

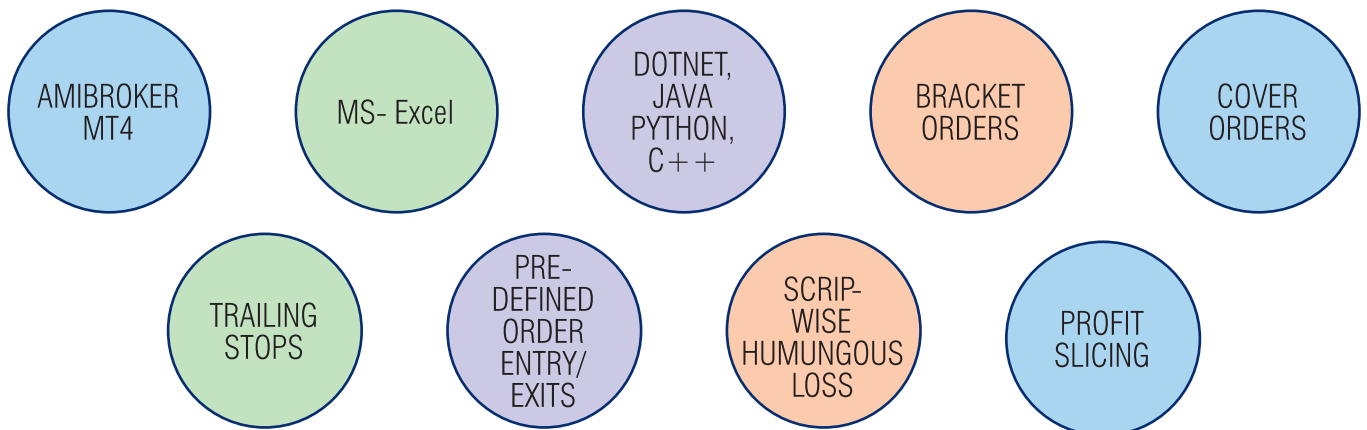


COMPOSITEEDGE
Discount Broking. Algo Trading. Smart Tools.

Application Kit



WELCOME TO THE WORLD OF INNOVATIVE TRADING



Swift account opening	Multiple trading platforms	Superior back office	DOWNLOAD APPLICATION FILL OUT PERSONAL INFO AFFIX PHOTOS SIGN & COURIER NOW • NEST SYMPHONY PRESTO MOBILE APP • IDEALX
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e-mail: help@compositeinvestments.com **dial:** 91-80- 41145828; 91-80-41145829

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OC Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 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.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- PAN card with photograph.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (* Documents having an expiry date should be valid on the date of submission.)

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly Copies of the Memorandum and Articles of Association and certificate of incorporation Copy of the Board Resolution for investment in securities market Authorised signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered partnership firms only) Copy of partnership deed Authorised signatories list with specimen signatures Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered trust only). Copy of Trust deed List of trustees certified by managing trustees/CA Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> PAN of HUF Deed of declaration of HUF/List of coparceners Bank pass-book/bank statement in the name of HUF Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act List of Managing Committee members Committee resolution for persons authorised to act as authorised signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(* Sufficient documentary evidence in support of such claims to be collected.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.


E. List of people authorized to attest the documents:


- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- 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.

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors)/ UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

 **3** _____

 **3** _____

Name & Signature of the Authorised Signatory(ies) Date / /

PEP: Politically Exposed Person **RPEP:** Related to Politically Exposed Person

TRADING & CLEARING MEMBER INFORMATION

Name of the Trading Member	COMPOSITE INVESTMENTS PVT LTD
SEBI Registration No.	INZ000279531
CDSL DP: IN-DP-CDSL-553-2010	DPID : 12065200
Registered Office Address	COMPOSITE INVESTMENTS PVT LTD No. 30/1, 3rd Floor, S J Towers, Mission Road, Bangalore 560027. Karnataka, India.
Name of the Clearing Member	Stock Holding Corporation of India Limited
Phone	080-22244909 / 912 / 913
Website	www.compositedge.com
Correspondence Address	Same as above
Compliance Officer Name	Prakash Nayak B
Phone No.	080-22244909 / 912 / 913
Email ID	prakash@compositeinvestments.com
CEO Name	Satish Kumar Dutt
Phone No.	080-22244909 / 912 / 913
Email ID	skdutt@compositeinvestments.com

For any grievance please contact CIPL at the above address or email
investorgrievance@compositeinvestments.com and Phone no. 91-80-22244912

In case not satisfied with the response, please contact the concerned exchange at:

1. NSE : ignse@nse.co.in or contact at 022-26598100
2. BSE : is@bseindia.com or contact at 022-22728097
3. MCX-SX : investorcompliant@mcx-sx.com

Annexure - 1

ACCOUNT OPENING KIT

INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	1-9
2	Internet Based Trading	Letter for INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (All the clauses mentioned in the ' <i>Rights and Obligations</i> ' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)	10-10
3	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	11-14
4	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	15-15
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
5	E Contract Note		16-16
6	Running account authorization		17-17
7	Self Declaration for Derivatives Trading		18-18
8	Undertaking		19-20
9	Refer a friend		21-21
10	HUF Declaration		22-22
11	Acknowledgement		23-23



