

# TRADING BELLS

Client Code :

DP BO ID :

## Ringing Profits



### DEMAT+TRADING CLIENT REGISTRATION FORM

Name : .....

Branch : ..... Reg. Date : .....

Sub Broker : ..... Group : .....

Powered by :  
**swastika investmart**  
THE WEALTH MAKERS

Group : Member of NSE, BSE, MCX, NCDEX, MSEI DP : CDSL & NSDL




## INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	KRA Form and Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list.	1 to 7
		B. Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list.	
2.	Policies and Procedures	Document describing significant policies and procedures for client dealing in all Exchanges	8
3.	Rights and Obligations Documents of BO & DP	Rights & obligations documents of BO & DP for a person seeking to open a beneficial owner's account. (for opening of Demat Account)	<b>SEPARATE COPY FOR CLIENT</b>
4.	Rights and Obligations of Members, Authorized persons and Clients	Document stating the Rights & Obligations of Member/ Authorised person/Sub Broker and Client for trading on Exchanges (including addition rights & obligations in case of internet/wireless technology based trading).	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
6.	Guidance Note - Do's and Don'ts	Document detailing do's and don'ts for trading on Exchange, for the education of the investors.	
7.	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on Exchanges & DP Service charges/Fee Structure	14-15

### VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER

1.	Running Account Authorisation	Authorisation to maintain Running Account	9
2.	Voluntary Terms & Conditions	Additional terms & conditions specific to clients for the purpose of operational efficiency.	9 to 12
3.	Option for P.O.A. Executors to issue the Book of Delivery Instruction Slip (DIS)	Option for P.O.A. Executors to issue the Book of Delivery Instruction Slip (DIS)	12
4.	Power of Attorney	Power of Attorney for pay in of securities for the purpose of settlement obligation (for Demat Account Holder only)	13
5.	Application for SMS Alert Facility (for Demat Account)	Facility provided by the CDSL for the SMS alert for demat account & it is compulsory in the case of POA given by the client	16

#### **Instruction for Applicant :**

- Please sign the application form on the places marked as  for trading & demat Account,  for Demat Second Holder Account,  for Demat Third Holder Account.
- Signature can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public under his/her official seal.
- All fields provided in the Client "KYC" (Know Your Client) Form and the Agreement together with other Letters/Undertaking/ Authorization Should be duly filled. In case of information in a field not being available, the words "N.A." or "NIL" should be mentioned. Any correction/ overwriting also should be authenticated by the client by signing besides such correction.

**KYC CHECKLIST (Please Tick Wherever Appropriate)**

Acceptable Documents (Copies of all documents to be self attested)		Please Tick
<b>PAN Card</b>	Account Holder & Joint Holder's (If any)	
<b>Photograph</b>	One Colored Front Face Photograph on photographic Paper (Passport Size)	
<b>Additional Proof of Identity (Any One)</b> (If Pan card not visible OR Pan card sign & signature in KYC form are different)	1. Unique identification number (UID) (Aadhaar)	
	2. Valid Passport (Name, Address & Photo page)	
	3. Voter ID (front and back)	
	4. Valid Driving License (Name, Address & Photo page)	
	5. PAN Card	
	6. Other 1 (Pls. Specify) _____	
<b>Proof of Address (Any One)</b> Permanent / Correspondence	1. Valid Passport (Name, Address & Photo page)	
	2. Voter ID (front and back)	
	3. Valid Driving License (Name, Address & Photo page)	
	4. Unique identification number (UID) (Aadhaar)	
	5. Bank Statement/Passbook (not more than 3 months old must contain complete address of client)	
	6. Banker's Verification Letter	
	7. Electricity Bill (not more than 2 months old)	
	8. Resident Landline Tel. Bill (not more than 2 months old)	
	9. Registered Flat Sale Agreement of Residence	
	10. Registered Lease/Leave & License Agreement	
<b>Bank Proof With MICR / IFSC Code (1st Holder only)</b>	1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)	
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)	
	3. Cancelled Personalized Cheque leaf	
<b>Demat Proof (Any One) (1st Holder only)</b>	1. Client Master (CML copy duly attested by DP)	
	2. DP Statement / Transaction cum Holding Statement	
<b>Proof of Income (Any One)</b> (Mandatory for F&O / Currency Segments) (1st Holder only)	1. Copy of ITR Acknowledgement	
	2. In case of salary income - Salary Slip, Copy of Form 16	
	3. Net-worth certificate (Not more than 1 year old)	
	4. Copy of Demat Account Holding Statement	
	5. Bank Account Statement for last 6 months reflecting income	

**FOR OFFICE USE ONLY (To Be Filled By Head Office Executive)**

Client Verification Report	Yes	No	Other Information					
Client Name	<input type="checkbox"/>	<input type="checkbox"/>	<b>Exchange</b>	NSE <input type="checkbox"/>	BSE <input type="checkbox"/>	MCX-SX <input type="checkbox"/>	DEMAT <input type="checkbox"/>	POA <input type="checkbox"/>
Fathers / Husband Name	<input type="checkbox"/>	<input type="checkbox"/>	<b>Client Code</b>					
Correspondence Address	<input type="checkbox"/>	<input type="checkbox"/>	<b>BO ID</b>					
Permanent Address	<input type="checkbox"/>	<input type="checkbox"/>	<b>Mode of Trading</b>	OFF-LINE <input type="checkbox"/>	ON-LINE <input type="checkbox"/>			
Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<b>Other Requirement</b>	Back Office ID <input type="checkbox"/>	Swastika Messenger <input type="checkbox"/>			
Mobile Number	<input type="checkbox"/>	<input type="checkbox"/>	Verified from Mr. / Mrs. / Ms. .... at ..... AM / PM on .....					
Bank Detail	<input type="checkbox"/>	<input type="checkbox"/>	Phone / Mobile ..... by (SIL Staff) .....					
E-mail ID.....								
<b>Original Documents and PAN Verification from Income Tax Database :</b>								
Verified By			Authorised by					
Signature :			Signature :					
Name :			Name :					

**INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM**

**IMPORTANT POINTS:**

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case - the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government / judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
12. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
13. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank Multinationa Foreign Banks / Gazetted Officer/Notary public/ Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
14. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc.,to their Members.
15. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
16. The proof of address in the name of the spouse may be accepted.
17. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
18. Swastika Investmart Limited (hereinafter referred as 'SIL').

