

IITL GROUP

IIT INVESTRUST LTD

Member – Bombay Stock Exchange Limited & National Stock Exchange of India Limited
Depository Participant – Central Depository Services (India) Ltd.

Regd. & Head Office :

14-E, Raja Bahadur Mansion, 2nd Floor, 28, Bombay Samachar Marg, Fort, Mumbai – 400001.

Tele. Nos. +91-22-2266 5453, 2262 6844/5 / 0765 Fax No. 2265 1105

Email – info@iitlgroup.com, iitinvestrust@iitlgroup.com

Dear Customer,

Welcome to IIT INVESTRUST LIMITED

We look forward to your becoming our client and to the pleasure of serving you. To start with, we request you to complete the relevant forms, the member - client agreement and submit the required documents.

We have designed the form for ease of completion with simple instructions at relevant place to guide you along.

Should you face any difficulty in understanding the requirements, please do to contact our staff who will be willing to assist / guide you.

It shall be our endeavor as always, to provide you truly satisfying service.

Client Registration Application form

<i>Client Code:</i>		<i>Branch Code:</i>	
<i>Dealing Office:</i>			
<i>Client Name:</i>			
<i>Address:</i>			
<i>Telephone</i>	<i>Mobile</i>	<i>Email</i>	

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Checklist for Opening Trading Account with IIT INVESTRUST LIMITED

Individual

1. Passport size Photograph.
2. Demat Account Proof.
3. Proof of Bank Account (Cancelled Cheque / Pass Book / Bank Statement / or Letter from Bank Certifying Account Number).
4. Copy of any one - i) Passport ii) PAN Card iii) Voter ID iv) Driving License
5. Address Proof, Any one of following -
i) Passport ii) Ration Card iii) Telephone Bill iv) Driving License v) Electricity Bill
vi) Bank Statement vii) Insurance Policy viii) Rent Receipt or Rent Agreement.
6. Proof of Income declared in KYC in **Compulsory for Clients/Constituents desirous to trade in Derivatives Segment of BSE or NSE**. Kindly provide anyone of I.T. Return with computation of Income / Balance- Sheet with P&L and schedules / Annual Accounts / Networth Certificate duly certified by Chartered Accountant.

Proprietorship Concern

1. All Documents required for Individual Client as stated above
2. Declaration from Sole Proprietor on the Letter-head as per Annexure attached to this Client Registration Form

Partnership Firm

1. Certified True Copy of Partnership Deed
2. Copy of any one i) Passport ii) PAN Card iii) Voter ID iv) Driving License
3. Passport size Photograph of all Partners
4. Proof of Demat Account (In the name of all Partners)
5. Authority Letter in favour of Managing Partner on Letter-head as per Annexure-6.
6. Affix Rubber Stamp where Partners are Signing

HUF (Hindu Undivided Family)

1. Copy of PAN of HUF, Bank Account Proof & Demat Account Proof
2. Declaration by Karta as per Annexure - 4

NRI (Non-Resident Indian)

1. Passport Size Photograph
2. Indian & Foreign Address Proof, Passport Copy,
3. NRE / NRO Bank Account Proof
4. PAN Card, Demat Account Proof
5. Duly Notarized Power of Attorney
6. RBI Permission Copy (PIMS Letter)

Corporate

1. Copy of PAN of Company as well as of All Directors & Authorized Persons
2. Copy of Latest Shareholding Pattern (including details of holders holding more than 5% in the Share Capital) duly Certified by Company Secretary or Managing Director. (Updated Shareholding Pattern to be given every year)
3. Copy of Address Proof for All Directors and Authorized Persons
4. Board Resolution as per Annexure - 5.
5. Certified True Copy of Memorandum & Articles of Association (M&A)
6. From No. 32 filed with ROC in case name of Director do not appear in M&A.
7. Certified True Copy of Balance Sheet for last two years (Afterwards every year after completion of financial year)
8. Passport Size Photograph for all Directors and Authorized Persons
9. Proof of Demat Account
10. List of All Directors and Promoters along with their Residential Addresses
11. Please use extra sheet if No. of Directors / Authorized Person exceeds 3.

Notes :

1. Please sign at all places marked as "c" and at the bottom of each page.
2. Please do not keep any information blank.
3. Stick Photograph at appropriate Place (Please do not staple)
4. It is compulsory for Client to renew Running Account Mandate Letter every year.
5. In case client is dealing in FNO Segment of NSE/BSE, he/she/they is / are required to submit proof of income declared in KYC and continue to submit the same every year.



IIT INVESTRUST LIMITED
Member - BSE, NSE Depository Participant – CDSL

Client Profiling Questionnaire
(Strictly confidential and should not be disclosed without prospective client's consent)

Sr.	Particulars	Available Options				Ratings (for Office Use) Put Options
		A	B	C	D	
1	Residential / Official Property	Owned	Parented	Rented	Leased	
2	Vehicle	Two Wheeler	Hutch Back	Entry Sedan	Sedan	
3	Monthly Income Range	Below ` 10,000	` 10,000-25000	` 25,000-50,000	Above ` 50,000	
4	Family Monthly Income Range	Below ` 25,000	` 25,000-50,000	` 50,000-1,00,000	Above ` 1,00,000	
5	Investment Objective	Short Term	Long Term	Trading	Other	
6	Projected Investment in 1 Year	Up to ` 1 Lakh	` 1 Lakh to 5 Lakh	` 5 Lakh to `15 Lakh	Above ` 15 Lakh	
7	Value of Current Portfolio	Below ` 1 Lakh	` 1 Lakh to 5 Lakh	` 5 Lakh to `15 Lakh	Above ` 15 Lakh	
8	Source of Income	Salary	Business	Investments	Pension / Others	
9	Any pending Issues with	SEBI	BSE/NSE	Civil Courts	Criminal Courts	

I / We hereby declare that information provided above is true and correct to the best of my / our knowledge.


Signature of the Client  _____ Client Name: _____

 **Clients / Constituents should read these policies & procedures for Trading with us.**

Policies and Procedures for Trading with IIT INVESTRUST LIMITED

- a) **Dealing in Penny Stocks :** Usually Company do no allow client to trade in Penny Stock. On request, trade can be allowed but against payment in advance for buy of shares and against transfer of securities to IIT INVESTRUST LIMITED's DP/Pool Account for Sale of Shares. Since Penny Stocks have very low liquidity and thin volume, we do not take any responsibility for trades done by Client in Penny Stock. In case any query is being raised by BSE/NSE or levy any penalty for whatsoever reason, the requisite information will be provided to BSE/NSE and such Penalty will be debited to Clients' ledger account.
- b) **Setting up Clients Exposure Limits :** We use to provide limit to Client on VAR (Value at Risk) based Margin which varies, depends upon group and nature of security. VAR based margin is being set by the Exchange and we receive the same from BSE/NSE on daily basis. On request, further limit can be extended as per the Clients' confirmation of Payment and/or delivery of shares.
- c) **Applicable Brokerage Rate :** Rate of Brokerage varies from Client to Client base on the Commitment of Turnover, type of trades whether intraday or delivery base, on payment of upfront margin before trade as well as payment of deposit at the time of opening account with IIT INVESTRUST LIMITED. There is a separate section of brokerage to be levied to Client on last page of KYC.
- d) **Imposition of Penalty / delayed payment charges by either party :** Client will be required to make payment of their dues latest by T+1 day. In case client do not pay his/their dues or Cheques remains unpaid by Bank due to any reason, Penalty or Delayed Payment charges will be levied upto 24% from T+2 day till the settlement of his/their dues (subject to realization of Cheque). In turn IIT INVESTRUST LIMITED will pay the delayed payment charges if Cheque is being returned unpaid by Banker.
- e) **Right to sell Clients' securities or Close Clients' position without giving notice to the Client on account of nonpayment of clients' dues (limited to the extent of settlement / margin obligation) :** It is the responsibility of Client to make payment of their dues by T+1 day without fail. Further, Client is required to pay upfront margin in FNO Segment of NSE for position to be created or carried over to next day or so on. Further, we assume, Cheque being issued by Client will be realized to the extent of its value without any reason whatsoever. In case client fails to pay his due to the extent of its obligation liability or margin liability or Cheque is being returned by Banker unpaid, IIT INVESTRUST LIMITED shall have the rights to sell such clients' securities or close Clients' position without giving notice to the client and Client will be required to accept the same. Further, IIT INVESTRUST LIMITED shall have right to retain further credit in Clients' ledger account to the extent of Clients' liability.
- f) **Shortage in obligation arising out of internal netting of trades :** In BSE we use to issue Cheque or make payment to of even internal shortage to BOISL in order to avoid any controversy with Client. In NSE, we insist client to cover position to the extent of his/her shortage on T+1 day or do the same at our end.
- g) **Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client :** Incase where the deposit amount is fully utilized against the position taken by the client then the new position will not be allowed till further deposit of margin amount. Further we close the position if MTM amount exceeds the available 80% of the margin amount with the intimation to the client and/or subbroker by way of telephone call or email/messenger.
- h) **Temporary Suspending or closing a Clients' account at the clients' request :** Normally we ask client to submit written request to IIT INVESTRUST LIMITED for temporary suspending of its Trading Account or Closing of Account. We also accept the request of client if the same is being emailed from the designated email ID of client. In case of Temporary Suspension, we ask client to provide valid reasons for the same and if we are satisfied with such reason, we proceed for temporary suspension of Clients' Trading Account.
- i) **De-Registering of Client/Constituent :** De-Registering of Client is done in case of intimation of Death is being received from his/her family members or by Sub-broker or Branch Head. In addition to this, De-registration is being done in case of Insolvency of Client, any order is being issued by SEBI/Stock Exchange or other Competent Authorities, if client is found to be fraud or such type of other reasons. In such cases, notice is being issued to the client giving 7 days notice to deregister client and/or email of the being sent to client.