Please tick, if applicable : for any of your authorized signatories / Promoters / Partners / Karta / Trustees / Whole time directors / Directors	Politically Exposed Person (PEP) / <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/>
Any other information	

DECLARATION

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

4
[Redacted Signature Area]

Name & Signature of the Authorised Signatory **Date:** _____ (dd/mm/yyyy)

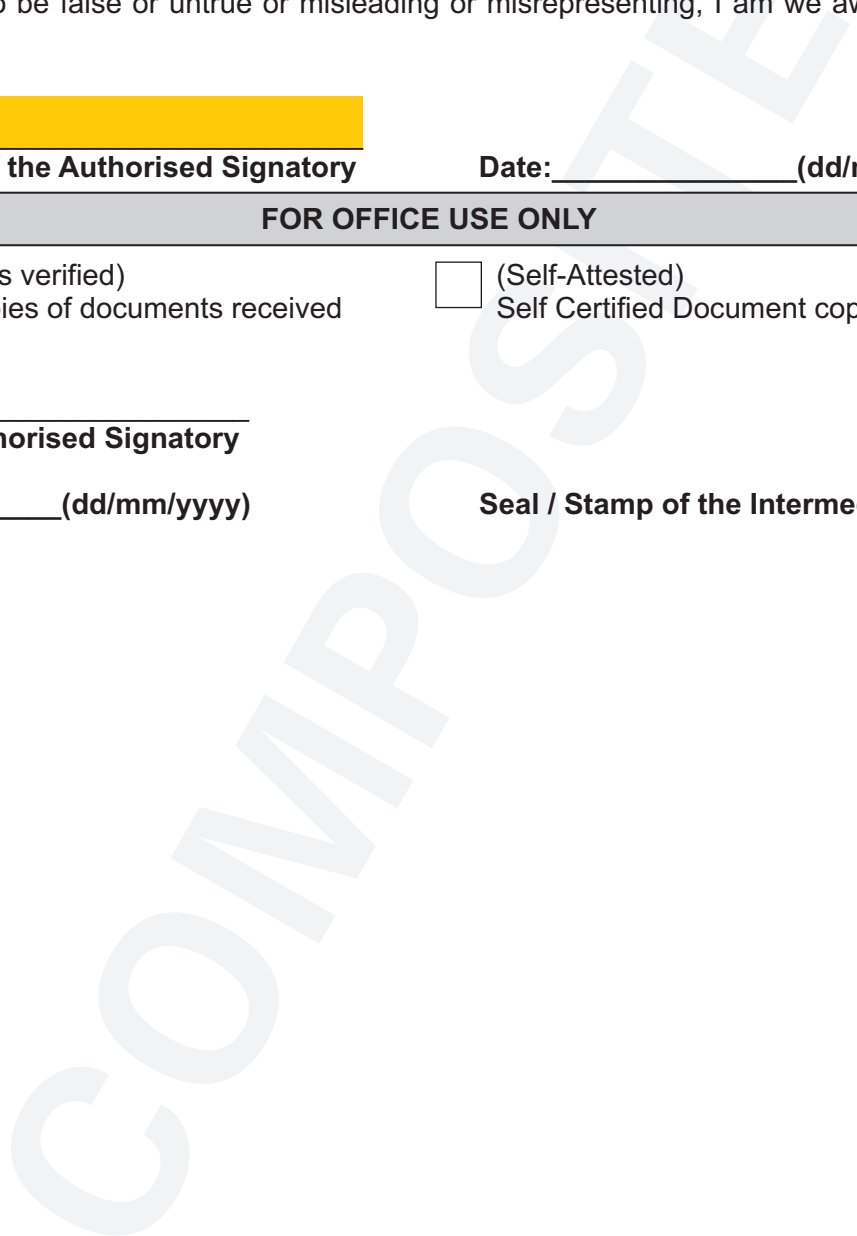
FOR OFFICE USE ONLY

- (Originals verified) True copies of documents received
- (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory

Date: _____ (dd/mm/yyyy)

Seal / Stamp of the Intermediary





TRADING ACCOUNT RELATED DETAILS

BANK ACCOUNT DETAILS									
Bank Name									
Branch Address									
Bank A/c Number									
Account Type (SB/CA/NRE/NRO)	SB <input type="checkbox"/>	CA <input type="checkbox"/>	NRE <input type="checkbox"/>	NRO <input type="checkbox"/>	OTHERS <input type="checkbox"/>				
MICR No.									
IFSC Code									
DEPOSITORY ACCOUNT(S) DETAILS									
Depository Participant Name									
Depository (NSDL / CDSL)									
Beneficiary Name									
Beneficiary ID (BO ID)									
DP ID									

* Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the Client.



TRADING PREFERENCES						
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.						
Exchanges	NSE, BSE				MCX, BSE & NSE	
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives	
Client Signature	→	→	→	→		
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____.						

If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.