<b>FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL</b>				
Client Name				
		First / Sole Holder	Second Holder (if any)	Third Holder (if any)
1.	Are you U.S. Person ? (Refer KYC Handout - Customer Copy)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other
3.	Specify Country of Citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other

**Note :** If you are a U.S. person and /or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA/CRS.

This declaration form can be downloaded from [www.swastika.co.in](http://www.swastika.co.in)

(1/17)

(First/Sole Holder Signature)

(Second Holder Signature)

(Third Holder Signature)



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

Please fill in **ENGLISH & BLOCK LETTERS**  
with **Black/Blue ink & tick the appropriate options**

New  Update

**A. IDENTITY DETAILS**

<b>1. Name of Applicant</b>			
<b>2. Maiden Name</b>			
<b>3. Father's/Spouse Name</b>			
<b>4. Mother Name</b>			
<b>5. a. Gender</b>	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	<b>PHOTOGRAPH</b> Please affix your recent passport size photograph and sign across it  (2/17) Signature of First/Sole Holder	
<b>b. Date of Birth</b>	<b>c. Marital Status</b> <input type="checkbox"/> Single <input type="checkbox"/> Married		
<b>6. Nationality</b> <input type="checkbox"/> Indian	<b>7. Status</b> <input type="checkbox"/> Resident Individual		
<b>8. PAN</b>	Aadhaar		
<b>9. Specify the proof of identity submitted</b>			

**B. ADDRESS DETAILS**

<b>1. Residence / Correspondence Address</b>							
City/Town/Village				District			
Pin Code		State		Country		<b>INDIA/</b>	
<b>2. Contact/Mobile No.</b>				Tel. (Office)			
Email id				Tel. (Res.)			
<b>3. Specify the proof of address submitted</b>							
<b>4. Permanent Address</b> (if different from above correspondence address)							
City/Town/Village				District			
Pin Code		State		Country		<b>INDIA/</b>	

**DECLARATION**

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

I hereby consent to receiving information from **Central KYC Registry through SMS/Email on the above registered number/email address**

Date	Place	Signature of Applicant	(3/17)
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**FOR OFFICE USE ONLY**

Particulars	Documents Verified with Originals	Client Interviewed By & In-Person Verification done by	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date  Seal / Stamp
Details of Employee			
Name & E Code			
Designation			
Date			
Signature			



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

Please fill in **ENGLISH & BLOCK LETTERS**  
with **Black/Blue ink & tick the appropriate options**

**SECOND HOLDER**

**A. IDENTITY DETAILS**

New  Update

<b>1. Name of Applicant</b>			
<b>2. Maiden Name</b>			
<b>3. Father's/Spouse Name</b>			
<b>4. Mother Name</b>			
<b>5. a. Gender</b>	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Transgender
<b>b. Date of Birth</b>			<b>c. Marital Status</b> <input type="checkbox"/> Single <input type="checkbox"/> Married
<b>6. Nationality</b>	<input type="checkbox"/> Indian	<b>7. Status</b>	<input type="checkbox"/> Resident Individual
<b>8. PAN</b>			Aadhaar
<b>9. Specify the proof of identity submitted</b>			

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

Signature of Second Holder

**B. ADDRESS DETAILS**

<b>1. Residence / Correspondence Address</b>			
City/Town/Village			District
Pin Code	State	Country	<b>INDIA/</b>
<b>2. Contact/Mobile No.</b>			Tel. (Office)
Email id			Tel. (Res.)
<b>3. Specify the proof of address submitted</b>			
<b>4. Permanent Address</b> (if different from above correspondence address)			
City/Town/Village			District
Pin Code	State	Country	<b>INDIA/</b>

**DECLARATION**

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

I hereby consent to receiving information from **Central KYC Registry through SMS/Email on the above registered number/email address**

Date \_\_\_\_\_ Place \_\_\_\_\_ Signature of Applicant \_\_\_\_\_

**FOR OFFICE USE ONLY**

Particulars	Documents Verified with Originals	Client Interviewed By & In-Person Verification done by
Details of Employee		
Name & E Code		
Designation		
Date		
Signature		

Seal/Stamp of the intermediary should contain  
Staff Name  
Designation  
Name of the Organization  
Signature  
Date

**Seal / Stamp**

**TRADING & DEMAT ACCOUNT RELATED DETAILS**

<b>TYPE OF ACCOUNT</b> <input checked="" type="checkbox"/> Individual	<b>Sub Status</b> <input type="checkbox"/> Resident <input type="checkbox"/> Other
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**A. BANK ACCOUNT DETAILS**

**Bank 1 : Bank Name & Branch Location**

<b>Account No.</b>	<input type="checkbox"/> Savings <input type="checkbox"/> Current
<b>MICR Code</b>	<b>IFSC Code</b>


**Bank 2 : Bank Name & Branch Location**

<b>Account No.</b>	<input type="checkbox"/> Savings <input type="checkbox"/> Current
<b>MICR Code</b>	<b>IFSC Code</b>

**B. DEPOSITORY ACCOUNT DETAILS (DP1 DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)**

	DP 1 Details	DP 2 Details
<b>Depository</b>	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
<b>DP Name</b>	<b>Swastika Investmart Limited</b>	
<b>Client Name</b>		
<b>DP ID</b>	<b>IN 303833 / 12043700</b>	
<b>Client ID</b>		

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

Exchange	Segment	Client Signature	 Please sign here to select all the segments
NSE/BSE/MCX-SX	Cash/Mutual Fund		
NSE/BSE/MCX-SX	F&O		
NSE/BSE/MCX-SX	Currency Derivative		

If, in future, the client wants to trade on any New Segment/New Exchange, separate authorization/ letter will be taken.

