for, subscribe to or enter into correspondence with respect to any Initial Public Offers/Offer for Sale of Securities of the companies or any other "Investment Products" offered through the website www.16anna.com (owned by Guinness Securities Limited) or any other means as per the instructions made available to them by me/us by electronic mail or through any other mode as specified on the website or otherwise.
 - b) To sign all applications or any other documents relating to such Initial Public Offers/Offer for Sale or any other investment products.
 - c) To make payment to any party on my/our behalf to fulfil the transaction requested by me/us.
 - d) To forward and such applications placed through the website to the online-IPO module of the concerned Exchange or owner/issuer of "Investment Product".
 - e) To receive intimation from the Exchange and any other party regarding the allocation/allotment/rejection/regret of the securities or such other "Investment Product" applications/ subscriptions/withdrawal or any other communications.
 - f) To deposit/transfer on allotment, the securities, debentures, units of the mutual funds and/or all other investments products applied through Guinness Securities Limited, on allotment, to my/our Beneficiary Ownership Demat Account opened for the purpose with the GSL-DP.
 - g) To do all other acts and things as may be necessary to effect the subscription/purchase/redemption or any other transaction in any Investment Product for which services availed from Guinness Securities Limited.
 - h) To debit my trading account towards monies/securities/fees/charges etc. due to "Guinness Securities Limited" and to discharge all obligation in this regards on my/our behalf to Guinness Securities Limited.

The client's Signature / Authorised Signatory:

Signature : _____

Title:

Name of the client :

Witness :

- 1 .
- 2 .

The Trading Member's
GUINNESS SECURITIES LTD.

Signature/Authorised Signatory

Signature : _____

Title:

Name of the Trading Member :
Guinness Securities Limited

Witness :

- 1 .
- 2 .

VOLUNTARY

From

Name : _____

Client Code : _____

Address : _____

To

Guinness Securities Ltd

(SEBI Regn. No: INB 231146037 / INF 231146037 / INB 011146033 & INF 011146033)

Regd. Office : Suite No. 5, Rizvi Nagar , S.V.Road

Near Milan Subway , Santacruz (West)

Mumbai – 400 054

Dear Sir,

Sub: Mandate to issue Contract Note and Quarterly Statement in digital format

I/We hereby agree and consent to accept the contract notes for transaction carried on by us with you and the quarterly statements of funds and securities (hereinafter referred to as “Quarterly Statement”), in terms of the agreement entered into between us, in Digital form. Digital contracts notes & quarterly statements issued by Guinness Securities Limited as per the terms and conditions specified herein shall be binding on me. I/We undertake to check the contract notes & quarterly statements and bring the discrepancies to your notice within 24 hours and 30 days respectively of such issuance of contract notes & quarterly statements. My/our non-verification or not accessing the contract notes & quarterly statements on regular basis shall not be a reason for disputing the contracts note & quarterly statements at any time. The mandate is subject to terms and conditions mentioned herein below.

This instruction to issue digital contract note & quarterly statements is applicable with immediate effect. This instruction is several to all parties mentioned above.

Yours truly,

Email Id : _____

(Client Signature)

Terms and Conditions for issuance of contract notes & quarterly statements in digital form :

1. The Contract notes & quarterly statements will be issued in digital form in compliance with the guidelines issued by SEBI/Exchange from time to time.
2. Digital contract notes & quarterly statements will be mailed to the E-mail address provided to us in the format as may be prescribed the Exchange from time to time.
3. Digital Contract Notes & quarterly statements will also be available at URL www.16anna.com
4. Clients can view the Digital contract notes & quarterly statements using the username & password through the above URL apart from the contract notes & quarterly statements sent to the client through mail.
5. The digital contract notes will be archived at an interval of 15 days. If the client intends to view the digital contracts notes for a period prior to 15 days client may request for the same in writing. We may charge client for the same.
6. In case of any failure in system or errors in digital contract notes & or quarterly statements, contract notes and or quarterly statements will be issued in the physical form, which shall be binding on the client.
7. Discrepancies, if any, should be sent to the branch or to E-mail at info@guinessonline.net within the time frame mentioned above.
8. Guinness will not be responsible for the bounced mail (Digital Contract & quarterly statements sent to Client)
9. It will be client’s responsibility to regularly check the mailbox and keeping the storage space for new email messages.
10. Any changes in the terms and conditions shall be intimated from time to time.

(Client’s Signature)

VOLUNTARY**ANNEXURE - "A"****UNDERTAKING BY AUTHORISED PERSON**

I Mr. / Mrs. _____ proprietor/dominant partner / dominant shareholder of _____ having _____ do hereby undertake that

Mr./Mrs./M/s. _____ (here in after be called as client) introduced by me/us is having good financial background and have not been declared as defaulter by any stock exchange or any other statutory authority and I shall be responsible, in the capacity of authorised person of Guinness Securities Ltd., having their registered office at Suite No. 5, Rizvi Nagar , S.V.Road , Near Milan Subway , Santacruz (West) Mumbai – 400 054, for all the transactions done by the client so introduced by me/us and in the case of default I/We shall pay the amount standing due in his/her/its account.