PAST ACTIONS	
Details of any action/ proceedings initiated/ pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent of its Partners / promoters / whole time directors / authorized persons in charge of dealing in securities during the last 3 years	
DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS	
If Client is dealing through the sub-broker, provide the following details:	
Sub-broker's Name	
SEBI Registration number	
Registered office address :	
Phone	Website :


Whether dealing with any other stock broker / sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Name of Stock Broker: _____
	Name of Sub Broker if any: _____
	Client Code _____ Exchange _____
	Details of disputes / dues pending from / to such stock broker / sub broker _____

ADDITIONAL DETAILS

Mode of receiving contract notes (please tick)	<input type="checkbox"/> Physical Contract note <input type="checkbox"/> Electronic Contract note
Specify your email ID if applicable	
Whether you wish to avail Internet Trading (please Specify and Sign)	<input type="checkbox"/> Yes <input type="checkbox"/> No Client Sign. 
Whether you wish to avail Wireless Technology (please Specify and Sign)	<input type="checkbox"/> Yes <input type="checkbox"/> No Client Sign. 
No. of years of investment / Trading experience	

❖ Details of authorised persons to deal in securities on behalf of company / firm / others in case of non-individuals clients

Name of the authorised person		Photo of the authorised person signed across
Designation		
PAN No.		
UID		
Residential Address		
Signature	X	
Any other information		

INTRODUCER DETAILS	
Name of the introducer	
Address	
Phone No.	
Status / Relationship of introducer with CIPL	<input type="checkbox"/> Authorised person <input type="checkbox"/> Sub broker <input type="checkbox"/> Existing client <input type="checkbox"/> Others Please Specify _____
Signature of the introducer	

DECLARATION

1. I / We hereby declare that the details furnished above are true and correct to the best of my / our knowledge and belief and I / we undertake to inform you to 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 may be held liable for it.
2. I / We confirm having read / been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I / We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I / We do hereby agree to be bound by such provisions as outlined in these documents. I / We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.

Place _____

Date _____



Signature of Client / all Authorised Signatory(ies)

UCC Code allotted to the Client: _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I / We have also made the client aware of 'Rights and Obligations' document(s), RDD and Guidance Note. I / We have given / sent him a copy of all the KYC documents. I / We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I / We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my / our website, if any, for the information of the clients.

Signature of the Authorised Signatory

Date :

Seal / Stamp of the stock broker

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months.
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the Company need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be substituted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO 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 data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
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 Web Site 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 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 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 stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. 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.
10. The Client shall not have any claim against the Exchange or the Stock broker 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 non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

9

Client Signature

POLICIES & PROCEDURES

1. Refusal of orders for penny / illiquid stock

A stock that trades at a relatively low price and market capitalization is a penny stock. Penny stock companies often have low liquidity, making it difficult to sell shares. In extreme cases, investors may encounter difficulty liquidating their positions. Low liquidity also translates into easy manipulation of penny stocks due to most penny stocks being thinly traded. Both NSE and BSE list out penny stocks/illiquid stocks by way of circulars under the surveillance and investigation section. We advise clients to abstain from investing/trading in penny stocks.

We therefore reserve the right to refuse to allow trading/provide limits / use as collateral, penny stocks. We however have no restriction whatsoever on sale of penny stocks held in the demat account of the client. Further CIPL may ask for compulsory settlement / advance payment of expected settlement value/delivery of securities for settlement prior to acceptance / placement of order(s) as well. Losses, if any, on account of such refusal by CIPL or due to delay caused by such limits, shall be borne exclusively by the client alone. The Stock Broker shall not be responsible for any financial or other implications due to such execution, delay in execution or non execution of any such orders. The Stock Broker shall have the prerogative to place such restrictions, notwithstanding that the client has sufficient credit or margin available in his account.

2. Setting up client's exposure limits

CIPL, may from time to time, vary limits or impose new limits for the orders that the client can place through CIPL's trading platforms. CIPL would have the sole discretion on setting these limits based on its risk perception of the client, Margin received from the client, Market conditions and other factors, but not limited to, limits on account of exchange/ SEBI directions/ limits (such as Stock Broker level/ market level limits in security specific / volume specific exposures etc.). This would include exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.. The client is aware that CIPL may be unable to inform the client of such variation, reduction or imposition in advance. CIPL shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through its trading system on account of any such variation, reduction or imposition of limits.

CIPL may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through it, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by CIPL / exchange / SEBI and any other reasons which CIPL may deem appropriate in the circumstances. Losses, if any, incurred by the client on account of such refusal or delay, shall be borne exclusively by the client alone.

CIPL shall have the prerogative to allow differential buy and sell limits for its clients depending upon credit worthiness, integrity and past conduct of each client.

3. Applicable brokerage rate

CIPL is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5% of the contract price exclusive of statutory levies. Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on the options contracts shall not exceed 2.5% of the premium amount or Rs. 100/- (per lot), whichever is higher.

Brokerage for future contracts shall be charged on the value at which the contracts are bought or sold. It is hereby further clarified that brokerage on the futures contracts shall not exceed 2.5% of the Contract value exclusive of statutory levies.

The slab rates of brokerage are function of the cost of the services being provided to the client and would be reviewed from time to time.

