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Provided through separate Handbook

## COMPANY DETAILS

1.	CIN No.	:	U51109RJ2006PTC022353
2.	SEBI Reg. No. (Stock Brokers)	:	INZ000077535
3.	SEBI Reg. No. (Depositories Participants)	:	IN-DP-422-2019
4.	NCDEX Membership No.	:	NCDEX/CO/9/00951
5.	BSE CMID	:	6723
6.	NSE	:	90202
7.	MCX	:	56895
8.	CDSL DP ID	:	12089200
9.	Name of Member	:	Shree Balaji Multicommodities Private Limited
10.	Registered Address/	:	Office No. 724/725, 7 <sup>th</sup> Floor, Sun N Moon Chamber, Near Ajmer Pulia, Jaipur (Raj.)-302006
10.	Telephone	:	9358000981
11.	Mobile	:	9358000984
12.	Compliance Officer	:	Mr. Gaurav Kumar Mishra
13.	Email	:	gauravmishra@sbmcp.co.in
14.	Website	:	www.sbmcp.co.in

For any grievance/dispute please contact Shree Balaji Multicommodities Private Limited at our registered address or email [grievance@sbmcp.co.in](mailto:grievance@sbmcp.co.in) and phone no. 9358000981. In case not satisfied with the response, please contact the MCX at [grievance@mcxindia.com](mailto:grievance@mcxindia.com) and phone no. 91+022-67318888 and NCDEX at [askus@ncdex.com](mailto:askus@ncdex.com) and phone no. 91+22-664067789, BSE at [is@bseindia.com](mailto:is@bseindia.com), NSE at [ignse@nse.co.in](mailto:ignse@nse.co.in), CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com), SEBI at <http://scores.gov.in> or please contact SEBI office on Toll Free Helpline at 1800227575/18002667575.

## ACKNOWLEDGEMENT

To,  
Shree Balaji Multicommodities Private Limited  
Regd. Off: Office No. 724/725, 7<sup>th</sup> Floor,  
Sun N Moon Chamber, Near Ajmer Pulia,  
Jaipur (Raj.)-302006  
Dear Sir/Madam,

I undersigned, hereby confirm that I have received the duly executed copy of KYC form, Right & Obligations, Guidance Note, Policies and Procedure, Tariff Sheet, Risk Disclosure Document and Right & Obligations (DP), MITC and all other documents as executed by me.

I acknowledge that the detail related to my account are as under :

Client Name \_\_\_\_\_  
Trading Code \_\_\_\_\_  
DP BO ID \_\_\_\_\_  
E-mail id \_\_\_\_\_  
Mobile \_\_\_\_\_  
AOF version 24.1

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

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



**CDSL VENTURES LIMITED**

... Exploring New Horizons



**SBJ MULTICOM**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: \_\_\_\_\_

Application Type\*:  New KYC  Modification KYC

**KYC Mode\*** Please Tick ( )

Normal  EKYC OTP  EKYC Biometric  Online KYC  Offline EKYC  Digilocker

**1. Identity Details** (please refer guidelines overleaf)

PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name+(if any) \_\_\_\_\_

Fathers/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender \*  Male  Female  Transgender

Marital Status\*  Single  Married

Nationality\*  Indian  Other \_\_\_\_\_

Residential Status\*  Resident Individual  Non Resident Indian

Please Tick (.)  Foreign National  Person of Indian Origin+ Cross Signature across Photograph

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)



Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A—Aadhaar Card XXXX XXXX \_ \_ \_ \_

B—Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

C—Voter ID Card \_\_\_\_\_

D—Driving License \_\_\_\_\_ (Expiry Date) \_

E—NREGA Job Card \_\_\_\_\_

F—NPR \_\_\_\_\_

Z—Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**2. Address Details\*** (please refer guidelines overleaf)

**A. Correspondence/Local Address\***

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

	Applicant e-SIGN
--	------------------

**B. Permanent residence address of applicant, if different from above A / Overseas Address\*(Mandatory for NRI Applicant)**

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified**Proof of Address\*** (Attested copy of any 1 POA for correspondence and permanent address each to be submitted)

- A—Aadhaar Card                      XXXX XXXX \_ \_ \_ \_ \_
- B—Passport Number                      \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- C—Voter ID Card                      \_\_\_\_\_
- D—Driving License                      \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- E—NREGA Job Card                      \_\_\_\_\_
- F—NPR                      \_\_\_\_\_
- Z—Others                      \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**3. Contact Details (in CAPITAL)**

Email ID\* \_\_\_\_\_

Mobile No.\* \_\_\_\_\_

Tel (Off) \_\_\_\_\_

Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: \_\_\_\_\_ (DD-MM-YYYY)

PLACE: \_\_\_\_\_

Applicant e-SIGN

Applicant Wet Signature

**5. For Office Use Only**

In-Person Verification (IPV) carried out by\*

Intermediary Details\*

IPV Date \_\_\_\_\_

Emp. Name \_\_\_\_\_

Emp. Code \_\_\_\_\_

Emp. Designation \_\_\_\_\_

 Self certified document copies received (OVD) True Copies of documents received (Attested)

AMC/Intermediary Name: SBJ MULTICOM

SHREE BALAJI MULTICOMMODITIES PVT. LTD.

Employee Signature and Stamp

Institution Name and Stamp

## Instructions / Guidelines for filling Individual KYC Application Form

### A. General Instructions:

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

### B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card/document with address issued by any of the following: Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax.