Name			
Signature of the Introducer			
Date		Place	

VOLUNTARY**ANNEXURE - "B"****AUTHORITY LETTER FOR RUNNING ACCOUNT / UNDERTAKING CUM AUTHORISATION**

(TO BE GIVEN ON THE LETTER HEAD, IN CASE OF NON INDIVIDUAL CLIENT)

To
GUINNESS SECURITIES LTD.
Regd. Office : Suite No. 5, Rizvi Nagar , S.V.Road , Near Milan Subway , Santacruz (West) Mumbai – 400 054

Ref. : Client Code No. :

Dear Sir,

With reference to my/our the trading account opened with Guinness Securities Ltd. in the name Mr./Mrs./Ms. for the purposes of dealing in C.M., F&O and Currency segments of National Stock Exchange of India Ltd. and Bombay Stock Exchange Ltd., I/we confirm that I/we am/are desirous of regularly dealing in C.M., F&O and CDS segments and have requested you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction on my/our behalf. I/we further request you to retain all amounts payable and securities receivable by me/us until specifically requested by me/us in writing to be settled or to be dealt within any other manner.

I/we understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.

We are also aware that each Trading Member / Clearing Member has to collect Upfront Margin / MTM Margin from their clients / constituents against their open position on Capital Market Segment and Future & Option Segment as well as in Currency Derivatives Segment.

For the above purpose :-

I/We undertake and authorise you to retain our Fund pay-out and security Pay-out with yourself and adjust the same with my/our Margin Obligation in both segments and to make pay in case of subsequent sell out by me/us.

Further I/we authorise you to transfer our Security Payout to our Demat Account only after getting the written instruction or telephonic instruction from me/us. I/We also authorise you to issue the cheque against our Fund Payout after getting the telephonic or written instruction from me/us, otherwise the same will be remained with you against my/our Margin Obligation towards Capital Market, Future & Option and Currency Derivatives Segment. I/we are also aware of the fact that you are carrying on proprietary trading in addition to client based trading. Further I/we undertake that I/we shall enter into any contract regarding sale/purchase of securities and other related trading in my/our own capacity and not on behalf of any other person.

Yours faithfully,

Name			
Signature of the Client			
Date		Place	

ANNEXURE - "C"

Format of Board Resolution in case of Corporate
(To be obtained on pre-printed letterhead of the company)

Certified true copy of the resolution passed in the meeting of the board of directors of M/s.
Ltd. And having its registered office at held on day of 200 at

Resolved that the company do agree to open an account with M/s. Guinness Securities Ltd., Member of the National Stock Exchange of India Ltd. (NSE) and the Bombay Stock Exchange Ltd. (BSE) for the purpose of dealing on Capital Market segment, Futures and Options segments and Currency Derivatives Segment the said the said Trading Member be and is hereby authorized to honour instructions, verbal or written, given on behalf of the company by any of the under noted authorized signatories.

Sr. No.	Name	Designation
1.
2.
3.

Who is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through M/s. Guinness Securities Ltd. on behalf of the company.

Resolved further that Mr. and/or Mr. Directors and/or Mr.
.....Authorised signatory of the company be and is hereby authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

Resolved further that the common seal of the company be affixed, wherever necessary in the presence of any Directors or of any one Director and company secretary, who shall sign the same in token of the presence.

ForLtd.,
(Chairman / Company Secretary)

Specimen signatures of the Authorized persons

VOLUNTARY

Letter of Authority

To
GUINNESS SECURITIES LTD.
Regd. Office : Suite No. 5, Rizvi Nagar , S.V.Road
Near Milan Subway , Santacruz (West)
Mumbai – 400 054

Sub : General Authorisation for operation of Trading Account
Ref. : My Trading Account

Sir,

I/we am/are maintaining a trading account with you bearing Client Code No. Besides, I am also maintaining a Demat account with you and my Client ID. is For the sake of operational convenience, I/We wish to authorize you as follows :

- to transfer the credit/debit balance inter se in each of the ledgers maintained for different services / Exchanges through voucher entry in your books of accounts.
- to deliver or hand over my documents related to my trading account maintained with you to below mentioned person authorized by me and whose signature is attested here in below by myself. Delivery of my Contract notes, quarterly statements, cheques and any other documents related with my trading code shall be deemed as the same has been delivered to myself and I shall not hold the company responsible for non delivery of any documents to my residential / official address.
- to recover the amount due in my demat account from my trading account.

Please take note of the above and do the needful.

Thanking You.

Yours truly,

Signature

Signature of Authorised Representative

Attested by Client

MODEL RISK DISCLOSURE DOCUMENT

RISK DISCLOSURE DOCUMENT FOR CURRENCY DERIVATIVES SEGMENT (TO BE GIVEN BY THE BROKER TO THE CLIENT)

This document is issued by the member of the National Stock Exchange of India (NSE) which has been formulated by the Exchange in coordination with the Securities and Exchange Board of India (hereinafter referred to as "SEBI") and contains important information on trading in Currency Derivatives Segment of NSE. All prospective constituents should read this document before trading in Currency Derivatives Segment of the Exchange.