**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 /authorized persons in charge of dealing in securities during the last 3 years :

No  If yes, please specify

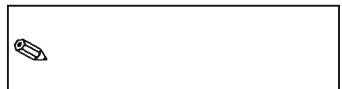
**E. INTRODUCER DETAILS**




**Status of Introducer**  Sub-broker/AP  Employee  Existing Client  Others (Specify):

**Introducer Name :**

**Address:**

**Mobile No:**

**Signature of the Introducer** 

<b>F. DEALING THROUGH SUB BROKER / AUTHORISED PERSON (AP) / OTHER STOCK BROKERS</b>		
If Yes, please specify:		
Name of Stock Broker	Name of SB/AP	
Name of Exchange	Client Code (as given by other broker)	
Details of disputes/dues pending from/to such stock broker/sub-broker:		
Whether you are a Member / Sub-broker / AP of any Exchange <input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, provide SEBI REGISTRATION NO:		
<b>G. STANDING INSTRUCTIONS / OTHER DETAILS / EMAIL-SMA ALERT / CONTRACT NOTE PREFERENCE</b>		
<b>Contract Note / Holding &amp; Transaction Statement</b>	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical	
<b>Receive Delivery Instruction Slip</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	
<b>Share Email ID with Registrar &amp; Transfer Agent</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	
<b>Receive Annual Report</b>	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both	
<b>DP Accounts Statement</b>	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly	
	<input type="checkbox"/> As per SEBI Regulation	
<b>Declaration for Mobile Number</b>	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent	
<b>SMS Alert Facility</b> <small>Refer to Terms &amp; Conditions given as Annexure - 2.4</small>	Mobile No. +91..... [(Mandatory, if you are giving Power of Attorney (POA)) (if POA is not granted & you do not wish to avail of this facility, cancel this option).]	
<b>Transactions Unsg Secured Texting Facility (TURST)</b> <small>Refer to Terms and Conditions Annexure - 2.6</small>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same <input type="checkbox"/> Yes <input type="checkbox"/> No	
	I/We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TRUST	
	<b>Stock Exchange Name / ID</b>	<b>Clearing Member Name</b>
<b>Easi</b>	To register for easi, please visit our <b>website : <a href="http://www.cdslindia.com">www.cdslindia.com</a></b> Easi allows a BD to view his ISIN balances, transactions and value of the portfolio online.)	
<b>H. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002</b>		
<b>Experience</b>	Number of years of Investment / Trading Experience <input type="checkbox"/> <input type="checkbox"/>	
<b>Gross Annual Income</b>	<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"/> >25 Lacs	
	<b>OR</b> Net Worth in (*Net worth should not be older than 1 year) as on date DD / MM / YYYY	
<b>Occupation (Please Tick)</b>	<input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service	
	<input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist	
	<input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Pls Specify) _____	
<b>Nature of Business</b>	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading	
	<input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____	
<b>Is the Client Politically Exposed Person (PEP) or Related to PEP</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>DECLARATION</b>		
I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP/Stock broker any change(s) in the details / particulars mentioned by me / us in this form. I/We further agree that any false/misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action. <b>I/We have received, read and understood the 'Rights and Obligations Document'</b> for trading and DP Services, 'Risk Disclosure Document', 'Guidance Note' and agree to abide by and be bound by the same and by the Bye-Laws as are in force from time to time. I/We also confirm having read/been explained and understood the contents of the document on policy and procedures of the stockbroker and the tariff sheet. I / We have also the informed that the standard set of documents has been displayed for information on stock		
Date:		
Place: _____	 (First/Sole Holder Signature)	 (Second Holder Signature)
		 (Third Holder Signature)




**NOMINEE DETAILS FOR TRADING AND DEMAT ACCOUNT**

Date	D	D	M	M	Y	Y	Y	Y	DP ID					Client ID					
<input type="checkbox"/> I/We wish to make a nomination <input type="checkbox"/> I/We do not wish to make any nomination																			
Name																			
Share of Nominee %																			
Address										<input type="checkbox"/> Same as 1st Address <input type="checkbox"/> Else fill below details									
City										Pin Code									
Relationship with the Applicant																			
Date of Birth																			
Mobile / Tel. No. of Nominee																			
E-mail ID of Nominee															<b>PHOTOGRAPH</b> Please affix your recent passport size photograph and sign across it				
<b>Nominee Identification details</b> (Please tick any one of the following and provide details of the same)																			
<input type="checkbox"/> Photograph and Signature					<input type="checkbox"/> PAN														
<input type="checkbox"/> Address					<input type="checkbox"/> Saving Bank A/c. No.														
<input type="checkbox"/> Proof of Identity					<input type="checkbox"/> Demat Account ID														
<b>Guardians details (if Nominee is a minor)</b>																			
Date of Birth (in case of minor nominee)																			
Name of Guardian																			
Address of Guardian																			
Mobile / Tel. No. of Guardian																			
E-mail ID of Guardian										<b>PHOTOGRAPH</b> Please affix your recent passport size photograph and sign across it									
Relationship of Guardian with Nominee																			
<b>Guardian Identification details</b> (Please tick any one of the following and provide details of the same)																			
<input type="checkbox"/> Photograph and Signature					<input type="checkbox"/> PAN														
<input type="checkbox"/> Address					<input type="checkbox"/> Saving Bank A/c. No.														
<input type="checkbox"/> Proof of Identity					<input type="checkbox"/> Demat Account ID														
										Name(s) of Holder (s)					Signature(s) of Holder (s)				
Sole / First of Holder / Guardian (in case of sole holders is minor)															🔔 (6/17)				
Second Holder															👉				
Third Holder															🔗				
<b>Signature of Witnesses for Nomination</b>																			
Name & Address of Witness															Signature of Witness				
1																			
2																			
<b>Note : In case of more than one nominee than separate form will be attached.</b> Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage pf share for each nominee that shall total upto hundred percent. 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.																			