8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

**D. Exemptions/Clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected)**

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of People Authorized to attest the documents:**

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

**F. Online Mode Processing of KYC:**

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

2. EKYC OTP

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

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

**Important Instructions:**

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



**For Office use only**

Application Type\*  New  Update

(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

Account Type\*  Normal  Minor  Aadhaar OTP based E-KYC (in non-face to face mode)

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

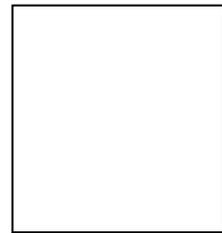
	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>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

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

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

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

PHOTO\*



- II.  E - KYC Authentication
- III.  Offline verification of Aadhar

**Address**

Line 1\*

Line 2

Line 3  City/Town./Village

District\*  Pin/Post Code\*  State/U.T. Code\*  ISO 3166 Country Code

**3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)**

Same as above mentioned address (In such cases address details as below need not be provided)

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

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

- II.  E - KYC Authentication
- III.  Offline verification of Aadhar

IV.  Deemed Proof of Address-Document Type Code

V.  Self Declaration

**Address**

Line 1\*

Line 2

Line 3  City/Town./Village

District\*  Pin/Post Code\*  State/U.T. Code\*  ISO 3166 Country Code



**OTHER DETAILS**

Gross Annual Income Details OR Net-worth as on (date)	Income Range per annum <input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> > 25 <input type="text"/> <input type="text"/> is Rs. _____ (Net Worth should not be older than 1 year)	
Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Government Service <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Retired <input type="checkbox"/> House Wife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify)	
PEP (Please Tick)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)	
Self Declaration of Categories of Clients	<i>Farmer/FPOs</i> <i>Value Chain Participant (VCPs)</i> <i>Foreign Participants</i> <i>Domestic Financial Institution Investor</i> <i>Others</i>	<input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All <input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All <input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All <input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All <input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All

**BANK ACCOUNTS (S) DETAILS**

Bank Name	<input type="text"/>	
Branch Name	<input type="text"/>	
Branch Address	<input type="text"/>	
Bank A/c No.	<input type="text"/>	
A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current Others _____ Penny Drop Verified <input type="checkbox"/> Yes <input type="checkbox"/> No	
MICR Number	<input type="text"/>	IFSC Code <input type="text"/>
Proof of Bank Submitted	<input type="checkbox"/> Bank Statement <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Cancelled Cheque leaf	

(Specify name of the client / MICR Code or / and IFSC code of the bank)

Note: 1. Bank statement should be original and of latest quarter. It should have Bank Manager's Stamp & Sign, if original stationary is not available. 2. Bank Passbook should have Bank Manager's Stamp & Sign if it is hand written.

**TRADING PREFERENCE FORM**

To,  
Shree Balaji Multicommodities Private Limited  
Regd. Off: Office No. 724/725, 7<sup>th</sup> Floor,  
Sun N Moon Chamber, Near Ajmer Pulia,  
Jaipur (Raj.)-302006

Sub.: Trading Preferences

Dear Sir/Madam,

I wish to add/activate the following segments to my trading preferences.

**C. TRADING PREFERENCES**

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.								
Exchanges	NSE						NSE	NCDEX
	BSE						BSE	MCX
All Segments	Cash	Mutual Fund	F&O	Currency	Debt	SLBM	Commodity Derivatives	

**ADDITIONAL DETAILS**

Facilities for Trading	Whether you wish to avail the facility of <input type="checkbox"/> Internet Trading <input type="checkbox"/> Wireless technology (Mobile)
Contract note and Standard Document:	Whether you wish <input type="checkbox"/> in Electronic Form (Email ID same as mentioned on KRA Page) to receive <input type="checkbox"/> in Physical Form
Educational Qualification	<input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional
Investment/Trading Experience	<input type="checkbox"/> Years in Stocks <input type="checkbox"/> Years in Derivatives <input type="checkbox"/> No Prior Experience
Primary Purpose of dealing	In Equities: <input type="checkbox"/> Intraday <input type="checkbox"/> Positional <input type="checkbox"/> Investment In Derivatives: <input type="checkbox"/> Trading <input type="checkbox"/> Hedging
Any other information	

**GST DETAILS**

GST Number	<input type="text"/>
GST Implementation Location	<input type="text"/>

**PAST ACTION**

Details of any action/proceeding initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituents or its Partners/promoters/whole time director/authorized person in charge of dealing in securities during the last 3 years.

**DEALING THROUGH OTHER STOCK BROKERS**

If you are dealing with any other stock broker/Sub broker/Authorized Person, provide the following details: (in case dealing with multiple stock brokers/Sub broker/Authorized Person, provide details of all)			
Name of Stock Broker	<input type="text"/>	Client Code	<input type="text"/>
Name of Sub Broker/	<input type="text"/>	Exchange	<input type="text"/>
Authorized Person	Details of disputes/dues pending from/to such stock broker/sub broker/Authorized Person .....		