I read & understand the policies & procedures laid herewith

Signature of the Client  _____ Client Name : _____

INDIVIDUAL CLIENT REGISTRATION FORM

For BSE (Cash Segment), NSE (Capital Market and Futures & Options Segment)

(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,
IIT INVESTRUST LIMITED
14-E, Raja Bahadur Mansion, 2nd Floor,
28, B. S. Marg, Fort, Mumbai – 400 001.
Tel.: 022-2262 6847 / 45 / 44 Fax: 022-2265 1105
©
Email – info@iitlgroup.com, iitinvestrust@iitlgroup.com.
Web Site : www.iitinvestrust.com
BSE Clg. No. – 273 NSE Member Code - 13515
SEBI Reg. Nos.:
BSE Cash – INB011351534
NSE CM – INB231315138 NSE F&O – INF231315138

☞
Please affix your
recent Passport
Size Photograph
here and sign
across the
Photograph

Dear Sir/Madam,

I/We request you to register me/us as your **CLIENT/CONSTITUENT** and enable me/us to trade in the Cash and Derivatives segments pursuant to the Agreement entered into with you. I/We have read the Rules, Bye-laws and Regulations of the Exchanges pertaining to the Cash and Derivatives segments and agree to abide by them. In this regard, I/We give the following information.

I. GENERAL INFORMATION OF CLIENT / CONSTITUENT

FULL NAME

Surname / Last Name		First Name			Middle Name															
PERMANENT ACCOUNT NUMBER (PAN) (Its. Mandatory to Put PAN Number)		<table border="1"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																		
DATE OF BIRTH	GENDER:		<input type="checkbox"/> MALE	<input type="checkbox"/> FEMALE																
NATIONALITY	MARITAL STATUS:		<input type="checkbox"/> MARRIED	<input type="checkbox"/> UNMARRIED																
RESIDENTIAL STATUS :	<input type="checkbox"/> INDIAN	<input type="checkbox"/> N.R.I	<input type="checkbox"/> OTHERS (Please Specify)	_____																

II. CONTACT DETAILS OF CLIENT / CONSTITUENT

PRESENT ADDRESS

(Residential / Official
Proof for this to be
enclosed)

CITY

PIN CODE

STATE

COUNTRY

PERMENANT ADDRESS _____
 (Proof for this to be enclosed)

CITY _____

PIN _____ STATE _____ COUNTRY _____

PHONE: (Resi) _____ (Off) _____ FAX _____

MOBILE _____ E-Mail _____

It is advised to provide your current Mobile Number with email address to keep you updated about your Trading Account Transactions and to Contact you. (This is in the interest of the Investor/Client/Constituent)

III. FINANCIAL DETAILS OF THE CLIENT/CONSTITUENT (Annual Income Range)

Below Rs. 1 Lac Above Rs. 1 Lac to Rs. 5 Lacs Above Rs. 5 Lacs to Rs. 10 Lacs

Above Rs. 10 Lacs to Rs. 25 Lacs Above Rs. 25 Lacs

UNIQUE IDENTIFICATION NUMBER (MAPIN)
 (if obtained)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

IV. DETAILS OF BANK AND DEMAT ACCOUNT OF THE CLIENT/CONSTITUENT

BANK ACCOUNT DETAILS (Through which Transactions will be generally be routed)
 (Copy of a Cancelled Cheque & Pass Book / Bank Statement-containing name of the client/constituent should be submitted)

BANK NAME _____

BRANCH NAME & ADDRESS _____

ACCOUNT NO. _____

ACCOUNT TYPE SAVINGS CURRENT OTHERS

MICR CODE
 (9 DIGITS Printed on Your Cheque Leave) _____

DEMAT / DEPOSITORY ACCOUNT DETAILS (Through which Transactions will be generally be routed)
 (In case of multiple accounts, please mark '☑' to make default for pay-in / pay-out of securities, Proof for all depository accounts to be given with self attestation)

SR.	DP NAME	DP ID	CLIENT ID	DEFAULT
1.				
2.				
3.				

V. OCCUPATION DETAILS OF CLIENT / CONSTITUENT (Tick as applicable)

OCCUPATION: EMPLOYED SELF EMPLOYED BUSINESS PROFESSIONAL

STUDENT HOUSEWIFE RETIRED OTHERS

IF EMPLOYED (Kindly provide the details of your Employment)

EMPLOYER NAME _____
DESIGNATION _____
OFFICE ADDRESS _____
CITY _____
PIN _____ STATE _____ COUNTRY _____
PHONE _____ FAX _____

IF SELF EMPLOYED / BUSINESS / PROFESSIONAL / OTHERS (Kindly provide details)

NAME OF ESTABLISHMENT _____
ADDRESS _____
CITY _____
PIN _____ STATE _____ COUNTRY _____
PHONE _____ FAX _____

(Kindly provide more than one telephone number)

VI. INVESTMENT / TRADING EXPERIENCE & MARKET VALUE OF PORTFOLIO (Tick as applicable)

NO PRIOR EXPERIENCE _____ YEARS IN STOCKS
 _____ YEARS IN DERIVATIVES _____ YEARS IN OTHER FIELDS

MARKET VALUE OF PORTFOLIO: RS. _____ AS ON _____
C₹ (_____)

(Please Sign Here)

VII. TRADING PREFERENCES (EXCHANGE & SEGMENTS)

STOCK EXCHANGES ON WHICH THE CLIENT/CONSTITUENT WISH TO TRADE

(If the member is registered for such Exchanges)

NSE BSE OTHERS _____

MARKET SEGMENTS ON WHICH CLIENT/CONSTITUENT WISH TO TRADE

CAPITAL MARKET / CASH SEGMENT DERIVATIVES SEGMENT DEBT SEGMENT

C₹ (_____)

(Please Sign Here)

VIII. WHETHER REGISTERED WITH ANY OTHER BROKER MEMBER? YES NO
(IF YES THEN PROVIDE DETAILS MENTIONED BELOW)

CLIENT CODE NO. _____ NAME OF EXCHANGE _____
NAME OF THE BROKER _____
ADDRESS OF BROKER _____

VIX. DETAILS OF ANY ACTION TAKEN BY SEBI/STOCK EXCHANGE/ANY OTHER AUTHORITY AGAINST THE CLIENT/CONSTITUENT FOR VIOLATION OF SECURITIES LAWS/OTHER ECONOMIC LAWS/OFFENCES IN LAST THREE YEARS.