4. Imposition of penalty/delayed penalty charges/other charges

CIPL would charge delayed payment charges on any amounts which are overdue from the client towards

trading or on account of any other reasons, at such rates as may be determined by the Stock Broker from time to time to time. The client shall pay to the Stock Broker brokerage, all taxes, duties, levies to the stock exchanges, transaction expenses, penalties for short margin levied by Exchange, delayed payment charges, short delivery charges, auction charges, cheque stop payment charges, cheque bounce charges, RTGS/NEFT charges, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from CIPL.

CIPL may impose penalties / fines for any orders/trades / deals / actions of the client which are contrary to Stock Broker Client Agreement/rules / regulations / Bye-Laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the Stock Broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders/trades / deals / actions of the client, the same shall be borne by the client.

5. The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues

CIPL shall have the right and the prerogative to sell client's securities, both unpaid securities as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is either a delay or failure of the client to meet the pay-in obligations and / or there is delay /failure of the client to bring additional margins to cover the increase in risk in dynamic and volatile market conditions. CIPL further has the right but not the obligation to cancel all pending orders and to sell/buy/liquidate all open positions /securities/shares at a pre-determined square-off time or when pre-determined MTM % is reached whichever is earlier in case of intra-day positions.

The client would be responsible for monitoring his / her / its position (dealings/trades and valuation of security(ies)) on his / her / its own and provide the required/deficit margin / security(ies) forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by CIPL to the client and / or whether or not such communication is received by the client. The client is not entitled to trade without adequate margin and that it shall be client's own responsibility to ascertain beforehand the margin requirements for its orders/ trades/deals and to ensure that the required margin is made available to CIPL in such form and manner as may be required.

The client shall ensure that funds/securities are made available in time and in designated form at designated bank(s) and depository account(s) of CIPL, for meeting his/her/its pay-in obligation of funds and securities. CIPL shall not be responsible for any claim/loss/damage arising out of non availability/short availability/delayed availability of funds/securities by the client in the designated account(s) of the Stock Broker for meeting the pay-in obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay-in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay-in for any reason whatsoever including but not limited to any delays/shortages at the exchange or Stock Broker level/non release of margin by the Stock Broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square-off / closing outs etc., shall be solely to the account of the client CIPL shall not be responsible for the same in any form or manner whatsoever.

In case the payment of the margin/security is made by the client through a bank instrument, the Stock Broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument & subsequent updation in records as CIPL's process.

Where the margin/security is made available by way of securities, it is upto CIPL's discretion to decline its acceptance as margin and/or to accept it at such reduced value as the Stock Broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as CIPL may deem fit in its absolute discretion.

In the event of client failing to maintain or provide the required margin/fund/security(ies) or to meet the funds/ margins/securities pay-in obligations on immediate basis for the orders/trades/deals of the client CIPL shall have the right, without any further notice or communication to the client, to withhold payout of funds/securities, to liquidate security(ies), to disable trading facility to the client , to liquidate/square off partially or fully the position of sale and/or purchase in anyone or more securities or contracts in such manner and at such rates which CIPL may decide in it's absolute discretion.

Losses, if any, on account of any one or more steps, as enumerated herein above, being taken by CIPL shall be borne exclusively by the client alone and he/she/it agrees not to question the reasonableness,

requirements, timing, manner, form, price etc which are chosen.

6. Shortages in obligations arising out of internal netting of trades

CIPL shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the Stock Broker from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

(a) Short Delivery to the Exchange for scrip at the Stock Broker level: In case of short delivery to exchange, the settlement happens as per the auction/close-out mechanism of Exchange and auction/close-out debit and all related charges is passed on to the defaulting clients who did not fulfill his/her/it's selling obligation.

(b) Short delivery in case of internal netting of trades :

The short delivery client is debited by an amount equivalent to 30% above the closing price of the day prior to payin/payout date. The shares delivered short will be purchased on the pay-in date i.e. on T+2 from Normal Market and the purchase consideration amount along with brokerage and related charges will be debited to the defaulting client along with reversal of the provisional amount debited earlier.

Further if CIPL is unable to buy shares on T+2 day from normal market due to upper side freeze on the scrip

Then

The valuation price that shall be debited to the short delivering client shall be, higher of, 5% above the closing price of Auction date i.e. T+2 day in normal market of the exchange,

or

Highest traded price between trade date and auction date. The defaulting client on sell side will be debited by the amount equivalent to the quantity short delivered multiplied by the valuation price. The client on the buy side will be credited by the same amount debited to defaulting client on sell date as computed above. All losses to the client on account of the above shall be borne solely by the client and CIPL shall not be responsible for the same. In case of any claim against CIPL, the Client shall indemnify CIPL in this regard.

Corresponding clients on the buy side of scrip A are chosen on the basis of the descending quantity of shares bought by them i.e. first the client (say X) who has purchased highest quantity of scrip A will be picked up and if the shortage of shares is more than the quantity of shares bought by the client X, then the client who has purchased the next highest quantity will be picked up so on and so forth. The shares bought on T+2 in case of Client to Client shortage and shares/credit received from Exchange through auction process in case of CIPL level shortage are credited to the corresponding client on buy side of scrip A chosen through the aforesaid mechanism.