**INTRODUCER DETAILS**

Name of the Introducer	<input type="text"/>
Introducer Code	<input type="text"/>
Address & Phone No.	<input type="text"/>
	<input type="text"/>
	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorize Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others .....
Signature of the Introducer	

**SALES TAX REGISTRATION DETAILS (As applicable, Statewise)**

	Registration No.	Validity Date	Name of the State (Please give details of all states where you are registered)
Local Sales Tax			
Central Sales Tax			
Other Sales Tax			

**VAT DETAILS (As applicable, Statewise)**

	Registration No.	Validity Date	Name of the State (Please give details of all states where you are registered)
Local Vat			
Central Vat			

1. I/We hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately in case any of the above information is found to be false or untrue or misleading or misrepresenting. I am aware that I may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents, policies and procedures.
3. I/We further confirm having read and understood the contents of the 'Right and Obligations' document(s) and 'Risk Disclosure Document' and 'Do's and Don't'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on Member's designated website.
4. I/We want to continue my account in BSDA Scheme.  Yes /  No Tick here



Signature of Client

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

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

### CONSENT FOR AADHAR NUMBER

Request for Aadhar Updation- YES  NO

I/We wish to link my/our Aadhar No. \_\_\_\_\_ and I/We have no objection in a authenticating the same with Aadhar based authentication system via OTP/Biometric/demographic information. In case of authentication failure with UIDAI records. I/we understand that my/our Aadhar No. will not be updated in the Shree Balaji Multicommodities Private Limited records.

Consent to share Aadhar Details- YES  NO

I/we hereby give my/our consent to Shree Balaji Multicommodities Private Limited to update and share my Aadhar number and related details obtained from UIDAI through authentication using OTP/Biometric/Demographic information on my behalf with my third party entities like Exchanges, Depositories, KRA, CERSAI, AMC's, PMS, Mutual Funds, Insurer's or any other institution that may be formed in future, or any of its associated or group company etc. where there is a requirement of uploading/updating/modifying the Aadhar no. in case of any investment or purchase of any product/services from such entities made through Shree Balaji Multicommodities Private Limited or in case there is a regulatory requirement for the same or in any other case what so ever.

Also, I/we hereby give my/our consent to Shree Balaji Multicommodities Private Limited to share my Aadhar number and related details obtained from KRA, CERSAI as part of fetching process etc. or any other institution that may be formed in future, or any of its associated or group company etc. with any third party entities like Exchanges, Depositories, KRA, CERSAI, AMC'S, PMS, MutualFunds, insurer's or any other institution that may be formed in future, or any of its associated or group company etc. where there is requirement of uploading/updating/modifying that Aadhar No. in case of any investment or purchase of any product/services from such entities made through Shree Balaji Multicommodities Private Limited or in case there is a regulatory requirement for that same or in any other case what so ever.

	First / Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature of Client</b>			

### FOR OFFICE USE ONLY

UCC Code Allotted to the Client \_\_\_\_\_

	Document Verified with Originals
Name of the Employee	
Employee Code	
Designation of the Employee	
Date	
Signature	

We undertake that we have made the client aware of 'Policy and Procedures' tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights of Obligations' document(s). RDD and Guidance Note. We have given/sent him a copy of all the KYC documents. We undertake that any change in the 'Policy and Procedures' tariff sheet and all the non-mandatory documents would be duly intimated to the clients. We also undertake that any change in the 'Right and Obligations' and RDD would be made avail on our website [www.sbmcp.com.in](http://www.sbmcp.com.in) for the information of the clients.

**Signature & Seal** 

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

**DEMAT ACCOUNT RELATED ADDITIONAL DETAILS****(Required for the purpose of DEMAT A/c Opening)**

(To be filled by the Depository Participant)

Application No. \_\_\_\_\_ Date \_\_\_\_\_

DP Internal Reference No. \_\_\_\_\_

DP ID 1 2 0 8 9 2 0 0 Client ID \_\_\_\_\_

Please fill all the details in Block Letters in English only.

I/we request you to open a Depository Account in my/our names as per the following details.

**HOLDER'S DETAILS**

Sole/First Holder's Name	PAN																		
	UID																		
	UCC																		
	Exchange Name & ID																		
Second Holder's Name	PAN																		
	UID																		
Third Holder's Name	PAN																		
	UID																		

Name\* \_\_\_\_\_

\* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust etc., although the account is opened in the name of the natural persons, the name of the firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

**TYPE OF ACCOUNT (Please tick whichever is applicable)**

Status	Sub. Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor <input type="checkbox"/> Individual Margin Trading A/c (MANTRA) <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipts <input type="checkbox"/> Others (Specify)

**DETAILS OF GUARDIAN (In case the account holder is minor)**

Guardian's Name	PAN																		
Relationship with the applicant																			
I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No																		
I/We would like to instruct the DP to accept all the pledge instruction in my/our account without any other further instruction from my/our end (if not marked, the default option be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No																		
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No																		
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No																		
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly																		
I/we would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (Tick the applicable box, If not marked the default option would be in Physical)																			
I/We wish to receive dividend/interest directly in to my bank account as given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No																		