YES NO (If yes, provide details) _____

C[☞] (_____)
(Please Sign Here)

X. NOMINATION DETAILS

NAME OF NOMINEE _____
ADDRESS _____

RELATIONSHIP WITH CLIENT _____

DATE OF BIRTH _____ (If Nominee is a Minor)

IF NOMINEE IS A MINOR, WE APPOINT THE FOLLOWING PERSON TO ACT AS GUARDIAN:

NAME OF GUARDIAN _____
ADDRESS _____

C[☞] (_____)
(Please Sign Here)

XI. INTRODUCTION / REFERENCE

Introduced by another existing constituent / director or employee of trading member / sub-broker/Remiser / Authorized Person or any other person (Please Specify)

NAME OF THE INTRODUCER _____
ADDRESS _____

RELATIONSHIP WITH CLIENT / CONSTITUENT _____

PAN OF INTRODUCER _____ Signature of the Introducer I[☞] _____

Identity of the Introducer _____ (PAN/PassPort No./ Driving Lic./Voters ID)

	Passport	Voter ID	Driving license	Ration Card	Others
ID No.					
Place of Issue					
Date of Issue					

NAME OF THE EMPLOYEE/AUTH. PERSON/SUB-BROKER/REMISER WHO INTERVIEW THE CLIENT/CONSTITUENT

NAME _____

DESIGNATION _____ **SIGNATURE** _____

COLLATERAL'S DETAILS

COLLATERAL	DECLARED / MARKET VALUE	HAIRCUT VALUE	ASSIGNED
1.Cash			
2.Listed Securities			
3. Immovable Property			
4. Bank Guarantees			
5.Jwellery			
6.Others (Please Specify)			

XIII. DECLARATION

I hereby declare that all the information/particulars given above are true to the best of my knowledge and belief. I agree/undertake to inform you any changes therein immediately in writing. I also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted therefrom, I will be liable to be debarred from doing business as your client/constituent. I also declare and agree to give such further information as you or the Exchange(s) may require me to furnish from time to time.

Client Name _____ Place: _____

Signature of the Client _____ Date: _____

NON-INDIVIDUAL CLIENT REGISTRATION FORM

For BSE (Cash Segment), NSE (Capital Market and Futures & Options Segment)

(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,
IIT INVESTRUST LIMITED
14-E, Raja Bahadur Mansion, 2nd Floor, 28, B. S. Marg, Fort, Mumbai – 400 001.
Tel.: 022-2262 6847 / 45 / 44 Fax: 022-2265 1105
Email – info@iitlgroup.com / www.iitinvestrust.com
BSE Clg. No. – 273 NSE Member Code - 13515
SEBI Reg. Nos.: BSE Cash – INB011351534 NSE CM – INB231315138
NSE F&O – INF231315138

Dear Sir/Madam,

I/We request you to register me as your CLIENT/CONSTITUENT and enable me/us to trade in the Cash, Capital Market, Futures & Options and Derivatives segments pursuant to the Member Client Agreement entered into with you. I/We have read the Rules, Bye-laws and Regulations of the Exchanges pertaining to the Cash and Derivatives segments and agree to abide by them. In this regard, I/We give the following information.

I. CLIENT TYPE

PARTNERSHIP HUF MUTUAL FUND NBFC
 BODY CORPORATE FI FII
OTHERS _____

II. GENERAL INFORMATION

NAME OF CONSTITUENT/CLIENT _____
DATE OF INCORPORATION/FORMATION _____
DATE OF COMMENCEMENT OF BUSINESS _____
REGISTRATION NUMBER (with _____
ROC/SEBI/ROF etc) _____
NATURE OF BUSINESS _____
PERMENANT ACCOUNT NUMBER (PAN)

--	--	--	--	--	--	--	--	--	--

UNIQUE IDENTIFICATION NUMBER (MAPIN)

--	--	--	--	--	--	--	--	--	--

III. CONTACT DETAILS

REGD. OFFICE ADDRESS _____

CITY _____
PIN _____ STATE _____ COUNTRY _____
PHONE _____ FAX _____
E-MAIL _____

**CORRESPONDANCE
ADDRESS**

_____ CITY _____

PIN _____ STATE _____ COUNTRY _____

PHONE _____ FAX _____

E-MAIL _____

It is advised to provide your current Mobile Number of any of the director/promoter/auth. Person/karta/Partner/Whole time Director with email address of the entity with email address of any one of the person mentioned herewith, to keep you updated about your Trading Account Transactions and to Contact you. (This is in the interest of the Investor/Client/Constituent)

IV. DETAILS OF BANK AND DEMAT ACCOUNT

(Through which Transactions will be generally be routed)

BANK ACCOUNT DETAILS

BANK NAME _____

BRANCH NAME & ADDRESS _____

ACCOUNT NO. _____

ACCOUNT TYPE SAVINGS CURRENT OTHERS

MICR CODE (9 DIGITS) _____

DEMAT ACCOUNT DETAILS

(In case of multiple accounts, please mark ' ' to make default for pay-in / pay-out of securities, Proof for all depository accounts to be given with self attestation)

SR.	DP NAME	DP ID	CLIENT ID	DEFAULT
1.				
2.				
3.				

V. DETAILS OF DIRECTORS/PARTNERS/KARTA

SR. NO.	NAME	DESIGNATION
1.		
2.		
3.		
4.		
5.		

**VI. DETAILS OF DIRECTORS/PARTNERS/AUTHORISED SIGNATORIES/KARTA WHO ARE
AUTHORISED TO OPERATE THE ACCOUNT**

(Annexure - 'A' to be submitted in respect of each person)

SR. NO.	NAME	DESIGNATION
1.		
2.		
3.		
4.		
5.		

VII. INVESTMENT/TRADING EXPERIENCE AND MARKET VALUE OF PORTFOLIO

- NO PRIOR EXPERIENCE
 _____ YEARS IN STOCKS
 _____ YEARS IN OTHER
 _____ YEARS IN DERIVATIVES
 _____ FIELDS

MARKET VALUE OF PORTFOLIO: RS. _____ AS ON: _____

₹ (_____)

(Please Sign Here)

VIII. FINANCIAL DETAILS OF THE CONSTITUENT

NET WORTH RS. _____ AS ON: _____

ANNUAL INCOME FOR THE LAST THREE YEARS: 1. _____ 2. _____ 3. _____

VIX. TRADING PREFERENCE

STOCK EXCHANGES ON WHICH WE WISH TO TRADE (If the member is registered for such Exchanges)

- NSE
 BSE
 OTHERS _____

MARKET SEGMENTS ON WHICH WE WISH TO TRADE

- CAPITAL MARKET SEGMENT
 DERIVATIVES SEGMENT
 DEBT SEGMENT

₹ (_____)

(Please Sign Here)

X. WHETHER REGISTERED WITH ANY OTHER BROKER MEMBER ? YES NO
(IF YES THEN PROVIDE DETAILS MENTIONED BELOW)

NAME OF THE BROKER MEMBER _____
NAME OF EXCHANGE _____
CLIENT CODE NO. _____

XI. DETAILS OF ANY ACTION TAKEN BY SEBI/STOCK EXCHANGE/ANY OTHER AUTHORITY AGAINST THE CLIENT/CONSTITUENT FOR VIOLATION OF SECURITIES LAWS/OTHER ECONOMIC LAWS/OFFENCES IN LAST THREE YEARS.

YES NO (IF YES provide details)

C[☞] (_____)
(Please Sign Here)

XII. INTRODUCTION/REFERENCE

Introduced by another existing constituent / director or employee of trading member / sub-broker/Remiser / Authorized Person or any other person (Please Specify)

NAME OF THE INTRODUCER _____
ADDRESS _____

RELATIONSHIP WITH CLIENT/CONSTITUENT _____ Signature of the Introducer I[☞] _____

Identity Of The Introducer (Pan Card No / Passport no) _____

Name Of The Employee Who Interview The Client _____

Designation Of The Employee _____ Signature of the Employee E[☞] _____

I/We hereby declare that all the information/particulars given above are true to the best of my/our knowledge and belief. I/We agree to immediately inform you if there is any change in any of the information given in this application. I/We also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted therefrom, I/We will be liable to be debarred from doing business as your client. I/We also declare and agree to give such further information as you or the Exchange(s) may require me to furnish from time to time.

Client Name: _____ Place: _____

Client Signature: C[☞] _____ Date: _____

ANNEXURE - 'A'

(Kindly attach details of at least Two Persons Authorized to act on behalf of the client/constituent)

Personal Details of Directors / Partners / Authorized Signatories / Karta of HUF

In connection with the Client Registration Form (Member Client Agreement for trading on Stock Exchanges) submitted to you by _____, of which I am a Promoter / Director / Partner / Authorized Signatory / Karta. I furnished the following personal details pertaining to me.