7. Conditions under which a client may not be allowed to take further position or the Stock Broker may close the existing position of a client

CIPL may refuse to execute order of a client or may close the existing position of the client due to lack of margin / securities or the order being outside the limits set by CIPL / exchange/ SEBI. Other reasons for not allowing further positions or closing out of existing positions could be as:

1. Client has not met his pay-in obligations in cash by the scheduled date of pay-in for purchases done in CM segment.
2. Non-payment or erosion of margins or other amounts, outstanding debts, etc.
3. Client is dealing in illiquid scrips or contracts/penny stock.
4. Cheque submitted by the client has bounced or clear funds not received with the Stock Broker for the cheque submitted by the client.
5. If in the opinion of the Stock Broker, the client has committed a fraud, crime, or acted in contravention to the agreement.
6. Non Payment of Mark to Market loss in Cash.
7. Open positions in a contract exceed or are close to market wide cut-off limits.
8. Client's position is close to client-wise permissible "open" positions.
9. Intraday orders after the cut-off time would not be allowed.

8. Temporarily suspending or closing a client's account

The Stock Broker can suspend/close the client account and also withhold the pay-outs of client if there is any judicial or/and regulatory order/action requiring suspension/closure of client's account. The Stock Broker can also suspend/close the client account if the Stock Broker observes any abnormal or suspicious activity in the client account through its monitoring and surveillance of the client account. The Stock Broker may also temporarily suspend/close the client account if there is no activity in the client account for a period, as deemed fit by the Stock Broker from time to time. The client's account can also be put under temporary suspension/closure if the client has not cleared the uncovered debit in its account or if the client has not submitted Know Your Client (KYC) details sought by CIPL to fulfill its own surveillance or exchange related requirements.

In the event of information/reports reaching CIPL of the client's death, the account can also be put under temporary suspension/closure.

CIPL can also put the client's account under temporary suspension/closure if the client has failed to provide or update its communication details like correspondence address, mobile number, landline numbers or e-mail ID.

The client may also request CIPL to temporarily suspend/close his account. CIPL may do so subject to client accepting / adhering to conditions imposed by CIPL including but not limited to settlement of account and / or other obligation.

9. De-registering a client

The client has the option to De-register his account after settling his account with CIPL. The client would be liable to pay all dues in his account before the De-registration.

CIPL shall have the right to terminate the agreement with immediate effect in any of the following circumstances:

1. The client account figures in the list of debarred entities published by SEBI.
2. The actions of the Client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
3. If there is any legal /regulatory proceeding against the client under any law in force.
4. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
5. If the Client is in breach of any term, condition or covenant of this Agreement;
6. When CIPL is informed or ascertains that the client is deceased / has become insolvent / not able to act in the market due to lunacy/disability etc.
7. CIPL shall have the right to close out the existing positions, sell the collaterals to recover any dues with or without consent of the client before the de-registration of the client.
8. Either party will be entitled to terminate the agreement without assigning any reason, after giving notice in writing of not less than 30 days to the other party.

Notwithstanding any such termination/deregistering, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination/ deregistering, shall continue to subsist and vest in/ be binding on the respective parties or his/her/its respective heirs/executors/administrators/legal representatives/ successors as the case may be.

10. Inactive client account

Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

**TARIFF SHEET**

I/We agree to pay the charges as per following charges structure for our Trading account with Composite Investments Pvt Ltd Client Id _____

Charge Head	Brokerages/Charges
Equity Intraday	Rs. 20 per executed order*
Equity Delivery	Rs. 20 per executed order*
Futures	Rs. 20 per executed order*
Options	Rs. 20 per executed order*
Call & Trade / Brokerage Assisted	Rs.20/- + GST per order**
Minimum Contract Charges	Rs.10/- per segment

* Or 0.05% of turnover (Cash Market and Futures only) whichever is lower

* Or 0.10% whichever is lower for delivery trades

* All trades resulting from a single order

** Call & Trade, MIS orders, expiring Futures & Options positions

Brokerage is also charged on expired, exercised and assigned futures & options contracts.
Margin as required by SEBI/Exchanges will be required to be paid.

NRI-Equity Delivery	Rs.200/-per executed order
NRI-Futures & Options	Rs.200/-per executed order

In addition to the brokerage charges the other charges mentioned below will also be levied.

Schedule of Charges:

1. Transaction Charges
2. Exchange Transaction IPF
3. Securities Transaction Tax (STT)
4. GST 18% on Brokerage and transaction charges.
5. Stamp Duty (State-wise stamp duty as applicable will be levied)
6. SEBI Turnover Fees

Place:

Client Signature 

Date:

MANDATE FOR RECEIVING CONTRACT NOTES IN DIGITAL FORMAT

(Recommended - as physical contracts would be charged Rs.30/- per contract note.)

To
 Composite Investments Pvt Ltd
 #30/1, 3rd Floor, S J Towers, Mission Road
 Bangalore 560027

Dear Sir,

Sub: Mandate to issue contracts in digital format

I hereby agree and consent to accept the contract notes for transactions carried on by me/us through you in digital form. Digital contracts issued by you as per the terms and conditions specified below shall be binding on me/us. Mailing of digital contract notes shall be construed as delivery and acknowledgement of contract note. I/we undertake to check the contract notes and bring the discrepancies to your notice within 24 hours of such issuance of contract notes.