### BANK DETAILS [DIVIDEND BANK DETAILS]

Bank Code (9 digit MICR code)		[ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]								
IFSC Code (11 Character)		[ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]								
Account No.		[ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]								
Account Type		<input type="checkbox"/> Saving			<input type="checkbox"/> Current			Other (specify) _____		
Bank Name										
Branch Name										
Branch Address										
City		State		Country		PIN Code				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
  - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details- Gross Annual Income Details	<b>Income Range per annum:</b>		
	<input type="checkbox"/> Up to Rs. 1,00,000	<input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000	<input type="checkbox"/> Rs. 5,00,000 to 10,00,000
	<input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000	<input type="checkbox"/> More than Rs. 25,00,000	
	Net worth Rs. as on (Date) [ ][ ][ ][ ][ ] Rs.		
	[Net worth should not be older than 1 year]		
Occupation	<input type="checkbox"/> Private/Public Sector	<input type="checkbox"/> Govt. Service	<input type="checkbox"/> Business
	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculture	<input type="checkbox"/> Retired
	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student	<input type="checkbox"/> Other Specify
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)	<input type="checkbox"/> Related to Politically Exposed Person (PEP)	<input type="checkbox"/> Not Politically Exposed Person (PEP)
	<input type="checkbox"/> Not Politically Exposed Person (PEP)	<input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)	
Any other Information:			
<b>SMS Alert Facility</b> Refer to Terms & Conditions <b>given as Annexure 2.4</b>	MOBILE NO. +91 _____ [Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail to this facility, cancel this option)		
Transaction Using Secured Texting Facility ( <b>TRUST</b> ). Refer to Terms and Conditions Annexure 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/we wish to register the following cleaning member IDs under my/our below mentioned BO ID registered for TRUST		
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
<b>Easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.		

#### CAS Facility – CAS (CONSOLIDATED ACCOUNT STATEMENT) is available

1. I/we wish to opt CAS Facility
2. I/we do not wish to opt CAS Facility

	First / Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature of Client</b>			

(SEBI/HO/OIAE/\_IAD-3/P/ON/2025/01650, Dated January 10, 2025)

**Nomination Form for Demat Accounts and Mutual Fund (MF) Folios**

I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account/folio in the event of my/our demise, as trustee and on behalf of my/our legal heir(s)\*

<b>NOMINATION DETAILS</b>							
<b>Mandatory Details</b>				<b>Additional Details</b>			
	<b>Name of Nominee</b>	<b>Share of nominee</b>	<b>Relationship</b>	<b>Mobile number &amp; E-mail</b>	<b>Identity Number</b>	<b>DOB of nominee</b>	<b>Guardian</b>
<b>Nominee 1</b>							
<b>Address</b>							
<b>Nominee 2</b>							
<b>Address</b>							
<b>Nominee 3</b>							
<b>Address</b>							
<b>Nominee 4</b>							
<b>Address</b>							
<b>Nominee 5</b>							
<b>Address</b>							
<b>Nominee 6</b>							
<b>Address</b>							
<b>Nominee 7</b>							
<b>Address</b>							
<b>Nominee 8</b>							
<b>Address</b>							
<b>Nominee 9</b>							
<b>Address</b>							
<b>Nominee 10</b>							
<b>Address</b>							

**Joint Accounts:**

<b>Event</b>	<b>Transmission of Accounts / Folio to</b>
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously-having nominee	Nominee
Demise of all joint holders simultaneously-not having nominee	Legal heir(s) of the youngest holder

\*\*\*Provide only number: PAN or Driving License or Aadhar (last 4). Copy of the document is not required. However, in case of NRI/OCI/PIO, Passport number is acceptable.

\*\*\*to be furnished only in following conditions/circumstances:

- Date of Birth (DOB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

I/we want the details of my/our nominee to be printed in the statement of holding or statement of account, provided to me/us by AMC/DP as follows; (please tick, as appropriate)

Name of nominee(s)  Nomination: Yes / No

I hereby authorize \_\_\_\_\_ (nominee number ..... ) to operate my account on my behalf, in case of any incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encase my assets up to .....% of assets in the account/folio or Rs. .... (Optional) (strike off portions that are not relevant).

This nomination shall supersede any prior nomination made by me / us, if any.

Signature(s) – As per the mode of holding in demat account(s) / MF folio(s).

	First / Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature of Client</b>			

\*Signature of two witness (es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

	First/Sole Witness	Second Witness
Name / Address of Witness		
Signature of Witness		

## FACTA DECLARATION

Do you satisfy any of the criteria mentioned below:

	Yes	No
(a) Citizen of any country other than India (dual/multiple) [including Green Card]		
(b) Country of birth is any country other than India		
(c) Tax resident of ANY country/ies other than India		
(d) POA or a mandate holder who has an address outside India.		
(e) Address or telephone number outside India.		

If your answer to any of the above questions is a 'YES', please fill 'FATCA DECLARATION' given on our website and submitted signed FATCA Declaration to Head Office.

Subject to applicable Laws, I/We hereby give consent to share my information with domestic/overseas regulators or tax authorities wherever necessary.

I/We hereby declare and confirm that the details given above are true and correct.

Further I/We would like to state that in future if there is any change in my/our tax status (i.e. if I/we become tax resident of any other county other than India) then the same will be informed to Shree Balaji Multicommodities Pvt. Ltd. and below FATCA Declaration will be submitted to you immediately.

Client's Signature	
Client Name	

## OPTION FOR ISSUE OF DIS BOOKLET

I/We hereby state that

**Option 1:** I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through I/we have issued a Power of Attorney (POA)/executed PMS Agreement in favour of/with \_\_\_\_\_ (name of the Attorney/Clearing Member/PMS Manager) for executing delivery instruction for setting stock exchange trades (settlement related transactions) effected through such Clearing Member/by PMS Manager.