**POLICIES AND PROCEDURES FOR CLIENT DEALINGS ALL EXCHANGES - MANDATORY  
(as required by SEBI circular MIRSD / SE / Cir-19/2009 dated December 3, 2009)**

1. **Delayed payment charges / Penalty:** The Client agrees that without prejudice to any other remedy or right prescribed in the present, the trading member may charge delayed payment / penalty charges on the debit balance of the client which is not settled as per exchange norms, upto 36% per annum.
2. **Penny / Illiquid Stocks:** The Client Understands and agrees that the trading member may at any time at its sole discretion and without prior notice, refuse, prohibit or restrict the client's ability to place orders or trades in penny / illiquid stocks. For this purpose penny / illiquid stock means stocks which are appearing in the list of illiquid securities issued by the exchanges every months.
3. **Setting up exposure Limit:** The client is aware & agrees that the trading member may need to vary or reduce the exposures limit or impose new limits urgently on the basis of trading members risk perception and other factors considered relevant by the stock brokers. The trading member may be unable to inform the client of scuh variation, reduction or imposition in advance.
4. **Brokerage rate:** The client understands and agrees that the trading member charge brokerage and other statutory charges and levies as per the rates mentioned in the schedule of charges.
5. **Position Square off:** The client is aware and agrees that in case of debit balance in client account, non payment of margin or client's dues as per exchange norms, the trading member may sell client securities or close client's position, without giving any notice to the client and loss / profit arise on such transaction will be treated as norms profit / loss of the client.
6. **Internal Shortage:** In case of internal shortage of securities, any entry passed to the account of the client in accordance with the practice consistently followed by the trading member across all its client shall be binding on the client. Further in case of shortage of securities, the client aggress and authorize trading member to buy shares on behalf of the client and debit the amount for the same to the client trading account maintained with the trading member.
7. **Restrictions on further position or close out:** the client is aware and aggress that in case of insufficient balance in his trading account on account of pay in / MTM margin obligation or non payment of client's dues as per the exchange norms, the trading member may refuse to take further position and / or close the existing position of client to make client account good.
8. **Temporary Suspension or closing:** The client shall be entitled to temporarily suspend / close his account without giving any reason to the trading member, after giving notice in writing. Notwithstanding any such termination, all rights, liabilities and obligation of the parties arising out of or in respect of transactions entered in to prior to the termination of this agreement shall continue to subsist and vest in / be binding on the respective parties.
9. **Deregistering:** In the event of default under this agreement by the client, the trading member shall be incomplete entitled to any or all of the following course of action:
  - I. Immediate termination of this agreement and termination of the provisions or services in terms of this agreement.
  - II. Other remedies as may be available in terms of law inforce, at that point of time.
  - III. Arbitration in terms of this agreement.
10. **Policy for treatment of inactive accounts and process for reactivation:** If the client has no open position and is inactive for more than six months then the account would be suspended for trading. If there is any credit available in the Client's margin account with us, it would be refunded at the client's request. If the client is desirous of reactivating his account post the suspension, then he will have to send a written request for reactivation.

Date:
Place: _____

Client Signature  (7/17)

## STANDING INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY DOCUMENT)

I / We request you to maintain my/our accounts for funds and securities on running accounts basis instead of 'bill to bill settlement basis, unless I/we specifically request you for a payout of available free funds or securities in the account. You may settle the accounts at Monthly/Quarterly (strike off whichever is not applicable, else the option will be considered as Quarterly) or at such other intervals as SEBI/Stock Exchanges may specify from time to time. I / We further authorize you to retain securities and/or funds as may be permitted by Stock Exchanges/SEBI from time to time or towards other unbilled services and/or charges applicable on my account, while settling the accounts. **I/We further authorize you to also retain an**

**amount of up to Rs. 10,000/- (Ten Thousand Only) or any other sum as may be permitted by SEBI / Stock Exchanges from time to time**, while settling my / our account. I/We understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that Swastika Investmart Limited shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

Date: _____
Place: _____

 (8/17)  
(Client Signature)

## VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open securities trading accounts with **Swastika Investmart Limited, (hereinafter referred as SIL)** for the purpose of trading in Capital Market Segment , Futures & Options and Currency Derivative Segments of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., and the MCX Stock Exchange Ltd. and Mutual Fund transactions Facilities offered by SEBI recognized Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by SIL and also the additional services that may be made available by SIL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

appropriate to itself all such securities, funds or properties at its sole discretion & at any point of time.

- 1. Authorization to debit additional charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that SIL may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by SIL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with SIL Broking.
- 2. Payment by cheque :** Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favour of SIL only upon realization of the funds of the said cheque / pay order / demand draft.
- 3. Lien:** All securities, funds and/or properties of the Client as may be permitted by the Exchange(s) from time to time to be placed with SIL shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of SIL. SIL shall be entitled to withhold such securities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or

- 4. Authorization for delivering / pledging shares:** The client understands and agrees that SIL may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of SIL to enforce, at its option, the collateral security in the securities to recover the debit balance at any time.
- 5. Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes SIL to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock purchased/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of SIL.
- 6. Disclaimer:** The Client understands and agrees that neither SIL nor any other party disseminating any market data, message or information through the Website of SIL or in any other media shall be liable for:
  - (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
  - (b) **Any loss or damage arising from or occasioned by**
    - (i) Any such inaccuracy, error, delay or omission, (ii) Nonperformance,
    - (iii) Interruption in making available any such data, information or message, due to either any act or omission by SIL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection,

riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of SIL or any disseminating party.