Please affix your recent Passport Size Photograph here and sign across the Photograph

FULL NAME _____
PERMENANT ACCOUNT NUMBER (PAN) [] [] [] [] [] [] [] [] [] []
DATE OF BIRTH _____ GENDER: [] MALE [] FEMALE
NATIONALITY _____ MARITIAL STATUS: [] MARRIED [] UNMARRIED
QUALIFICATION _____ EXPERIENCE _____

CONTACT DETAILS

RESIDENCE ADDRESS _____
CITY _____
PIN CODE _____ STATE _____ COUNTRY _____
PHONE: (R) _____ MOBILE _____ E-MAIL _____

DECLARATION

I hereby declare that all the information/particulars given above are true to the best of my knowledge and belief. I agree to immediately inform you if there is any change in any of the information given in this application. I also declare and agree to give such further information as you or the Exchange(s) may require me to furnish from time to time.

Name: _____

Place: _____

Signature: _____

Date: _____

AGREEMENT BETWEEN STOCK BROKER AND CLIENT (For Bombay Stock Exchange Limited Cash Segment)

MANDATORY CLAUSE

This agreement is made and executed at _____ this _____ day of _____, 20____ between: **M/s. IIT INVESTRUST LIMITED**, a body corporate, registered/incorporated under the provisions of the Companies Act, 1956, being member of Bombay Stock Exchange Ltd. (BSE), (hereinafter called “the Exchange”), and having its registered office at 14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR MARG, FORT, MUMBAI-400 001 and having branches at #75, Century Centre, 1st Floor, TTK Road, Alwarpet, Chennai – 600018 (Tamilnadu) and 201-202, KanchanJanga Building, Bara Khambha Road, Cannught Place, New Delhi - 110001 , (hereinafter called “the Stock broker”) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its directors, executors, administrators and legal representatives for the time being of the said Company, 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 / an HUF / an AOP / a BOI / 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**;

WITNESSTH:

WHEREAS the Stock broker is registered as the Stock broker of the Exchange with SEBI registration number **INB011351534** in the **CASH Segment** having Clearing No. **273**; and

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, Bye-laws and Regulations of the Exchange and circulars issued there under from time to time; and

WHEREAS the Client has satisfied itself of the capacity of the Stock broker to deal in securities and/or deal in 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; and

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; and

WHEREAS the Client has understood, appreciated and assumed all the Rules and Regulations associated with purchasing, selling and trading in Capital Market/Derivatives and entering into various kinds of Derivatives contracts, whether contained in the Risk Disclosure Document or not; and

Signature of the Client C

Signature of the Broker B

Signature of the Client C

Signature of the Broker B

Signature of the Client C


Signature of the Broker B


WHEREAS the Stock broker offers the Internet Trading Through Order Routing System (ITORS) Service to the Clients and the Client desires to avail of the ITORS Service for purchasing, selling or otherwise dealing in securities; and

WHEREAS the Stock broker and the Client agree to be bound by all the Rules, Bye-laws 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 to the Client by 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/her/it aware of the significance of the said document. The Client agrees that:
 - a. He/she/it has read and understood the risks involved in trading on an Exchange.
 - b. He/she/it shall be wholly responsible for all his/her/its investment decisions and trades.
 - c. The failure of the Client to understand the risk 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/she/it 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. 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 Exchange/SEBI.
4. 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.
5. 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.
6. The Stock broker agrees that the money/securities deposited by the Client shall be kept in a separate account, distinct from his/her/its own account or account of any other Client and shall not be used by the Stock broker for itself or for any other Client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations Circulars/Guidelines/Exchanges Rules/Regulations/Bye-laws and Circulars.

Signature of the Client C 

Signature of the Broker B 

7. 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/her/it or if any litigation which may have material bearing on his/her/its capacity has been filed against him/her/it.
8. The Stock broker agrees to inform the Client and keep him/her/it 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 Exchange.
9. In the event of death or insolvency of the Client or his/her/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the Client has ordered to be bought or sold, 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/her/its successors, heirs and assigns shall be entitled to any surplus which may result therefrom.
10. The Stock broker agrees that it shall co-operate in redressing grievances of the Client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the Client.
11. The Stock broker shall continue to be responsible for replacing bad deliveries of the Client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by it in such connection from the Client.
12. The Stock broker shall ensure due protection to the Client regarding Client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the Client with whom and for whom it may have had transactions in securities.
13. The Client and the Stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
14. The Stock broker hereby agrees that it shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between it and the Client and that it shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment/delivery and related aspects by a Client shall be brought to the notice of the relevant 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 Exchange(s).
16. 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.
17. The Stock broker and the Client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.

Signature of the Client C 

Signature of the Broker B 

18. The Stock broker and the Client declare and agree that the transactions executed on the Exchange are subject to Rules, Bye-laws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Bye-laws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Bye-laws and Regulations of the Exchange and the circulars issued thereunder.
19. 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.
20. 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.
21. This agreement shall forthwith terminate; if the Stock broker for any reason ceases to be a member of the 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.
22. 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 party. 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/her/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
23. 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.
24. 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, Bye-laws and Regulations of the Exchange and circulars issued thereunder.
25. 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 Exchange that may be in force from time to time.
26. 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 Client to any person or authority with the express permission of the Client.
27. Whereas the Client has requested the Stock broker to transmit contract notes, statement of accounts, bills, circulars, debit-credit notes, confirmations, periodic submissions of statement of accounts for securities and margins and such other communication in soft form under Digital Signature obtained from a valid Certifying Authority as provided under the Information Technologies Act, 2000 and in accordance with circulars, clarifications, guidelines, Rules, Regulations of SEBI and the Exchange. And where the Stock broker having agreed, both the parties to this agreement hereby agree as under:
 - a. The Stock broker shall be duly discharged from its obligations upon transmission of the contract notes, confirmation of trades executed on behalf of the Client and all such other communications as stated hereinabove at the Clients Digital Address (*email address*). The Client further understands and agrees that all information transmitted by the Stock broker shall be binding on the Client, subject to the Client pointing out error, if any, in writing within 24 hours from the transmission of document in soft form.

Signature of the Client C


Signature of the Broker B


- b. In case of non-receipt of digitally transmitted documents, from the Stock broker, the Client may request the Stock broker to send duplicate copy of such document either in soft form or hard copy thereof. The Client further agrees that failure to intimate the Stock broker about the non-receipt of digitally transmitted document within a reasonable period as may be intimated by the SEBI/Exchange or any other regulatory authority from time to time or as may be agreed upon between the Client and the Stock broker and for non-receipt of bounced e-mail notification by the Stock broker shall be deemed to be the delivery of the digitally transmitted document at the Client's digital address (*email address*).
 - c. The Client shall communicate to the Stock broker his/her/its electronic/e-mail address, and undertakes the responsibility to ensure the secrecy of login name and password. The Client hereby agrees to communicate in writing regarding any change in their electronic/e-mail address forthwith.
28. Whereas the Stock broker offers Internet Based Trading Through Order Routing System (ITORS) service to the Clients for selling, purchasing and/or dealing in shares and stocks in accordance with circulars, clarifications, guidelines, Rules, Regulations of SEBI and the Exchange from time to time. And where the Stock broker having agreed, both the parties to this agreement hereby agree as under:
- a. It is agreed that Annexure-I to this agreement containing the "Terms and Conditions relating to ITORS" and "Terms and Conditions for the purpose of Mutual Convenience and Smooth Conduct of Business Relations" are non-mandatory/voluntary Clauses and Stock broker and the Client shall be at liberty to accept or deny such Clauses.
 - b. The Terms and Conditions embodied in Annexure-I shall form an integral part and parcel of this agreement if the same are accepted by the Stock broker and 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 the SEBI or Bye-laws, Rules and Regulations of the 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.