**OR**

**Option 2:** I/We do not require the Delivery Instruction Slips (DIS) for the time being, since I/We have issued a POA/executed PMS agreement in favour of/with \_\_\_\_\_ (name of the attorney/Clearing Member/PMS Manager) for executing delivery instructions for setting stock exchange trade (settlement related transaction) effected through such Clearing Member/by PMS Manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

	First / Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature of Client</b>			

## TARIFF SHEET

### BROKERAGE FOR TRADING ACCOUNT

Transaction Type	Equity Cash			Equity F&C		
	Intraday (First leg)	Intraday (Second leg)	Delivery	Futures (First leg)	Futures (Second leg)	Options
Table No.						
Brokerage Rate (%)						
Min. Brokerage (%)						

Transaction Type	Currency			Commodities F&O			
	Futures (First leg)	Futures (Second leg)	Options	Futures (First leg)	Futures (Second leg)	Options	Delivery
Table No.							
Brokerage Rate (%)							
Min. Brokerage (%)							

**TERMS AND CONDITIONS:**

1. Second leg - if squared off on the same day
2. Account Opening charges (including KRA charges) for Trading Account is Rs. \_\_\_\_\_
3. SEBI Turnover Fees, STT, Service Tax, Clearing Charges, Stamp Duty & GST Transaction Charges will be levied separately from brokerage as applicable from time to time.
4. Statutory charges as applicable from time to time.

**Other Charges:**

1. In addition to above charges levied on account of Cheque Return, wrong reporting of Cheques. DP Scheme Charges for DIS Re-issuance, issue of Duplicate Statements, Interest Charges, Delay payment charges, user ID - 'Internet Trading or Wireless Technology' etc. may be recovered from your account.
2. Shree Balaji Multicommodites Pvt. Ltd. reserves the rights to change the brokerage as well as there tariff from time to time under intimation to client.



Signature of client

### DISCLOSURE INFORMATION

Sir,

This is to inform you that we may do Pro-account trading at NCDEX, NSE (F&O, Currency Derivatives)

Thanks and best regards

I acknowledge the receipt of information given above by Shree Balaji MultiCommodities Private Limited that they do Pro-account



Signature of client

## Shree Balaji Multicommodities Private Limited

Office No. 724/725, 7<sup>th</sup> Floor, Sun N Moon Chamber,

Near Ajmer Pulia, Jaipur (Raj.)- 302006

<b>Schedule – A Tariff Structure</b>	
<b>For Individual/HUF/Corporates</b>	
Details	POA Clients
	Option-1
Stamp charges payable upfront	Rs. 140/- (Actual as applicable)
<b>Annual Maintenance Charges (charged quarterly)</b>	
a. Individual/Non Individual (except corporate)	Rs. 199/- + GST
b. Non Individual – Corporate	Rs. 999/- + GST
<b>Transaction Charges : (Market Trades)</b>	
Buy (Receive) / Sell (Debit)	Nil / Rs. 5/- + Rs. 5.50/- (CDSL Charges)
<b>Transaction Charges : (Off-Market Trades)</b>	
Buy (Receive) / Sell (Debit)	Nil / 0.03% or Rs. 25/- whichever is higher
Demat (Per certificate)	Rs. 150/- per certificate
Remat (Per certificate)	Rs. 150/- per certificate + CDSL Charges
Courier charges per Demat/Remat/Demat Rejn./CMRq	Rs. 100/-
Pledge Request	Rs. 20/- + Rs. 12 per request (CDSL Charges)
Unpledge Request	Rs. 20/- + Rs. 12 per request (CDSL Charges)
Pledge Invocation	Rs. 20/-
Margin Pledge	Rs. 9/- + Rs. 5/- per request (CDSL Charges)
Margin Unpledge	Rs. 9/- + Rs. 5/- per request (CDSL Charges)
Margin Repledge	Rs. 2/- (CDSL charges)
<b>Periodic Statement</b>	
By Email/Physical	Free / Rs. 50/- + (Courier charges at actual)
<b>Adhoc/Non Periodic Statement Requests</b>	
a. By Email	Rs. 10/- per request
b. Physical	Rs. 50/- per request upto 10 pages. Every additional page at Rs. 5/- + (Courier charges at actual)
<b>Delivery instruction</b>	
a. First Delivery Instruction Book	Free (10 Leaves)
b. Every Add Booklet (10 Leaves)	Rs. 100/-
Cheque Bounce Charges	Rs. 350/-
Failed Transaction	Rs. 50/- per ISIN
Modification in CML	Rs. 25/- per request
KRA Upload / Download	Rs. 50/-

**NOTE:**

For all purposes the bill date shall be construed as the date demand and the bills will be considered as the bill cum notice for payment and SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED reserves the right to freeze depository account for debit transaction in case of nonpayment of charges after two days from the bill date.

The above tariff is subject to change. Changes if any will be intimated 30 days in advance. Annual Maintenance Charge (AMC) is refundable on quarterly basis. GST is applicable on all above charges except stamp charges.

	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature of Client</b>			

**REQUESTING FOR BILL/TRANSACTION/HOLDING STATEMENT THROUGH EMAIL**

To,  
 Shree Balaji Multicommodities Private Limited  
 Regd. Off.: Office No. 724/725, 7<sup>th</sup> Floor, Sun N Moon  
 Chamber, Near Ajmer Pulia, Jaipur (Raj) 302006

Date: .....