7. **Manner/Mode of placing orders/instructions & Nonexecution/delay/cancellation of Orders:** The Client may communicate orders and other instructions to SIL or the subbroker/ authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the through designated office. The client hereby agrees that SIL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading beyond the control of SIL or the Exchange.
8. **Non-execution/delay/cancellation of Orders :** The client hereby agrees that SIL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, malfunctioning of the online as well as offline trading service, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of SIL or the Exchange.
9. **Client not to act on representations of agents, employees:** Client is aware that SIL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of SIL.
10. **Recording of Conversation:** The client is aware and agrees that SIL may tape record the conversation between the client/client's representative and SIL, whether over the telephone or in person. SIL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
11. **Confidentiality of Client Details:** SIL may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by SIL to any person or entity including but not limited to any independent third parties or any entities of SIL Group, whether within or outside India, of any information and data relating to Client or relating to Client's trading account with SIL for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
12. **Disclosure as to Proprietary Trades by SIL:** SIL may carry out proprietary trades in addition to trades on behalf of its Clients.
13. **Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
14. **No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
15. **Notices:** All notices or communications issued by SIL shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
  - 15.1 (a) By ordinary post or (b) By registered post (c) Under certificate of posting or (d) By express delivery post or (e) by SMS on registered mobile or by telephonic call or (f) By affixing it on the door at the last known business or residential address or (g) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (h) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (i) By publishing it in the website of SIL wherein secured login-id and password to Client is provided or (j) By a notice posted on the notice board of the Exchange if no address be known or (k) By electronic mail or fax or (l) By hand delivery or By Courier or any other mode as may be allowed for communication.
  - 15.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between SIL and the Client may be made orally.
16. **Electronic Contract Note (ECN) :**
  - 16.1. Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through provided e-mail id in KYC Application Form at page No. 3.
  - 16.2. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform SIL either in writing or via E-mail within reasonable time of the receipt of the same. SIL shall also publish the Contract Note on the Web site [www.swastika.co.in](http://www.swastika.co.in) on any other designated location specified by SIL from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, SIL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy).

Client's failure to advise SIL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.

16.3 1. The client agrees to accept the transaction carried by him/her/them in digital form through internet such as copies of ledgers, Bills, Margin Statements, Statement of accounts of funds & securities and any other information / documents through internet to my/our Registered E-mail ID.

2. Client undertake to check the contract notes / Bills on regular basis and bring the discrepancies to your notice within 24 hours of issuance at any time. Non verification or not accessing the internet on regular basis shall not be a reason for disputing about the documents.

3. Client shall ensure that these mail ids are kept valid and any change in my/our e-mail ids shall be communicated to you in writing.

4. Client aware that non receipt of bounced mail notification by you, shall amount to delivery of contract notes/bill/Statement of accounts/other documents at my/our e-mail id.

5. Client also aware that the copies of the contract notes are also available at your website www.swastika.co.in for which I/we have been provided with an user id and password.

6. Client aware that in case of any failure in system or error in digital contract notes, the same will be provided in physical form, which shall be binding on me/us

**17. Participate to provide the transaction statement through internet (web-based and /or email) (D.P.)**

The Client has agreed and permitted the participant to provide the transaction statement through internet (web-based and/or email) as follows :

1. The participant shall install adequate system to restrict the access of the transaction statement only to the client and client shall also take necessary steps to ensure confidentiality and secrecy of the login name and password.

2. In case of change in email address, client immediately inform the Participant and participant shall verify and confirm with the client. Further, the participant shall confirm with the client about validity of the email address at least one in a year.

3. The client agrees not to receive transaction statement in physical form from the participant, until and unless due to any unforeseen problems.

4. The client shall have the right to terminate these agreed terms and conditions after giving a notice of at-least 10 days to the other parties.

**18. Electronic Transmission of other Documents:** The Client who have opted for ECN agrees that SIL may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices / communications in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non

delivery of SMS notification, SIL shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of SIL within reasonable time from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.

**19. Electronic Payment Gateway for Net Banking Services:**

SIL may provide on its internet trading website, access to Electronic Payment Gateways provided by various banks / service providers for facilitating transfer of funds from Client's bank account to the account of the Client with SIL. Client understands that SIL is only providing access to the electronic fund transfer facility provided by the banker/ service providers of the Client through SIL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make SIL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that SIL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank. SIL can levy charges against the facility.

**20. Internet / Wireless Technology based Trading facility:**

20.1. SIL offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond issues or any other issues of securities or services to apply/purchase/redeem/ sale/buyback or otherwise deal in the units of Mutual Funds (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to SIL over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by SIL by complying with the formalities prescribed therefore.

20.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as SIL may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of SIL.

20.3. The client understands and agrees that SIL has different product of the Internet Trading /Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, SIL shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

# TRADING

## BELLS

20.4. Orders of Client subject to review by SIL: The Client agrees that the SIL may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client's order or may result in rejection of such order."

**21. Extra Ordinary Events and termination/ suspension of trading facility:** SIL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond SIL's control resulting in nonexecution, partial or incomplete execution of orders and the resulting financial loss, if any SIL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

**22. Amendments to the terms and conditions:** SIL reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.

**23. Mutual Fund Service System Facility / BSE Star MF:** Client is registered with SIL Broking and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). In case client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities). Know Your Client details as submitted by the client for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be

specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy)

**24.** Parties agree that all claims, differences or disputes between them, arising out of or in relation to this agreement, any contracts, dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.

I/We hereby confirm to have read and understood the terms and conditions as mentioned above and agree to abide by the same.

Date:
Place: _____

(9/17)
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Client Signature

### OPTION FOR P.O.A. EXECUTERS TO ISSUE THE BOOK OF DELIVERY INSTRUCTION SLIP (DIS)

Date :	D	D	M	M	Y	Y	Y	Y
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<b>Sub:</b>	<b>DP ID</b>									<b>Client ID</b>							
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Dear Sir /Madam,

I hereby confirm that I/we have issued a Power of Attorney (POA)/executed in favour of Swastika Investmart Ltd. for executing delivery instructions for setting stock exchange trades [settlement related transactions].

I/We hereby request you to : [Select one of the options given below]

- OPTION 1:** Issue Delivery Instruction Slip (DIS) book to me/us immediately on opening my/our Demat account.
- OPTION 2:** Do not Issue the Delivery Instruction Slip (DIS) to me.

The Delivery Instruction Slip (DIS) booklet may be issued to me /us immediately on my/our request at any later date.