My non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time. This instruction to issue digital contract note is applicable with immediate effect.

I am/we are giving hereunder my email id for the purpose of mailing of contract notes in digital form.

(Email-id : _____)

I hereby accept to the terms and conditions as mentioned herein

Yours truly,

Name of the Client: _____

Signature of the Client:  _____ Client Code : _____

Date : _____ Place : _____

Note :

1. The Digital Contract notes will be issued in digital form in compliance with the guidelines issued by SEBI/Exchanges from time to time
2. Digital Contract notes will be mailed to the Email address provided to us in the format as may be prescribed by the Exchanges from time to time. Transmission of digital contract notes to the id given by "client" shall discharge the stock broker of its obligation with regard to issuance posting and acknowledgement of contract notes.
3. Digital contract notes will also be available in your web access to the accounts software.
4. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
5. Discrepancies, if any, should be sent to **help@compositeinvestments.com** with in 24 hours of issuance of digital contract notes.
6. Any changes in the terms and conditions shall be intimated from time to time.
7. Any change in the email id to be communicated by the client through a physical letter to be addressed to The Manager.
8. The Client agrees that non-receipt of Bounced Mail by us shall amount to delivery of the Contract Notes.

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Client Signature



Voluntary

Running Account Authorisation

To:
COMPOSITE INVESTMENTS PVT LTD
No, 30/1, 3rd Floor, S.J. Towers,
Mission Road, Bangalore – 560 027.

Date:

Ref: Client Code: _____

Dear Sir,

In order to facilitate operations of my/our trading account opened under the aforesaid client code. I/We would like to authorize Composite Investments Private Limited. (CIPL) to maintain a running account, instead of settlement-to-settlement clearance of funds/securities due to me/us. In this regard I/We have been informed about the SEBI circular no MIRSD/SE/CIR-19/2009 dated December 3, 2009. I/We have read and understood the same. I/We hereby authorise CIPL to maintain a running account.

I/We shall prefer settlement of fund/securities once in (tick any one)

- A calendar quarter A calendar month

Such settlement will be done by CIPL on any day at its discretion in a calendar month or quarter (hereinafter referred as 'settlement period') as the case may be. I/We agree that I/We shall be liable to pay the debit standing to my account on the settlement date or any other date.

I/We agree that CIPL shall not be liable for any claim for loss, loss of profit, loss of interest or for any consequential, incidental, special or exemplary damages, caused by retention/settlement of such securities/funds under aforesaid arrangement or otherwise.

I/We am/are aware that the authorization may be revoked by me/us any time. CIPL may release the funds/securities to me/us on my/our on settlement date or on request or on revocation of authority, if sufficient margins in respect of my/our trading across the stock exchange(s) and across the segment of the stock exchange(s) are available with CIPL.

Yours faithfully

Client Signature  14

Name: _____

Note: The authorization shall be signed by the client only and not by any authorized person on his behalf or any holder of the Power of Attorney.

**SELF DECLARATION DERIVATIVES TRADING**

(To be filled if Documentary Evidence regarding financials
is not furnished by clients trading in Derivatives Market Segment)

From:

Mr./Mrs./Ms: _____ Date: _____

To
The Manager,
Composite Investments Pvt Ltd
No. 30/1, 3rd Floor, S J Towers
Mission Road
Bangalore 560027.

Dear Sir/Madam,

Sub: Self-Declaration on Income and Net-Worth furnished pursuant clause 47 of MCA.

Ref: Client Code: _____ PAN No. _____

With reference to the above, I do hereby declare and affirm the following :

- For the Financial Year ending 31st March _____, my annual income was approximately Rs. _____ for which, except this Self-declaration Letter, no other documentary proof is provided to you.
- As on _____, my net-worth is approximately Rs. _____ for which, except this Self-declaration Letter, no other documentary proof is provided to you.
- I further declare that the transactions I am entering into with you in the above trading account is commensurate with my Income and Net Worth and I have read and signed the Combined Risk Disclosure Document forming part of the KYC.
- In case the need to substantiate the above income or net worth arises with any of the Statutory Authorities/ Agencies, I will do so. In case of a wrong declaration, I will solely be held responsible for the related consequences.

Client Signature:  15

Client's Name: _____

Date: _____



To

Composite Investments Pvt Ltd [CIPL]

No.30/1, 3rd Floor, S J Towers,
Mission Road,
Bangalore - 560027

Dear Sir,

SUB : UNDERTAKING / AUTHORISATION

With respect to the Member-Constituent Relationship and Mandatory and Voluntary(optional) Documents executed between us, I / We do hereby authorize CIPL to do the following:

1. Order Placement Instructions

I understand that you require written instructions from me for placing / modifying / canceling orders. Even If I have the facility to trade online through Internet and wireless technology, I may have to sometimes place/modify/cancel orders by physically visiting /calling/ emailing your office in case of breakdown of internet connectivity or other similar reasons. However, it would not practical for me to give written instructions for placing/modifying/canceling such orders,

I therefore hereby request you to kindly accept my / my authorized representative or mandate holder's 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 modes. I indemnify CIPL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and 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 CIPL 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 CIPL 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 CIPL.