Dear Sir,

Sub.: Requesting for bill/transaction/holding statement through email

I/we request you to send me/us bill, transaction and holding statement of my CDSL Demat account no. \_\_\_\_\_ at following email address \_\_\_\_\_

I/we fully agree and are aware of following terms and conditions mentioned below.

- (a) that I/We will not receive the bill, transaction and holding statements in paper form.
- (b) that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- (c) that I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.
- (d) that I/We in case bill, transaction and holding statements are sent by email, I/We will immediately inform the Shree Balaji Multicommodities Private Limited about change in email address, if any.

In case, the Shree Balaji Multicommodities Private Limited is not able to provide bill/transaction statement to its clients by email or on website due to any reason (including bounced emails), Shree Balaji Multicommodities Private Limited will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.

I/We hereby request you to send the statements:

Daily                      Fortnightly                      Weekly                      Monthly

Yours Faithfully

	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature of Client</b>			

**Declaration**

I/We have received and read the Rights and Obligations documents and terms & conditions and agree to abide by and be bound by the same and the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true to the best of my/our knowledge as on the date of making this application.

I/We agree and undertake to intimate the DP of any change(s) in the details/particulars mentioned by me/us in this form.

I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature of Client</b>			

## VOLUNTARY UNDERTAKING/AUTHORISATION

Date: .....

To,  
Shree Balaji Multicommodities Private Limited  
Regd. Off: Office No. -724/725, 7th Floor, Sun N Moon Chamber,  
Near Ajmer Pulia, Jaipur (Raj.) 302006

Sub: Voluntary Undertaking/Authorisation

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize Shree Balaji Multicommodities Private Limited to do the following:

### 1. ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call centre/branch specified for the said purpose by Shree Balaji Multicommodities Private Limited in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/ Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify Shree Balaji Multicommodities Private Limited and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

### 2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Shree Balaji Multicommodities Private Limited shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Shree Balaji Multicommodities Private Limited responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Shree Balaji Multicommodities Private Limited.

### 3. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Shree Balaji Multicommodities Private Limited has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

### 4. NOT TO ACT AS UNREGISTERED SUBBROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients In case I wish to deal for other clients also, I undertake to apply to SEBI through Shree Balaji Multicommodities Private Limited to obtain a sub broker registration. In case Shree Balaji Multicommodities Private Limited perceives that I am acting as an unregistered sub broker, Shree Balaji Multicommodities Private Limited has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Shree Balaji Multicommodities Private Limited without the requirement of any notice from Shree Balaji Multicommodities Private Limited. Further, Shree Balaji Multicommodities Private Limited has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Shree Balaji Multicommodities Private Limited from any loss/ damage/claim arising out of such activity.

### 5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform Shree Balaji Multicommodities Private Limited in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I fail to inform the same and Shree Balaji Multicommodities Private Limited on its own comes to know of such action, Shree Balaji Multicommodities Private Limited has the right to suspend/close my trading account and refuse to deal with me. Also, Shree Balaji Multicommodities Private Limited can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

### 6. PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Shree Balaji Multicommodities Private Limited officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that:

- a. I do not have any links with any known unlawful persons/institutions
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

### 7. INDEMNIFICATION

I hereby indemnify and hold Shree Balaji Multicommodities Private Limited, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Shree Balaji Multicommodities Private Limited directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and supporting/ documents provided by me at the time of registration and/ or subsequently.

Client's Signature	
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## **INDEMNITY OF JOINT HOLDINGS**

I hereby agree to indemnify and hold Shree Balaji Multicommodities Private Limited harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

## **8. BSE StARMUTUAL FUND FACILITY**

I am interested in availing the StAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the StAR platform of the Exchange. For the purpose of availing the StAR Mutual Fund facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of StAR and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

## **9. DELAYED PAYMENT CHARGES**

I understand that in case my account is in debit balance and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.05% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures.

## **10. NRI DECLARATION**

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to Shree Balaji Multicommodities Private Limited every time the investment is made.

## **11. THIRD-PARTY PAYMENTS**

Shree Balaji Multicommodities Private Limited shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by Shree Balaji Multicommodities Private Limited, Shree Balaji Multicommodities Private Limited shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by Shree Balaji Multicommodities Private Limited and the credit for the same has been given in the client's ledger, Shree Balaji Multicommodities Private Limited shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, Shree Balaji Multicommodities Private Limited reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. Shree Balaji Multicommodities Private Limited, its Directors and employees shall not be responsible for any consequential damages or losses.

## **12. NO DEALINGS IN CASH**

Shree Balaji Multicommodities Private Limited as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub- Broker/ Remisier/Employee/Authorised Person of Shree Balaji Multicommodities Private Limited.

**13. DISCLOSURE OF PROPRIETARY TRADING BY SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED**  
Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, Shree Balaji Multicommodities Private Limited discloses to its clients about its policies on proprietary trades. Shree Balaji Multicommodities Private Limited does proprietary trades in the cash and derivatives segment at NSE, BSE, NCDEX & MCX.

## **14. DELIVERIES**

The client shall ensure that the shares are properly transferred to the designated demat account of Shree Balaji Multicommodities Private Limited, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/Shree Balaji Multicommodities Private Limited. In case the client fails to transfer the shares on time to Shree Balaji Multicommodities Private Limited, Shree Balaji Multicommodities Private Limited shall not be responsible for any loss/damages arising out of such delayed transfers.