Yours faithfully,

Date:
Place: _____

(10/17)
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(First/Sole Holder Signature)

--

(Second Holder Signature)

--

(Third Holder Signature)

(VOLUNTARY DOCUMENT)

**POWER OF ATTORNEY**

To all to whom these presents shall come I/we  
\_\_\_\_\_  
&  
\_\_\_\_\_  
&  
\_\_\_\_\_

individual/partnership firm/ corporate, being Indian inhabitant send(s) greetings. Whereas I/we have a beneficial owner account number 12043700/IN303833

hereinafter referred to as the said 'BO account') with M/s Swastika Investmart Limited (Hereinafter called as "Swastika" & also as "DP") DP ID 12043700/IN 303833 with CDSL or NSDL, We also have the trading/ investment account with Swastika and I/we am/are desirous of appointing an agent / attorney to operate said account on my behalf in the manner hereinafter appearing. Now know we all and these presents witness that I/we, the above named, do hereby nominate, constitute and appoint M/s Swastika Investmart Limited an Indian company registered under Companies Act, 1956 acting through its Directors and/or Officers authorised for the purpose, as our true and lawful attorney(s) (herein after referred to as "the attorney(s)") for me/us and on my/our behalf and in my/our name, to do the following acts, deeds and things and exercise the following powers and authorities;

1. To do all such thing and give all such instructions as mentioned below concerning the said account as I/we myself/ourselves could give if I/we was/were personally present.
2. To treat the balance in my BO account as margin against my transactions in capital and derivative segment and to pledge/ unpledge the same with the Swastika or NSE or BSE or MSEI clearing member as margin deposit.

3. To instruct DP to transfer the shares to Swastika margin account as per **Schedule-1** & pledge/ unpledge the same with the NSE/BSE/MSEI or clearing member as margin deposit.
4. To instruct the DP to debit securities to the said BO account and/ or transfer securities from the said account to Swastika CM account as per **Schedule-2** to the extent of shares sold by me/us for pay-in obligations towards any stock exchange.
5. To apply for and subscribe to, on my/our instruction, Initial public offering/Mutual Funds of various asset management companies through online/offline platform and to perform, do, undertake, discharge all incidental and ancillary acts, deeds, matters, things, functions and obligations in connection therewith.
6. To instruct the DP to debit securities to the said account, which have been wrongly credited in my BO account.
7. To transfer charges levied in my BO account to my trading ledger account of NSE/BSE/MSEI.

Please affix special adhesive stamp  
Or  
Execute on Stamp Paper

And for all or any of the purpose aforesaid, to appoint from time to time a substitute or substitutes and revoke such substitution. The appointment of any such substitute shall not affect or prejudice the rights or powers of the Attorney to act hereunder and the Attorney may continue to do so notwithstanding such appointments.

And I hereby agree and confirm that the powers and authorities conferred by this power of attorney shall continue until I inform to the contrary, in writing duly acknowledged by DP.

Schedule -1 MARGIN ACCOUNT DETAILS			
Account Type	DP ID	DP Name	Client ID
Cash Segment Margin Account	12043700	Swastika Investmart Limited	1204370000006966
F&O Segment Margin Account	12043700	Swastika Investmart Limited	1204370000007119

Schedule -2 CM ACCOUNT DETAILS				
Account Type	CM BP ID	DP ID	DP Name	Client ID
NSDL NSE CM Pool Account	IN565996	IN303833	Swastika Investmart Limited	10000047
NSDL BSE CM Pool Account	IN655953	IN303833	Swastika Investmart Limited	10000055
NSDL MSEI CM Pool Account	IN470848	IN303833	Swastika Investmart Limited	10001550
CDSL NSE CM Pool Account	M51128	12043700	Swastika Investmart Limited	1204370000100532
CDSL BSE CM Pool Account	942	12043700	Swastika Investmart Limited	1204370000098288
CDSL MSEI CM Pool Account	48300	12043700	Swastika Investmart Limited	1204370000248772

Date: \_\_\_\_\_  
Place: \_\_\_\_\_

(First/Sole Holder Signature)

(Second Holder Signature)

(Third Holder Signature)

Signature of Witness :

Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

I/We accept (Swastika Investmart Ltd.)

Authorised Signatory \_\_\_\_\_

Date \_\_\_\_\_

**A. DEMAT TARIFF SCHEDULE**

Account Opening - Documentation Charges	
Equity (Trading + Demat)	Rs. 300/-
Commodity (Trading)	Rs. 200/-
ANNUAL MAINTENANCE CHARGES (AMC)	
a Individual & HUF	NIL
b Corporate	Rs. 750/-
DEMAT TRANSACTION CHARGES	
a Buy (Receive shares in your Demat Account)	Nil
b Sell (Send shares from your Demat Account)	Rs. 15 per scrip irrespective of quantity + GST
Demat (Per certificate)	Rs. 2/- (Min. Rs. 10/-) (Postage charges extra)
Remat	Rs. 12 for every 100 securities (Min. Rs. 50/-) (CDSL or NSDL charges extra)
PLEDGING	
Pledge Request	Rs. 25/- per security
Unpledge Request	Rs. 25/- per security
Pledge Invocation	Rs. 25/- per security
DELIVERY INSTRUCTION	
a First Delivery Instruction Booklet	Free
b Every Additional Booklet	Rs. 100/- (Postage charges extra)
PERIODIC STATEMENT	
a By Email	Free
b Physical	Rs. 20 per contract (Postage charges extra)
NON PERIODIC STATEMENT REQUESTS	
a By Email	Rs. 10 per request
b Physical	Rs. 20 per contract (Postage charges extra)
OTHER CHARGES	
Account Defreezing	Rs. 100/-
Cheque Bounce Charges	Rs. 500/- per bounced cheque
Rejection of Dematerialization Request Form (DRF)	Rs. 25/-
Client Details Modification	Rs. 25/- per request
KRA Upload/Download	Rs. 50/- per request