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, or trades etc. which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities,

CIPL 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 SUB BROKER

I undertake not to act as an unregistered Sub-broker and deal only for myself and not on behalf of other clients.

In case CIPL perceives that I am acting as an unregistered sub broker, CIPL 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 CIPL without the requirement of any notice from CIPL. Further, CIPL has the right to inform the concerned regulatory authorities about the same.



In the aforesaid eventuality, I agree and undertake to indemnify CIPL 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 CIPL, 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 CIPL on its own comes to know of such action, CIPL has the right to suspend/close my trading account and refuse to deal with me. Also, CIPL can at its sole discretion, close all the open positions and liquidate collaterals to the extent of 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 CIPL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that

- I do not have any links with any known criminals
- 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 am I a party to it.

7. INDEMNIFICATION

- I hereby indemnify and hold CIPL, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to CIPL directly or indirectly, by reason of my furnishing false information/forged documents for proof of address, identity and other supporting documents provided by me at the time of registration and/ or subsequently.
- I hereby agree to indemnify and hold CIPL harmless from any 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.

I therefore request you to register me as your client for participating in the Trading segments opted by me in the Account opening Form.

Yours faithfully

Client Signature : **16**

Date :



HUF DECLARATION

Composite Investments Pvt Ltd
No. 30/1, 3rd Floor, S J Towers
Mission Road
Bangalore 560027.

Dear Sir/Madam,

I hereby request you to open our trading and/or demat account with you, for our HUF. Being Karta of my HUF, I hereby declare that following is the list of family members in our HUF, as on date of Application.

S.No.	Name of the Family Members	Relationship	Date of Birth

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge.

Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.



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SIGNATURE OF KARTA

ACKNOWLEDGEMENT



To
COMPOSITE INVESTMENTS PVT LTD
No. 30/1, 3rd Floor, S.J. Towers,
Mission Road,
Bangalore - 560 027
Karnataka

Dear Sir/Madam,

I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients as prescribed by SEBI and Stock Exchanges and Internet & Wireless Technology Based Trading provided by Stock Brokers to Clients.
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures
5. Tariff Sheet.
6. Undertaking / Authorisation for trading and broking services of Composite Investments Pvt Ltd.

I have without any compulsion executed the Voluntary documents by me and have read, understood the same. The above documents are binding on me.

Yours faithfully,

A yellow rectangular box containing the number 18 and a small icon of a document with a checkmark.

Client Signature

Online Trading Access: Guidelines to temporarily block your account

To comply with the exchange guidelines, clients can temporarily block online access to their trading accounts with Compositedge by following the below process:

1) Via the “Block Account” button on the homepage of the Compositedge website bearing link:
<https://www.compositedge.com/blockaccount>

or

2) Via an email to stoptrade@compositeinvestments.com from the client’s registered email ID requesting for the respective trading account online access to be blocked.

Please note the below once the trading account has been blocked:

- You will not be able to access your account until the same is unblocked
- Any pending orders (including GTT) that are not executed will be cancelled

To unblock your account, please contact us via email or phone for further action.

Please note that open positions and existing investments would remain unaffected.

Also note that:

If you have any open positions with insufficient margin, the same would be squared off on a best-effort basis. Any charges or debits resulting from such square-off’s or exchange margin shortfall penalties would have to be borne by you.

If you place a blocking request during trading hours, your account will be blocked within 15 minutes of receiving your request.

If you place a blocking request after trading hours, your account will be blocked before the next trading session.

After placing an unblocking request, your account will be unblocked within 2 working days.

We wish to bring to your notice that Compositedge cannot be held responsible for any losses due to delays in squaring off positions, inability to square off due to illiquidity, or any other reasons during the period the account is blocked.

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.

UBO Declaration

Category (Please tick applicable category): Unlisted Company Partnership Firm Limited Liability Partnership Company
 Unincorporated association / body of individuals Public Charitable Trust Religious Trust Private Trust
 Listed Company (Need not provide UBO details sought under) Others (please specify _____)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

Owner-documented FFI's⁵ should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person	#Tax ID Type - TIN or Other, please specify	Address - Include State, Country, PIN / ZIP Code & Contact Details
#Country - Tax Residency*	Beneficial Interest - in percentage	
#Tax ID No. - Or functional equivalent for each country ²	#Type Code ¹¹ - of Controlling person	
1. Name	Tax ID Type	Address
Country	Beneficial Interest	
Tax ID No.	Type Code	ZIP [][][][][][][][][] State: Country:
2. Name	Tax ID Type	Address
Country	Beneficial Interest	
Tax ID No.	Type Code	ZIP [][][][][][][][][] State: Country:
3. Name	Tax ID Type	Address
Country	Beneficial Interest	
Tax ID No.	Type Code	ZIP [][][][][][][][][] State: Country:

If passive NFE, please provide below additional details.