Stock Broker / Member Broker
 IIT Investrust Ltd.
 Member Bombay Stock Exchange Ltd. (Cash Segment)
 Clg. No. 273 SEBI Regn. No. INB011351534
 14-E, 2nd Floor, Raja Bahadur Mansion, 28, Bombay
 Samachar Marg, Fort, Mumbai - 400001

Client / Constituent
 Name:
 Signature of the Client 
 Address:

Signature of the Broker 
 (Designated Director / Authorized Signatory)


Witness:

Name

Signature of the Witness 
 Address

Witness:

Name

Signature of the Witness 
 Address

AGREEMENT BETWEEN STOCK BROKER AND CLIENT
(For National Stock Exchange of India Limited-CM & F&O Segment)

MANDATORY CLAUSE

This agreement is made and executed at _____ this _____ day of _____, 20____ between:

M/s. IIT INVESTRUST LIMITED, a body corporate, registered/incorporated under the provisions of the Companies Act, 1956, being member of the National Stock Exchange of India Ltd. (NSE), (hereinafter called "the Exchange"), and having its registered office at 14- E, Rajabhadur Mansion, 2nd Floor, 28 Bombay Samachar Marg, Fort, Mumbai – 400 001 having its registered office at 14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR MARG, FORT, MUMBAI-400 001 and having branches at #75, Century Centre, 1st Floor, TTK Road, Alwarpet, Chennai – 600018 (Tamilnadu) and 201-202, KanchanJanga Building, Bara Khambha Road, Cannought Place, New Delhi - 110001, (hereinafter called "the Stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its directors, executors, administrators and legal representatives for the time being of the said Company, 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 / an HUF / an AOP / a BOI / 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**;

WITNESSTH:

WHEREAS the Stock broker is registered as the Stock broker of the Exchange with SEBI registration number **INB231351538 in the Capital Market Segment** and SEBI registration number **INF231351538 in the Futures and Options Segment** having Member Code 13515; and

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, Bye-laws and Regulations of the Exchange and circulars issued there under from time to time; and

WHEREAS the Client has satisfied itself of the capacity of the Stock broker to deal in securities and/or deal in 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; and

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; and

WHEREAS the Client has understood, appreciated and assumed all the Rules and Regulations associated with purchasing, selling and trading in Capital Market/Derivatives and entering into various kinds of Derivatives contracts, whether contained in the Risk Disclosure Document or not; and

Signature of the Client C

Signature of the Broker B

Signature of the Client C

Signature of the Broker B

Signature of the Client C


Signature of the Broker B


WHEREAS the Stock broker offers the Internet Trading Through Order Routing System (ITORS) Service to the Clients and the Client desires to avail of the ITORS Service for purchasing, selling or otherwise dealing in securities; and

WHEREAS the Stock broker and the Client agree to be bound by all the Rules, Bye-laws 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 to the Client by 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/her/it aware of the significance of the said document. The Client agrees that:
 - a. He/she/it has read and understood the risks involved in trading on an Exchange.
 - b. He/she/it shall be wholly responsible for all his/her/its investment decisions and trades.
 - c. The failure of the Client to understand the risk 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/she/it 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. 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 Exchange/SEBI.
4. 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.
5. 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.
6. The Stock broker agrees that the money/securities deposited by the Client shall be kept in a separate account, distinct from his/her/its own account or account of any other Client and shall not be used by the Stock broker for itself or for any other Client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations Circulars/Guidelines/Exchanges Rules/Regulations/Bye-laws and Circulars.

Signature of the Client C 


Signature of the Broker B 


7. 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/her/it or if any litigation which may have material bearing on his/her/its capacity has been filed against him/her/it.
8. The Stock broker agrees to inform the Client and keep him/her/it 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 Exchange.
9. In the event of death or insolvency of the Client or his/her/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the Client has ordered to be bought or sold, 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/her/its successors, heirs and assigns shall be entitled to any surplus which may result there from.
10. The Stock broker agrees that it shall co-operate in redressing grievances of the Client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the Client.
11. The Stock broker shall continue to be responsible for replacing bad deliveries of the Client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by it in such connection from the Client.
12. The Stock broker shall ensure due protection to the Client regarding Client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the Client with whom and for whom it may have had transactions in securities.
13. The Client and the Stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
14. The Stock broker hereby agrees that it shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between it and the Client and that it shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment/delivery and related aspects by a Client shall be brought to the notice of the relevant 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 Exchange(s).
16. 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.
17. The Stock broker and the Client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The Stock broker and the Client declare and agree that the transactions executed on the Exchange are subject to Rules, Bye-laws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Bye-laws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Bye-laws and Regulations of the Exchange and the circulars issued thereunder.

Signature of the Client C 

Signature of the Broker B 

19. 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.
20. 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.
21. This agreement shall forthwith terminate; if the Stock broker for any reason ceases to be a member of the 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.
22. 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 party. 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/her/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
23. 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.
24. 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, Bye-laws and Regulations of the Exchange and circulars issued thereunder.
25. 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 Exchange that may be in force from time to time.
26. 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 Client to any person or authority with the express permission of the Client.
27. Whereas the Client has requested the Stock broker to transmit contract notes, statement of accounts, bills, circulars, debit-credit notes, confirmations, periodic submissions of statement of accounts for securities and margins and such other communication in soft form under Digital Signature obtained from a valid Certifying Authority as provided under the Information Technologies Act, 2000 and in accordance with circulars, clarifications, guidelines, Rules, Regulations of SEBI and the Exchange. And where the Stock broker having agreed, both the parties to this agreement hereby agree as under:
 - a. The Stock broker shall be duly discharged from its obligations upon transmission of the contract notes, confirmation of trades executed on behalf of the Client and all such other communications as stated hereinabove at the Clients Digital Address (email address). The Client further understands and agrees that all information transmitted by the Stock broker shall be binding on the Client, subject to the Client pointing out error, if any, in writing within 24 hours from the transmission of document in soft form.
 - b. In case of non-receipt of digitally transmitted documents, from the Stock broker, the Client may request the Stock broker to send duplicate copy of such document either in soft form or hard copy thereof. The Client further agrees that failure to intimate the Stock broker about the non-receipt of digitally transmitted document within a reasonable period as may be intimated by the SEBI/Exchange or any other regulatory authority from time to time or as may be agreed upon between the Client and the Stock broker and for non-receipt of bounced e-mail notification by the Stock broker shall be deemed to be the delivery of the digitally transmitted document at the Client's digital address (email address).

Signature of the Client C 


Signature of the Broker B 


- c. The Client shall communicate to the Stock broker his/her/its electronic/e-mail address, and undertakes the responsibility to ensure the secrecy of login name and password. The Client hereby agrees to communicate in writing regarding any change in their electronic/e-mail address forthwith.
28. Whereas the Stock broker offers Internet Based Trading Through Order Routing System (ITORS) service to the Clients for selling, purchasing and/or dealing in shares and stocks in accordance with circulars, clarifications, guidelines, Rules, Regulations of SEBI and the Exchange from time to time. And where the Stock broker having agreed, both the parties to this agreement hereby agree as under:
- a. It is agreed that Annexure-I to this agreement containing the "Terms and Conditions relating to ITORS" and "Terms and Conditions for the purpose of Mutual Convenience and Smooth Conduct of Business Relations" are non-mandatory/voluntary Clauses and Stock broker and the Client shall be at liberty to accept or deny such Clauses.
- b. The Terms and Conditions embodied in Annexure-I shall form an integral part and parcel of this agreement if the same are accepted by the Stock broker and 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 the SEBI or Bye-laws, Rules and Regulations of the 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.


Stock Broker / Member Broker
IIT Investrust Ltd.
Member Bombay Stock Exchange Ltd. (Cash Segment)
Ctg. No. 273 SEBI Regn. No. INB011351534
14-E, 2nd Floor, Raja Bahadur Mansion, 28, Bombay
Samachar Marg, Fort, Mumbai - 400001

Client / Constituent
Name:
Signature of the Client 
Address:

Signature of the Broker 
(Designated Director / Authorized Signatory)


Witness:

Name

Signature of the Witness 
Address

Witness:

Name

Signature of the Witness 
Address

COMBINED RISK DISCLOSURE DOCUMENT (RDD)

FOR CASH, CAPITAL MARKET & FUTURES & OPTIONS SEGMENTS OF BSE & NSE

Member Name : IIT INVESTRUST LIMITED
BSE SEBI Registration No. (CASH Segment) : INB011351534
BSE Clearing No. : 273
NSE SEBI Reg. No.(CAPITAL MARKET Segment) : INB231351538
NSE SEBI Reg. No.(F&O Segment) : INF231351538
NSE Member Code : 13515

Signature of the Client C

This document is issued by the member of the National Stock Exchange of India Ltd. (hereinafter referred to as "NSE")/Bombay Stock Exchange Ltd. (hereinafter referred to as "BSE") which has been formulated by the Exchanges in co-ordination with the Securities and Exchange Board of India (hereinafter referred to as "SEBI") and contains important information on trading in Equities and F&O Segments of NSE/BSE. All prospective constituents should read this document before trading on Capital Market/Cash Segment or F&O Segment of the Exchanges.

NSE/BSE/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/BSE/SEBI endorsed or passed any merits of participating in the trading segments. 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 Equity shares, Derivative or other instruments traded on the Stock Exchange(s), 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/BSE and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE/BSE, its Clearing Corporation/Clearing House 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 Security or Derivative being traded on NSE/BSE.