**15. SQUARING OFF OF POSITIONS & SALE/LIQUIDATION OF COLLATERAL MARGINS** (to the extent of Settlement Margin obligation)

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then Shree Balaji Multicommodities Private Limited has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Shree Balaji Multicommodities Private Limited, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Shree Balaji Multicommodities Private Limited.

After such square off of open positions by Shree Balaji Multicommodities Private Limited, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Shree Balaji Multicommodities Private Limited shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. Shree Balaji Multicommodities Private Limited, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

Client's Signature	
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**RUNNING ACCOUNT AUTHORISATION VOLUNTARY**

To,  
Shree Balaji Multicommodities Private Limited  
Regd. Off: Office No. 724/725, 7<sup>th</sup> Floor, Sun N Moon  
Chamber, Near Ajmer Pulia, Jaipur (Raj) 302006

Date .....

Dear Sir,

I will be dealing through you as client in Capital & Commodities Market and/or Future & Option segment and/or Currency Derivatives at BSE/NSE/NCDEX/MCX. In order to facilitate ease of operations and upfront requirement of margin for trade. I authorize you as under:

1. I request you to maintain running balance in my account & retain the credit balance in any of my account and to use the unused funds towards my margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/Clearing Corporation, unless I instruct you otherwise.
2. My order for purchase/sale will be given on telephone or orally during my visit to your office. I further declare that all orders placed by me with you will be for my personal and that I will not operate for any client and will not issue any further contracts/bills for the transactions executed through you.
3. I request you to retain with you for my margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/Clearing Corporation, unless I instruct you to transfer the same to my account.
4. I request you to settle my fund and securities account. Once in every calendar Quarter or / Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/ margin in form of Bank Guarantee and /or Fixed Deposit Receipts.
5. In case I have an outstanding obligation on the settlement date, you may retain the requisite securities/ funds towards such obligation and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
6. I shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker preferably within 7 working days from the date of receipts of funds/ securities or statement, as the case may be.
7. I confirm you that I can revoke the above mentioned authority anytime by giving notice in writing to you.

**PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS/CONTRACTS)**

Settlement Preferences (Please Tick):                      Monthly                      Quarterly

Thanking you

Yours faithfully,

Trading Code \_\_\_\_\_

Client's Signature	
Client Name	

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTE / STATEMENTS  
VOLUNTARY**

To, Date .....

Shree Balaji Multicommodities Pvt. Ltd.  
Regd. Off: Office No. 724/725, 7<sup>th</sup> Floor, Sun N Moon  
Chamber, Near Ajmer Pulia, Jaipur (Raj) 302006

Dear Sir,

Subject: Issuance of Electronic Contract Notes/Statements in Electronic Form (Trading/Demat A/c)

In reference to my/our dealing with you as a client for trading in the Capital & Commodities Market and/or Futures & Options Segment and/or Currency Derivatives at BSE/NSE/NCDEX/MCX Stock Exchanges, I/We hereby give my/our consent to receive electronic contract notes (ECN), financial statements, margin statements or any other reports/notices in electronic mode from Shree Balaji Multicommodities Private Limited on my/our below mentioned email id.

I/We further give my/our consent to receive bills, ledgers, transaction statements, monthly/quarterly demat statement of accounts/holding statement(s)/bills, or any other reports/notices in electronic mode on my/our below mentioned email id for the Depository services I/we am /are availing through Shree Balaji Multicommodities Private Limited - DP.

I/we confirm that the email address has been generated by me/us.

1.....

2 .....

I/We further hereby agree that the Shree Balaji Multicommodities Private Limited shall fulfill the legal obligation by sending the mentioned documents electronically to my/our e-mail id. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email id(s).

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of documents to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non receipt/ delayed receipt for any reason whatsoever.

I/We also undertake to check the ECN/Statement and other documents and bring the discrepancies to your notice within the time period as specified by the regulatory authorities. My/Our non-verification or not accessing the ECN/Statement and other documents on regular basis shall not be a reason for disputing the same at any time.

I/We understand and agree that I/we shall intimate any change in the email id mentioned herein through a physical letter to you. Whenever I/We want to discontinue the said facilities, I/We shall inform to Shree Balaji Multicommodities Private Limited immediately in writing.

I/We further agree that Shree Balaji Multicommodities Private Limited will not be held responsible for non receipt of documents sent via electronic delivery due to change in/incorrect e-mail address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify Shree Balaji Multicommodities Pvt. Ltd., that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

My Trading Code is \_\_\_\_\_

My/Our BO ID \_\_\_\_\_

	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature of Client</b>			

## DECLARATION

Client Code: \_\_\_\_\_

To

Shree Balaji Multicommodities Pvt. Ltd.  
Regd. Off: Office No. 724/725, 7<sup>th</sup> Floor, Sun N Moon  
Chamber, Near Ajmer Pulia, Jaipur (Raj) 302006

For the purpose of Account Opening. I/We hereby declare that the details provided on the KRA/KYC page downloaded from KRA System by you, are true and correct till date. I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I/We are aware that I/We may be held liable for it.