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

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

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

It must be clearly understood by you that your dealings on NSE through a member shall be subject to your fulfilling certain formalities set out by the member, which may inter alia include your filling the know your client form, client registration form, execution of an agreement, etc., and are subject to the Rules, Byelaws and Regulations of NSE and its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE or its Clearing Corporation and in force from time to time.

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

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

1. BASIC RISKS

1.1 Risk of Higher Volatility :

Volatility refers to the dynamic changes in price that a currency derivatives contract undergoes when trading activity continues on the Stock Exchange. Generally, higher the volatility of a contract, greater is its price swings. There may be normally greater volatility in thinly traded currency derivatives contracts than in active contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity :

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

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

1.3 Risk of Wider Spreads :

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

1.4 Risk-reducing orders :

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

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

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

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

1.5 Risk of News Announcements :

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

(Client's Signature)

1.6 Risk of Rumours :

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

1.7 System Risk :

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

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

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

1.8 System/Network Congestion :

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

2. ADDITIONAL FEATURES

2.1 Effect of "Leverage" or "Gearing"

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

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

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

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

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

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

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

2.2 Currency specific risks

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

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

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

3. GENERAL

3.1 Commission and other charges

Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

3.2 Deposited cash and property

You should familiarise yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which has been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the member, the same shall be subject to arbitration as per the byelaws/regulations of the Exchange.

3.3 For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.

3.4 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of currency derivatives contracts through the mechanism provided by NSE.

3.5 The term 'member' shall mean and include a trading member, a broker or a stock broker, who has been admitted as such by NSE and who holds a registration certificate from SEBI.

I hereby acknowledge that I have received and understood this risk disclosure statement and Annexure-1 containing my rights and obligations.

Customer Signature (If Partner, Corporate, or other Signatory, then attest with company seal)

Date :

Place :

INVESTORS' RIGHTS AND OBLIGATIONS

- 1.1 You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the Currency Derivatives market or the broking firm's insolvency or bankruptcy.
 - 1.1.1 Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.
 - 1.1.2 Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE and the scheme of the Investors' Protection Fund in force from time to time.
 - 1.1.3 Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE or its Clearing Corporation.
- 1.2 Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.
- 1.3 You should exercise due diligence and comply with the following requirements of the NSE and/or SEBI:
 - 1.3.1 Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Currency Derivatives Segment of the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE and whether they are enabled to trade may be verified from NSE website (www.nseindia.com).
 - 1.3.2 Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.
 - 1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving Licence or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by NSE/ SEBI at any time, as is available with the investor.
 - 1.3.4 Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE or its Clearing Corporation from time to time, because this may be useful as a proof of your dealing arrangements with the member.
 - 1.3.5 Give any order for buy or sell of a currency derivatives contract in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.
 - 1.3.6 Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order number, trade number, trade time, trade price, trade quantity, details of the currency derivatives contract, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE, without delaying.
 - 1.3.7 Facility of Trade Verification is available on NSE website (www.nseindia.com), where details of trade as mentioned in the contract note may be verified from the trade date upto five trading days. Where trade details on the website, do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of NSE.
 - 1.3.8 Ensure that payment of funds against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE or its Clearing Corporation. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member.
 - 1.3.9 In case pay-out of funds is not received on the next working day after date of pay-out announced by NSE or its Clearing Corporation, please follow-up with the concerned member for its receipt. In case pay-out is not received as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE.
 - 1.3.10 Every member is required to send a complete 'Statement of Accounts', for both settlements and margins, to each of its constituents, at such periodicity as may be prescribed from time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE, without delaying.
 - 1.3.11 In case of a complaint against a member, you should address the complaint to the Office as may be specified by NSE from time to time.
- 1.4 In case where a member surrenders his membership, NSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE, ensure that you lodge a claim with NSE /Clearing Corporation within the stipulated period and with the supporting documents.
- 1.5 In case where a member is expelled from trading membership or declared a defaulter, NSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE, ensure that you lodge a claim with NSE within the stipulated period and with the supporting documents.
- 1.6 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye -laws and the scheme under the Investors' Protection Fund (IPF) may be payable as prescribed by SEBI.

Notes:

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE for the purpose of buying and / or selling of currency derivatives contract through the mechanism provided by NSE.
2. The term 'member' shall mean and include a member or a broker or a stockbroker, who has been admitted as such by NSE and who holds a registration certificate from SEBI.
3. The term 'contract' refers to currency derivatives contract and the term 'underlying' refers to the underlying currency of such currency derivatives contracts.

(Client's Signature)

Date :

Place :

FOR OFFICIAL USE ONLY

(Only for Defective Forms)

Date of First Receipt of Agreement: ____ / ____ / ____

Reason/s for Return, if any :

Rectified / Corrected (✓)

01. _____

02. _____

03. _____

04. _____

05. _____

06. _____

07. _____

08. _____

09. _____

10. _____

Name of Returning Official : _____

Signature of Returning Official : _____

Date of Return : ____ / ____ / ____

Corrected Form Received on : ____ / ____ / ____

Note :

Please ensure that no point is left blank. In case there are no points to mention, write "N.A" in that point.