It must be clearly understood by you that your dealings on NSE/BSE 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, Bye-laws and Regulations of NSE/BSE and its Clearing Corporation/Clearing House, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE/BSE or its Clearing Corporation/Clearing House and in force from time to time.

NSE/BSE 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 and/or sub-broker of NSE/BSE 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.

Signature of the Client C

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 INVOLVED IN TRADING ON THE STOCK EXCHANGE (EQUITY AND OTHER INSTRUMENTS)

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that securities undergo when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security/contract, greater is its price swings. There may be normally greater volatility in thinly traded securities/contracts than in active securities/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 securities/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 securities/contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities/contracts purchased or sold. There may be a risk of lower liquidity in some securities/contracts as compared to active securities/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 without intention of giving and/or taking delivery of a security, as part of a day trading strategy, may also result into losses, because in such a situation, stocks may have to be sold/purchased at a low/high prices, compared to the expected price levels, so as not to have any obligation to deliver/receive a security.

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 securities / contracts. This in turn will hamper better price formation.

1.4 Risk-reducing Orders:

Most Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc. The placing of such 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 security.

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 stock/contract, and such order gets activated if and when the stock/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 stock 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 stock/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:

Issuers make news announcements that may impact the price of the securities/contracts. These announcements 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 security/contract.

1.6 Risk of Rumours:

Rumours about companies 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 stock hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on NSE/BSE 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 the control of 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. As far as Futures and Options segment is concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

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 index. If the index has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading next day.
- b) If you fail to deposit the additional margin 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, increases in the Cash 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 Derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2. Risk of Option holders

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchange may impose/exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.3 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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 securities through the mechanism provided by NSE/BSE.

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/BSE and who holds a registration certificate as a stock broker from SEBI.

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

Signature of the Client 

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

Signature of the Client 

ANNEXURE – 1

(Forming part of Combined Risk Disclosure Document i.e. RDD)

INVESTORS' RIGHTS AND OBLIGATIONS:

- 1.1.1 You should familiarize 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 stock market or the broking firm's insolvency or bankruptcy.
- 1.1.2 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.
- 1.1.3 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/BSE and the scheme of the Investors' Protection Fund in force from time to time.
- 1.1.4 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, Bye-laws/Regulations of NSE/BSE or its Clearing Corporation/Clearing House.
- 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/BSE 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 Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE/BSE and whether they are enabled to trade may be verified from NSE/BSE website (www.nseindia.com/www.bseindia.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 SEBI/NSE/BSE 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/BSE or its Clearing Corporation/Clearing House 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 security 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.

Signature of the Client C

Signature of the Client C

- 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 no., trade number, trade time, trade price, trade quantity, name of security, 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/BSE, without delaying.
- 1.3.7 Facility of Trade Verification is available on NSE/BSE website (www.nseindia.com/www.bseindia.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/BSE.
- 1.3.8 Ensure that payment/delivery of securities against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE/BSE or its Clearing Corporation/Clearing House. 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. Delivery of securities is made to the pool account of the member rather than to the beneficiary account of the member.
- 1.3.9 In case pay-out of money and/or securities is not received on the next working day after date of pay-out announced by NSE/BSE or its Clearing Corporation/Clearing House, please follow-up with the concerned member for its release. In case pay-out is not released as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE/BSE.
- 1.3.10 Every member is required to send a complete 'Statement of Accounts', for both funds and securities settlement to each of its constituents, at such periodicity as may be prescribed by 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/BSE, without delaying.
- 1.3.11 In case of a complaint against a member/registered sub-broker, you should address the complaint to the Office as may be specified by NSE/BSE from time to time.
- 1.4 In case where a member surrenders his membership, NSE/BSE 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/BSE, ensure that you lodge a claim with NSE/BSE/NSCCL/BOI Shareholding/Clearing House 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/BSE 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/BSE, ensure that you lodge a claim with NSE/BSE 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 first out of the amount vested in the Committee for Settlement of Claims against Defaulters, on pro-rata basis if the amount is inadequate. The balance amount of claims, if any, to a maximum amount of Rs.10 lakhs per investor claim, per defaulter/expelled member may be payable subject to such claims being found payable under the scheme of the IPF.

Signature of the Client C[☞] _____

Notes:

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE/BSE for the purpose of acquiring and/or selling of securities through the mechanism provided by NSE/BSE.
2. The term 'member' shall mean and include a member or a broker or a stock broker, who has been admitted as such by NSE/BSE and who holds a registration certificate as a stock broker from SEBI.
3. NSE/BSE may be substituted with names of the relevant Exchanges, wherever applicable.
4. We wish to inform you that we may do proprietary based trading.

Signature of the Client C[☞] _____

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

MANDATORY CLAUSE

DISCLOSURE

I/We, _____, have been informed by IIT INVESTRUST LIMITED (as required by SEBI regulation via circular number **SEBI/MRD/Cir-42/2003 dated 19th November 2003**) that, in addition to client based trading activities, IIT INVESTRUST LIMITED is involved in Proprietary trading as well.

Signature of the Client C[☞] _____

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

LETTER FOR RUNNING ACCOUNT

(This is a Non-Mandatory Document & at the sole desecration of Client/Constituent)

To
IIT INVESTRUST LIMITED
14-E, 2ND FLOOR, RAJA BAHADUR MANSION,
28 BOMBAY SAMACHAR MARG,
FORT, MUMBAI – 400 001

Dear Sir/Madam,

Sub: Receipt & Payment of Funds / Securities

Ref : Client Code _____ in name of _____)

I/We hereby state that I/we are aware of the norms relating to Pay-in & Pay-out of Securities and Funds.

In order to facilitate operations and banking convenience, **I/we hereby authorize IIT INVESTRUST LIMITED (Member BSE, NSE & Depository Participant – CDSL), to maintain a running account with you, instead of daily settlement of Funds / Securities due to me/us. Further, the Pay-out of Securities/ Funds may be retained by you.**

I/we agree not to claim any interest from you on such securities/funds so retained by you. The Funds/ Securities so retained shall be available to you for exposure/margin purpose for me/us.


I/we further agree that you shall not be liable for any claim for loss or profit or for any consequential, incidental, special or exemplary damages, caused by retention of such securities/funds in this regard.

On written request by me/us, you may release the Funds/Securities to me/us, if sufficient margins in respect of my / our trading account across all segments of the stock exchanges are available.

I/We hereby agree that I/we shall confirm the statement of funds and securities within one month of the quarterly statements in this regard being issued by you, failing which it is agreed by me/us that the statement of balances as issued by you is proper and correct.

Thanking you,

Yours truly,

Signature of the Client : _____

Constituent's/Client's Name : _____

Address: _____

Date : _____

Place : _____

Non-Mandatoroty / Voluntary Clause & at the Sole desecration of Client/Constituent

AUTHORITY LETTER FOR SALE OF SECURITIES IN CASE OF DEFAULT BY THE CLIENT

To _____ Date : _____

IIT INVESTRUST LIMITED

14-E, 2ND FLOOR, RAJA BAHADUR MANSION,28 BOMBAY SAMACHAR MARG, FORT, MUMBAI – 400 001

Dear Sir,

I/We refer to the Member Constituent Agreement dated _____ entered into by us.

With reference to the same, I/We hereby agree that if I/We fail to make payment of consideration to you in respect of any one or more securities purchased by me/us before the pay- in date notified by the Exchange from time to time, you shall be at liberty to sell the securities received in payout, in proportion to the amount not received, after taking into account any amount lying to my/our credit, by selling equivalent securities at any time on the Exchange. If you don't sell the securities for any reason whatsoever, such securities shall be deemed to have been closed out at a close out price declared by the exchange for the fifth trading day. I/We agree that the loss, if any on account of close out shall be to mine/our account.

I/We further agree that if I/We fail to deliver any one or more securities to your pool account in respect of the securities sold by me/us before the pay-in date notified by the Exchange/s by time to time, such un- discharged obligation in relation to delivering any one or more securities shall be deemed to have been closed out at the auction price or closed- out price, as may be debited to you in respect of the securities for the respective settlement, to the extent traceable to me/us to deliver; otherwise the close out price on the date of pay-out in respect of the relevant securities, declared by the Exchange.

I/We further agree that the loss, on account of the close out shall be to mine/our account. I/We further agree that if for any reason, schedule of pay-in and pay-out is modified as aforesaid shall be made applicable reckoning the actual date of pay-in and/or pay-out, as the case may be.