**B. TRADING TARIFF SHEET**

Account Code						
Group	Location					
Family Name & Code						
	SEGMENT					
	CASH (NSE & BSE)		DERIVATIVES		CURRENCY DERIVATIVES	
	Delivery based Transactions	Daily Square up Transactions	Future Transactions	Option Transactions	Future Transactions	Option Transactions
<b>Brokerage</b>						
(a) Slab (%)	NIL	0.01%	0.01%	-	0.01%	-
(b) Max per order	NIL	20	20	20	20	20
<b>Transaction &amp; Other Charges</b>						
<b>Other Charges</b>						



**TARIFF SHEET**

**Notes**


**for Demat Tariff Sheet :**

- 1 Swastika reserves the right to revise the tariff structure from time to time, with notice of 30 days. The notice may be given by Ordinary post, email or on the website of Swastika.
- 2 DRF would be accepted against upfront payment.
- 3 Rejection of DRF for BSDA Tariff will be charged at Rs.40/- plus Rs.2/- per certificate and Other than BSDA Tariff will be charged at Rs.50/-.
- 4 Each bounce instruction (rejected) will attract a fine of Rs.20/-.
- 5 A penalty of 2% interest per month on the value outstanding on the bill from the due date of Rs.25/- whichever is higher.
- 6 Demat of jumbo certificates will attract special rates for BSDA Tariff.
- 7 Service tax and other levies would be extra as applicable.
- 8 Free transaction will be provided monthly and quarterly as per CDSL/NSDL norms and extra Rs.10/- per statement other than BSDA Tariff.
- 9 Any services that is not indicated above will be charged separately as per the rates applicable from time to time.
- 10 Subject to Closing Demat Account in the First Year  
\*Exit load Rs.400/- (Rs.550/- entities other than individual & HUF) will be applicable.
- 11 \*\* Postage Charges will be charged on actual basis.
- 12 Basic Service Demat Account (BSDA) facility will be available as per Security Exchange Board of India (SEBI) Circular for opening a BSDA and any amendment from time to time. In case of Demat account under BSDA facility does not meet the eligibility for BSDA facility as per SEBI guidelines or any such authority at any point of time , BSDA account will be converted to regular demat account without reference and will be levied charges as applicable to regular accounts as informed by the Depository Participant.


**For Trading Tariff Sheet**

1. **Brokerage is based on the turnover/business committed by me/us and I/we hereby confirm that the members can revise any time subject to the maximum rates prescribed by the Exchange/SEBI.**
2. **Security Transaction Tax, Service Tax and Stamp Duty would be charges as per applicable rates.**
3. **SIL reserves the right to revise charges by giving 15 days notice to the client.**

Date:
Place: _____

 (12/17)
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(First/Sole Holder Signature)


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(Second Holder Signature)


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(Third Holder Signature)

**INTIMATION TO CLIENTS AND NOTING - MANDATORY**

To,  
**Swastika Investmart Ltd.**  
Corp. Office : 48, Jaora Compound,  
INDORE - 452 001


Re: Confirmation of noting

I/We confirm that I/We understand and noted the following:

1. That, you undertake to trade in your OWN/PRO account, in addition to the client base trading.
2. That, your investor grievance email ID is **compliance@swastika.co.in**. If not satisfied with the response, please contact the concerned exchanges at **NSE- ignse@nse.co.in**, Contact No. **18002660058** **BSE- is@bseindia.com**, Contact No. **022-22728517/8097** **MSEI- investorcomplaints@msei.in** contact No. 022-61129000

Date:
Place: _____

Client Signature

 (13/17)
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**APPLICATION FOR SMS ALERT**

**B.O. ID**

1	2	0	4	3	7	0	0										
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Terms And Conditions-cum-Registration/Modification Form for receiving SMS Alerts from CDSL  
Definitions:

- In these Terms and Conditions the terms shall have following meaning unless indicated otherwise :
- "Depository means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
  - 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
  - 'BO means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
  - SMS means "Short Messaging Service"
  - 'Alerts' means a customized SMS sent to the BO over the said mobile phone number.
  - "Service Provider" means a cellular service provider(s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
  - "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms ad conditions.

**Availability:**

- The service will be provided to the Bo at his/ her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period/ indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
- The service is currently available to the BOs who are residing in India.
- The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
- In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration/ modification.
- The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts:**

- The depository shall sent the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration/ change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
- The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get/get after delay any alerts sent during such period.
- The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in anyway whatsoever.
- The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and /or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and / or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
- the BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to

any ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.

- The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
- The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person (s) receiving the alert.
- The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
- If the BO finds that the information such as mobile number etc, has been changed with out proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**Disclaimer:**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. the depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider, Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by the provided by the service provider. The depository will not be liable for any unauthorized use or access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/misuse of such information by any third person.

**Liability and Indemnity:**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments:**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs Any such amendments shall be binding on the BOs who are already registered as user of this service.

**Governing Law and Jurisdiction:**

Providing the service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/we wish to avail the SMS Alerts facility provide by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/we consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number

I/we have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee/charges as may be levied by the depository from time to time. I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am /are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of Registration/ Modification (Please cancel out what is not applicable).

Mobile Number on which messages are to be sent 

+91																	
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(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : \_\_\_\_\_

Email ID : \_\_\_\_\_

(Please write only ONE valid email ID on which communication; if any, is to be sent)


Date: \_\_\_\_\_  
Place: \_\_\_\_\_

 (14/17)

(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

**Adjustment of Balances In Family / Associates Accounts (VOLUNTARY DOCUMENT)**

To,  
**Swastika Investmart Ltd.**

Date .....