	First / Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature of Client</b>			

Place:

Date \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

## DECLARATION FORM FOR OPTING OUT OF NOMINATION

To,

Shree Balaji Multicommodities Pvt. Ltd.  
Regd. Off: Office No. 724/725, 7<sup>th</sup> Floor, Sun N Moon  
Chamber, Near Ajmer Pulia, Jaipur (Raj) 302006

Date \_\_\_\_\_

DP ID	12089200	Client ID	
First Holder Name			
Second Holder Name			
Third Holder Name			

I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my/our trading/demat account and understand the issue involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my/our trading/demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading/demat account.

	First / Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature of Client</b>			

**Client E-mail ID**

**Optional**

**Client Mobile Number**

### Declaration

I hereby declare that the mobile No./Email ID mentioned in the Account opening form/request for change in mobile No./Email ID is my own.

**REQUEST LETTER FOR REGISTRATION OF MOBILE NO./E-MAIL ID OF PERSON  
BELONGING TO THE CLIENT'S FAMILY**

Please note that the Mobile No./Email ID/both mentioned in the Account Opening Form/request for change in Mobile No./Email ID belongs to Mr./Mrs./Ms. \_\_\_\_\_  
who is my \_\_\_\_\_ (relationship with the client)

Client's Signature	
Client Name	

Only the Mobile No./Email ID of your spouse, dependent children and dependent parents can be registered in your demat account)

**CLIENT DEFAULTER DECLARATION**

**Voluntary**

I \_\_\_\_\_ having PAN \_\_\_\_\_ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/Various Exchange/Regulatory bodies, etc. I further declare that the above mentioned declaration/statement is true and correct.

Client's Signature	
Client Name	

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY  
PROVIDED BY STOCK BROKER TO THE CLIENT**

(All the clauses mentioned in the "Rights and Obligations" document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet Based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with datacard, etc. which use Internet Protocol (IP).
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the Internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT website provided that they are in line with the norms prescribed by Exchanges/ SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy is as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the Internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/ password in any manner whatsoever.
8. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
9. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non- availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or nonexecution of his orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges.

Trading Code \_\_\_\_\_

Client's Signature	
Client Name	

**Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL**  
**[SMS Alerts will be sent by CDSL to BOs for all debits]**

**Definitions:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

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

**Availability:**

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

**Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get /get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

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

**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

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

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

BOID

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_

Sole / Second Holder's Name : \_\_\_\_\_

Sole / Third Holder's Name : \_\_\_\_\_

Mobile Number on which messages are to be sent +91

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

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

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

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

	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature of Client</b>			

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

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

**Terms and Conditions for availing Transaction Using Secured Texting (TRUST)  
Service offered by CDSL**

**1. Definitions:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
  3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
  4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
  5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
  6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
  7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
  8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
  9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
  10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
  11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

**17. Indemnity:**

In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**18. Disclaimer:**

Depository shall be absolved of any liability in case:-

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility. .

	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature of Client</b>			



### Most Important Terms and Conditions (MITC)

#### (For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Trading Code: \_\_\_\_\_

Client's Signature	
Client Name	

## DEMAT DEBIT AND PLEDGE INSTRUCTION

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE

	Name	Address
1.	_____	_____
2.	_____	_____
3.	_____	_____

Whereas I/We hold a Beneficiary account No. 12089200 \_\_\_\_\_ (BO-ID) with Central Depository Services (India) Limited, and UCC \_\_\_\_\_ through Shree Balaji Multicommodities Private Limited (Regd. Off.: Office No. 724/725, 7<sup>th</sup> Floor, Sun N Moon Chamber, Near Ajmer Pulia, Jaipur (Raj.) 302006) bearing SEBI registration No. IN-DP-422-2019.

And Whereas I/We am an investor engaged in buying and selling of securities through Shree Balaji Multicommodities Private Limited, a member of The National Stock Exchange of India Ltd., The Bombay Stock Exchange of India Ltd., MCX and NCDEX bearing SEBI registration No. INZ-0000-77535.

And Whereas I/We am the above named do authorized to Shree Balaji Multicommodities Private Limited perform the following functions on my/our behalf.

S.No.	Purpose	Signature of First Holder*	Signature of Second Holder*	Signature of Third Holder*
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.			
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4.	Tendering shares in open offers through Stock Exchange platforms.			

To debit securities and/or to transfer securities from the aforesaid Demat account in respect of settlement of trades, margin obligations arising out of trades executed by me/us on the National Stock Exchange and to setup Margin Pledge and Re-Pledge to NSCCL and CM (NSE) CMID – M52094, For Securities Pay-in Pool A/c No. 1208920000001601, Early Pay in Account No. 1100001100020801, CM BP ID – IN520913 and the Bombay Stock Exchange (BSE) CMID 6723, Early Pay in Account No. 1100001000024280, Cash/F&O/Currency/Commodity Margin Pledge Account No. 1208920000002219 CM BP ID – IN667231 through Shree Balaji Multicommodities Private Limited.

This authority is restricted to the pay-in obligations arising out of the transactions of sale effected by me/us through Shree Balaji Multicommodities Private Limited and I/We ratify the instructions given by the aforesaid Clearing member to the Depository Participant named here in above in the manner specified herein.

	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature of Client</b>			

INCASE OF HUF: Co-Partner Signature

	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature of Client</b>			

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

DDPI. Registration No. D \_\_\_\_\_

We Accept

<b>Shree Balaji Multicommodities Pvt. Ltd.</b>	
Signature	
Place	