Signature of the Client C☞ _____ Client Name : _____

Date: _____ Place: _____

Non-Mandatoroty / Voluntary Clause & at the Sole desecration of Client/Constituent

AUTHORITY LETTER ADJUSTMENT IN DIFFERENT SEGMENT & EXCHANGES

To _____ Date : _____

IIT INVESTRUST LIMITED

14-E, 2ND FLOOR, RAJA BAHADUR MANSION,28 BOMBAY SAMACHAR MARG, FORT, MUMBAI – 400 001

Dear Sir,

Sub : Adjustment in different segment & Exchanges

Notwithstanding anything contrary contained in the Member Client Agreement entered between us on _____, I/We hereby inform you that I/We have executed/desire to execute an agreement with IIT INVESTRUST LIMITED for trading on the National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Ltd. (BSE) and/or any other Exchange in cash and derivative segment. I/We hereby request you to treat the agreement between ourselves and the agreement entered/to be entered by me/us with IIT INVESTRUST LIMITED as co-extensive and hereby authorize you to transfer, make adjustments and/or to set off a part or whole of the securities placed as margin and/or any surplus funds in any of my account/(s) maintained with you against the outstanding dues payable if any, by me/us in any of my/our account/(s) maintained with IIT INVESTRUST LIMITED or vice versa. **You and/or IIT INVESTRUST LIMITED shall have right of lien on the credit balance in any of my/our accounts irrespective of whether it is maintained with your IIT INVESTRUST LIMITED. Any entries passed by you in accordance with this authorization shall be binding on me/us.**

Thanking you,
Yours Faithfully,

Signature of the Client C☞ _____ Client Name : _____

Date: _____ Place: _____

**Non-Mandatory / Voluntary Clause & at the Sole desecration of Client/Constituent
AUTHORITY LETTER FOR INTER-SE ADJUSTMENTS**

To

Date : _____

IIT INVESTRUST LIMITED

14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR MARG, FORT, MUMBAI – 400 001

Dear Sir,

I/We refer to the Member Constituent Agreement dated _____ entered into by us.

We the undersigned entities are client of **IIT INVESTRUST LIMITED**, (herein after referred to as "IIT INVESTRUST LTD") and have been dealing / investing in securities through with you on Bombay Stock Exchange Ltd. in BSE Cash and with NSE in Cash and Derivative segment.




For the purpose of operation with you, we, undersigned, have agreed among ourselves to be treated collectively as a Group of Clients / accounts. In order to facilitate operations, we hereby authorize you to set off the outstanding in any of the accounts belonging to Group irrespective of the fact that such credits/debits 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 the sale proceeds of shares/securities provided to IIT INVESTRUST LTD by any client of the Group as margin/collateral deposit. In case of credit balance in any of the account or as a group no delayed payment charges/interest shall be payable by IIT INVESTRUST LTD. We agree to intimate you from time to time of any additions or deletions of the client belonging to the Group. We agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all accounts of the client belonging to the Group. Without affecting generality of the aforesaid we hereby irrevocably and unconditionally authorize you to do the following in our accounts maintained with you.

1. Pass journal entries adjusting the debit balance of any one or all of us against credit balance of any one or all of us in any accounts maintained by you.
2. Consolidate our accounts for the purpose of ascertaining limits available to us.
3. Withhold payment to any or all of us against payment due from any or all of us in any account(s).
4. Withhold securities due to any or all of us against dues of any or all of us in any account(s).

Such entries passed by you only to give effect to the authorization given herein shall be binding on all of us and we shall not dispute the same. We also undertake to pass necessary accounting entries in our respective books of accounts to give effect to entries passed by you on the basis of authority given to you wide this letter.

This authority is given to you singularly and jointly.

We the clients of the Group have affixed our signature below consenting to the above mentioned terms.

Sr. No.	Name of Family Member / Associate	Client / Trading Code	Signature of Family Member / Associate
			
			
			

Signature of the Client  _____ Client Name _____

**Non-Mandatory / Voluntary Clause & at the Sole desecration of Client/Constituent
AUTHORITY LETTER FOR PLEDGE OF SECURITIES**

To

Date : _____

IIT INVESTRUST LIMITED

14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR MARG, FORT, MUMBAI – 400 001

Dear Sir,

I/We refer to the Member Constituent Agreement dated _____ entered into by us.

This is with reference to securities placed by me/us in your Beneficiary Account No. _____ from time to time.

We would like to state that it is free from any lien and I/We authorize you to pledge the shares either to bank or to Clearing Member or to Clearing Corporation for availing or taking exposure.

Signature of the Client  _____ Client Name _____

**Non-Mandatory / Voluntary Clause & at the Sole desecration of Client/Constituent
E-MAIL CONSENT TO RECEIVE THE CONTRACT NOTE AND TRADE CONFIRMATION**

E-mail ID details (in case of more than one e-mail ids select the default email Id for receipt of contract notes and trade confirmations)

To,
IIT INVESTRUST LIMITED
14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR MARG, FORT, MUMBAI – 400 001
Clients / Constituent's E-mail Id _____

I/We hereby consent to receive the contract note/ trade confirmation of the trades executed by me / us, bills and account statements thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signatures as specified in the Information Technology Act 2000 and the rules made thereunder, www.iitinvestrust.com or any of my/our above mentioned email Ids.

I/We further hereby agree that the member has fulfilled the legal obligation, if the above documents are sent electronically to any one of the above e-mail Ids.

I/We agree that the member will not be responsible for non-receipt of documents sent via electronic delivery due to change in email address / correspondence address as mentioned aforesaid.

I/We also agree that the member shall not take cognizance of out-of-office/out-of-station auto replies and I/We shall be deemed to have received such electronic mails.

DECLARATION & ACCEPTANCE

I/We hereby declare 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.

I/We hereby agree and confirm that following email ID is our designated email ID for the purpose of receiving contract notes, ledger account of fund and securities and all other related communication from IIT INVESTRUST LIMITED and we receive all such documents communicated on said email ID :-

Thanks & Regards

Signature of the Client  _____ Client Name : _____

Email ID _____

Date: _____ Place: _____

**Non-Mandatory / Voluntary Clause & at the Sole desecration of Client/Constituent
AUTHORITY LETTER TO DEBIT DEMAT ACCOUNT OPERATING CHARGES**

To _____ Date : _____
IIT INVESTRUST LIMITED
14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR MARG, FORT, MUMBAI – 400 001

Dear Sir,

Beneficiary Client ID _____ **Trading Code** _____

I/We refer to the Member Constituent Agreement dated _____ entered into by us.

With respect to the above-mentioned subject and consideration, I/We hereby authorize you to debit the trading account maintained with IIT INVESTRUST LIMITED for the debiting operating charges including annual maintenance charges (AMC) from time to time, as against Bill(s) raised by IIT INVESTRUST LIMITED as Depository Participant for providing depository services.

Any such sum debited to my/our account shall be binding on me/us.

Thanks & Regards

Signature of the Client  _____ Client Name _____

Date: _____ Place: _____

Non-Mandatory / Voluntary Clause & at the Sole desecration of Client/Constituent

To,
IIT INVESTRUST LIMITED
14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR MARG, FORT, MUMBAI – 400 001

Dear Sir,

Sub: Letter of Standing Instructions

Ref.: Client Code / Trading Code

I/We refer to the Member Constituent Agreement dated _____ entered into by us.

I/We am/are client of **IIT INVESTRUST LIMITED**. Member of the Bombay Stock Exchange Ltd. (BSE) and the National Stock Exchange of India Ltd. (NSE), having client account with you vide Client Code referred above and I/We hereby willfully and unconditionally issue following standing instructions pertaining to my/our aforesaid client account with you:

1. I/We will make payments to you for bills raised by you. Further, I/We also authorize you to maintain a running account instead of settlement to settlement clearance of funds and securities. I/We also instruct you that no release of fund/securities should be made to me/us towards credit balance in my account, unless specifically demanded by me/us and only to the extent of amount/securities demanded by me/us. I/We also agree that no interest shall be payable to me/us for any such credit/excess in account with you.
2. I/We hereby agree for transfer of credit/debit balances in margin account/client account in Cash segment of any Exchange towards adjustment of credit/debit balance in margin account/client account of Derivatives segment of any Exchange and vise-versa.
3. I/We also agree for transfer of credit/debit balances in margin account/client account of Cash and Derivatives segment of BSE against credit/debit balance in margin account/client account of Cash and Derivatives segment of NSE with you and vice versa.
4. I/We am/are agreeable for transfer of credit/debit balances from margin account to client account and client account to margin account in Cash and Derivatives segment.
5. I/We am/are agreeable for transfer of credit/debit balance from Mark to Market/Premium account to Margin account and vice versa and for transfer of credit/debit balance from Margin account to Mark to Market/Premium account in the Derivatives segment.
6. I/We am/are agreeable for inter-settlement transfer of securities towards pay-in/pay-out of securities in the future/past settlements and for the purpose of meeting my any margin obligation from time to time, I/We hereby clarify that my/our securities pay-out be withheld at your end to meet my/our security deposit, margin requirements and other dues until cleared by me/us and pay-out of particular or all securities in my account is demanded by me/us
7. I/We am/are agreeable for and authorize you to withhold funds pay-out towards all the applicable margins and debits.
8. As regards the placement of orders, although you had insisted on written instructions for placing orders, considering the practical difficulties faced by me/us in complying with the same, I/We would request you to accept orders placed orally on telephone and/or by personal communication to your office.
9. For confirmation of Orders Executed even though you had insisted on sending the confirmation Orders executed (by issue of contract notes) on day to day basis, as already mentioned earlier, it would be impractical for me/us to get the contract notes on the same day, as it would be sent by post by you, I/We had requested you to kindly confirm the orders on the same day in the evening orally on telephone.
10. In case of Orders, which could not be executed fully or in part, I/We hereby request you to inform me/us about its status telephonically to enable me/us to take judicious decisions.

I/We am/are aware that the aforesaid authorization/instructions are voluntary and I/We are liberty to discontinue, revoke or set aside any of the authorization/instruction at any time by giving a notification/instruction in writing.

These standing instructions are valid from the date the account is opened at your end to the day of closure of Account at your end or till the revocation/modification of any of the points by me/us, whichever is earlier.

Thanking You,
Yours Faithfully,

Signature of the Client  Client Name : _____

Date: _____ Place: _____

FORMAT NO. 1**To be provided on the Letterhead of Company,
Specimen Board Resolution (For Corporate Clients)**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF M/s. _____ HELD ON _____ (Date) AT _____ (time), AT THE REGISTERED/CORPORATE/ADMINISTRATIVE OFFICE OF THE COMPANY SITUATED AT _____ (Address).

“RESOLVED THAT a Trading Account for the Company be opened in the name and style of **M/s.** _____ with **M/s. IIT INVESTRUST LIMITED** for buying, selling, hedging and/or otherwise dealing in the securities market (Capital Market and Derivatives Segment) of the various Stock Exchanges.”

“FURTHER RESOLVED THAT _____, Director/Authorized Signatory whose signatures are appended below, be and hereby, jointly and/or severally authorized to make, sign, execute, forward, enter into any application, deed, form, agreement, undertaking or any document and generally to do all such acts, deeds and things as may be required to give effect to the above resolution.”

“FURTHER RESOLVED THAT a certified copy of the resolution be furnished to M/s. IIT INVESTRUST Limited for their records.”

(Signature of the Authorized person with company rubber stamp with common seal) Specimen Signatures of Authorized Persons

Name	Signatures
_____	_____
_____	_____

FORMAT NO. 2**On the Letterhead of Company Shareholding Pattern (For Corporate Clients)**

Certified date _____ Submitted by _____

SHARES HOLDING PATTERN of _____ as on _____ EQUITY/PREFERENCE (please indicate and use separate sheets for equity/preference shares)

Sr. No.	Names *	Number of Shares held	Face value per Share	Amt. Paid up (Rs. in lakh)	% of total number of shares issued
Others					
TOTAL					100%

* All initials to be expanded

NOTES:

Persons holding 5% or more of the paid up capital should be shown separately and not clubbed in others.

(Signature of the Authorised person with company rubber stamp with common seal)

FORMAT NO. 3**DECLARATION BY (SOLE-PROPRIETOR)
(To be obtained on Pre-Printed Letter Head)**

Date : _____

To,
IIT INVESTRUST LIMITED
14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR
MARG, FORT, MUMBAI – 400 001

I refer to the trading account opened with you in the name of _____ and declare and authorize you as under.

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Depository Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary Account No _____ with Depository _____ having DP ID _____ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfers to from the above-mentioned account. I recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the firm.

(Please sign with rubber stamp of the concern)

FORMAT NO. 4**DECLARATION FROM KARTA**

Name of Karta : _____
 Address of HUF: _____

Date : _____

To,
IIT INVESTRUST LIMITED
14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR
MARG, FORT, MUMBAI – 400 001

I/We refer to the trading account opened with you in the name of _____ and declare and authorize you as under.

The Hindu undivided family of Shri _____ is carrying on business in the firm name & style of at _____ (Name of HUF) or we intend to have share trading account with IIT INVESTRUST LIMITED. I, the undersigned is a **karta** of my family. I declare that these are following members in my HUF.

Sr. No.	Name of Family Member	Relation	Date of Birth

As and when there is any addition or deletion in the member of this HUF I shall intimate the same to you.

Yours faithfully

Signature of Karta with Rubber Stamp of HUF

FORMAT NO. 5 AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER(S) / PARTNERS (To be obtained on pre-printed Letterhead of Firm)

To,
IIT INVESTRUST LIMITED
14-E, 2ND FLOOR, RAJA BAHADUR MANSION, 28 BOMBAY SAMACHAR MARG,
FORT, MUMBAI – 400 001

I/We refer to the trading account opened with you in the name of _____ and declare and authorize you as under.

We the partners of M/s _____, a partnership firm, having its office at _____ city _____ state _____ hereby authorize Mr./Ms _____ and Mr./Ms _____ to open a securities trading account in Capital Market segment, F&O segment and Retail Debt Market segment on behalf of the firm M/s _____ with the Trading Member **IIT INVESTRUST LIMITED** for sale and purchase of shares/debentures/ derivative instruments in Capital market segment(CM) and or Futures and Options segment(F&O) and/or Retail Debt Market segments (RDM) or any other segment that may be introduced by NSE/BSE in future. He/She/They is/are authorized on behalf of the firm to deal in equities, derivatives, debentures, debt products and the said Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of the firm by him/her/them.

Mr./Ms _____ and Mr./Ms _____ is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or/otherwise deal through **IIT INVESTRUST LIMITED** on behalf of the firm M/s _____ He/She/They is/are also 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 purpose. However any partner/authorized signatory(ies) can issue cheques from bank account(s) in favour of **IIT INVESTRUST LIMITED** for credit to Share trading account of the firm with **IIT INVESTRUST LIMITED**, even though his/their signatures may not be available on the records of **IIT INVESTRUST LIMITED** These cheques may either be from the account of partnership firm or from individual account, the said amount so given shall be solely/exclusively for the account of the firm maintained with **IIT INVESTRUST LIMITED**.

We also recognize that a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per Depository regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. _____ with Depositor having DP ID _____ opened as a singly/jointly in the name of Managing partner/partners of the firm. We agree that obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Thank you.

Yours Truly

Name of the Constituent

(Signature of all the Partners with the rubber stamp required)



IIT INVESTRUST LIMITED

Member - BSE, NSE Depository Participant - CDSL

Front Office - Internal Check List before creation of Client Master

Sr. No.	Particulars	Tick Whatever applicable		Remarks (if any)
		Yes	No	
1	KYC / CRF duly signed	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
2	PAN Copy Attached	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
3	Address Proof Attached	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
4	KYC / CRF duly filled	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
5	Contact Numbers Provided	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
6	Email ID Provided	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
7	Brokerage Proposed By Front Office	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
8	Introduction details provided	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
9	In Person Verification done	Yes <input type="checkbox"/>	No <input type="checkbox"/>	

Checked By  _____ Name : _____

Date _____ Place : _____



FOR OFFICE USE ONLY

Client referred by			Branch Code	
Documents in person verified by Signature			Client Master Entered by Signature	
Brokerage Slab	Min (Paise)	In %	UCC Uploaded by Signature	
<i>Intraday</i>			WEBEX Uploaded by Signature	
<i>Delivery</i>			Trading Id Created by Signature	
<i>F&O</i>			Back office Login Created by Signature	
Brokerage Code NSE CASH NSE F&O BSE CASH			Authorized By Signature	
Brokerage Slab Authorized by Signature				

Brokerage Slab (For Head Office Use Only)

Trade Type	BSE (Cash)		NSE (Cash)		NSE (Futures)		NSE Option	Auth. By & Signature
	Min. (Paise)	In %	Min. (Paise)	In %	Min. (Paise)	In %		
Trading I st Leg								
Trading II nd Leg								
Delivery								

Remarks