I/We here by confirm that my/our family members / associate constituents have also been regularly trading and investing with you under your membership with various stock exchanges. I/We here by confirm & agree that you shall be entitled to set off and adjust the money and / or securities owned to / owned by you against each other amongst the following constituents :-

Sr. No.	CLIENT Code	Name of Family constituent / Associate	Relation	Signature of Client

(15/17)

I/we here by agreed to treat all the above constituents as a FAMILY and further :

- a) I/We authorise you to accept and execute securities dealing orders placed by any of the aforesaid constituents for and on behalf of my / our account with you.
- b) I/We hereby authorise you to set off the outstanding amount in my/our account with the above mentioned accounts against the balance (Dr./Cr.) available or arising in any of the above accounts irrespective of the fact that such balance (Dr./Cr.) in the account may pertain to transactions in any segment of any exchange and/or may pertain to the value of cash margin or against the value of sale proceeds of collateral shares provided to you by any constituent(s) of the family.
- c) I/We authorise you to debit the interest on the debit balance of the FAMILY, to the account of \_\_\_\_\_ irrespective of this account having a credit balance and not charge the interest proportionately to each account.
- d) I/We further authorise you to pay the net credit balance in the aforesaid FAMILY account to constituent of the Family on demand in writing, irrespective of the debit balance in such constituent's account held with you. I/We are aware that the payment of the said net credit balance shall be solely at your discretion.
- e) In respect of the securities given for margin to you by me/us, I/We request you to consider the securities so given to you as margin towards the trading exposure of any or all of the above mentioned accounts.
- f) I/We agree to intimate you from time to time of any additions or deletions of Client's to the said family. I/We agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all the accounts of the Client's belonging to the family.
- g) That in further I/We shall not make any claim from Swastika Investmart Ltd. in any manner whatsoever of any collateral adjusted from cash or securities in my account to set off the outstanding debit amount in the mentioned accounts and I/We further state that if anybody on my / our behalf claims the above set adjusted amount, the set act shall be null and void and shall be in effective from all corners.

I/We hereby declare that the details furnished above are true and correct to the best of my knowledge with my true consent and without any pressure or treated.

Date: \_\_\_\_\_  
Place: \_\_\_\_\_

Client Signature (16/17)

MANDATE INSTRUCTION FORM FOR DP CHARGES/IMP INVESTMENT

## Swastika Investmart Ltd.

<input checked="" type="checkbox"/> Tick	UMRN	<input type="text"/>	Date	<input type="text"/>
<input type="checkbox"/> CREATE	Sponsor Bank Code	<input type="text"/>	Utility Code	<input type="text"/>
<input type="checkbox"/> MODIFY	I/We hereby authorize <b>Swastika Investmart Ltd.</b>		To debit (tick <input checked="" type="checkbox"/> ) SB / CA / CC / SB-NRE / SB-NRO / Other	
<input type="checkbox"/> CANCEL	Bank a/c number	<input type="text"/>		
with Bank		<input type="text"/>	IFSC	<input type="text"/>
Rupees		<input type="text"/>	OR MICR	<input type="text"/>
FREQUENCY		<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly <input checked="" type="checkbox"/> As & when presented	DEBIT TYPE <input type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount	
Reference 1		<input type="text"/>	Phone No. <input type="text"/>	
Reference 2		<input type="text"/>	Email ID <input type="text"/>	
PERIOD		From <input type="text"/>		
		To <input type="text"/>		
		Or <input checked="" type="checkbox"/> Until Cancelled	1. _____ 2. _____ 3. _____	

**ACKNOWLEDGMENT OF KYC DOCUMENT BY CLIENT (VOLUNTARY DOCUMENT)**

To,  
**Swastika Investmart Limited**

Sub: Receipt of copy of KYC form, RDD and other executed documents.


Dear Sir,

This is to acknowledge that I/we have received a copy of all the completed documents viz. Client Registration form (KYC), Right & Obligations, Guidance Note, Risk Disclosure Documents and copies of other documents executed by me/us. I/We further confirm that I/We are aware of all the 'Policy and Procedures', Tariff Sheet and all the non-mandatory documents, 'Rights and Obligations' document (s), Risk Disclosure Documents and Guidance Note etc.

Thanking You,

Date:
Place: _____

Client Signature

 (17/17)
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**INSTRUCTIONS TO FILL MANDATE**

1. UMRN - To be left blank
2. Date in DD / MM / YYYY format
3. Sponsor Bank IFSC code - .....
4. Utility Code: Unique code of the entity to whom mandate is being given - To be provided by the entity
5. Name of the entity to whom the mandate is being given
6. Account type - SB / CA / CC / SB-NRE / SB-NRO / OTHER
7. Tick - Select your appropriate action
  - a. Create - For New Mandate
  - b. Modify - For Changes / Amendment on existing mandate
  - c. Cancel - For cancelling the existing registered mandate
8. Your Bank Account Number for debiting the amount
9. Name of your bank and branch
10. Your bank branch IFSC code OR
11. Your bank branch MICR code
12. Frequency at which the debit should happen
13. Whether the amount is fixed or variable
14. Reference 1: Any details requested by the entity to whom the mandate is being given
15. Reference 2: Any details requested by the entity to whom the mandate is being given
16. Your phone number
17. Your email id
18. Period for which the debit mandate is valid
  - a. Start Date
  - b. End Date
  - c. Or until cancelled
19. Signature of the account holder
20. Name of the account holder

# TRADING BELLS

Ringing Profits

Form No.

Email : [sales@tradingbells.com](mailto:sales@tradingbells.com) Phone No. : 022- 33756200  
Website : [www.tradingbells.com](http://www.tradingbells.com)

**Corp. Marketing Office :**

913-914 Shekhar Central,  
Palasia Square,  
Indore (M.P.) - 452001

**Registered Office :**

305, Madhuban Building,  
Cochin Street, SBS Road,  
Fort, Mumbai - 400001

Powered by :

**Swastika Investmart Ltd.**

**CIN : L65910MH1992PLC06752**

 **swastika investmart**  
THE WEALTH MAKERS

[www.swastika.co.in](http://www.swastika.co.in)

Ph No.: 0731-6644444

**Group : Member of NSE, BSE, MCX, NCDEX, MSEI DP : CDSL & NSDL**

REGN NO. : NSE : INB/F/E231129736, BSE : INBO11129732, MCX : MCX/TCM/CORP/1419, NCDEX : NCDEX/TCM/CORP/0832, MCX-SX : INE261129736, CDSL DPID : 12043700, NSDL DPID : IN303833, MERCHANT BANKING : INM000012102