(Please attach additional sheets if necessary)

PAN City of Birth Country of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
1. PAN	Occupation Type	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	<input type="checkbox"/> Others <input type="checkbox"/>
2. PAN	Occupation Type	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	<input type="checkbox"/> Others <input type="checkbox"/>
3. PAN	Occupation Type	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	<input type="checkbox"/> Others <input type="checkbox"/>

Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

* To include US, where controlling person is a US citizen or green card holder

²In case Tax Identification Number is not available, kindly provide functional equivalent

⁴Refer 3(iii) of Part D | ⁵Refer 3(vi) of Part D | ¹¹Refer 3(iv) (A) of Part D

FATCA Terms and Conditions

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Certification

I have understood the information requirements of this Form (*read along with the Instructions & Definitions*) and hereby confirm that the information provided by us on this Form is true, correct, and complete. I also confirm that I have read and understood the FATCA Terms and Conditions above and hereby accept the same.

Name	
Designation	

Signature >> 20

Place _____

Date __ / __ / ____

PART D FATCA Instructions & Definitions

1 Financial Institution (FI) - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that has a substantial portion of its business, holds financial assets for the account of others and where the entity's gross income attributable to holding financial assets and related financial services equals to or exceeds 20 percent of the entity's gross income during the shorter of -

(1) The three financial years preceding the year in which determination is made; or

(2) The period during which the entity has been in existence, whichever is less.

- Investment entity is any entity:
 - that primarily conducts a business or operates for or on behalf of a customer for any of the following 3 activities-
 - Trading in money market instruments, foreign exchange, foreign currency, etc.
 - Individual or collective portfolio management
 - Investing, administering or managing funds, money or financial asset on behalf of other persons;
- or
- The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.
 - (An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:
 - (i) the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
 - (ii) the period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

- FI not required to apply for GIIN:

A. Reasons why FI not required to apply for GIIN:

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets

(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity which is regularly traded on an established securities market;

C. Active NFE : (is any one of the following):

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year or other appropriate reporting period is <i>passive income</i> and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of <i>passive income</i> ;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE is a 'non for profit' organization which meets all of the following requirements: It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; It is exempt from income tax in India; It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

3. Other definitions

(i) Related entity

An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the vote or value in an entity

(ii) Passive NFE

The term passive NFE means any NFE that is

- (a) not an Active NFE or publicly traded entity or a entity related to a publicly traded entity
- (b) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity
- (c) a withholding foreign partnership or withholding foreign trust as defined under the relevant U.S. Treasury Regulations.

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income means the portion of gross income that consists of-

- (a) Dividends, including substitute dividend amounts;
- (b) Interest
- (c) Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amounts received depend in whole or part upon the performance of the pool;
- (d) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE
- (e) Annuities
- (f) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (g) The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any financial assets,
- (h) The excess of foreign currency gains over foreign currency losses
- (i) Net income from swaps
- (j) Amounts received under cash value insurance contracts

But not passive income will not include in case of a non-financial entity that acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as a dealer.

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under the PMLA Rules. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

<i>(A) Controlling Person Type:</i>	
<i>Code</i>	<i>Sub-category</i>
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement--trust-trustee
06	CP of legal arrangement--trust-protector
07	CP of legal arrangement--trust-beneficiary
08	CP of legal arrangement--trust-other
09	CP of legal arrangement—Other-settlor equivalent
10	CP of legal arrangement—Other-trustee equivalent
11	CP of legal arrangement—Other-protector equivalent
12	CP of legal arrangement—Other-beneficiary equivalent
13	CP of legal arrangement—Other-other equivalent

(v) Specified U.S. person – A U.S. person other than the following:

- (a) a corporation the stock of which is regularly traded on one or more established securities markets;
- (b) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (c) the United States or any wholly owned agency or instrumentality thereof;
- (d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (e) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (f) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (g) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (h) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (i) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (j) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (k) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (l) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (m) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFFE.

(vii) Direct reporting NFE

A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

Annexure-A

Investor Charter – Stock Brokers

1. VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

2. MISSION

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.
- v) To ensure confidentiality of information shared by investors unless such information is required to be provided in furtherance of discharging legal obligations or investors have provided specific consent to share such information.

3. Services provided to Investors by stockbrokers include

- I. Execution of trades on behalf of investors.
- II. Issuance of Contract Notes.
- III. Issuance of intimations regarding margin due payments.
- IV. Facilitate execution of early pay-in obligation instructions.
- V. Periodic Settlement of client's funds.
- VI. Issuance of retention statement of funds at the time of settlement.
- VII. Risk management systems to mitigate operational and market risk.
- VIII. Facilitate client profile changes in the system as instructed by the client.
- IX. Information sharing with the client w.r.t. relevant Market Infrastructure Institutions (MII) circulars.
- X. Provide a copy of Rights & Obligations document to the client.
- XI. Communicating Most Important terms and Conditions (MITC) to the client.
- XII. Redressal of Investor's grievances.

4. Rights of Investors

- I. Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself (including website providing mandatory information).
- II. Receive complete information about the risks, obligations, and costs of any investment before investing.
- III. Receive a copy of all completed account forms and rights & obligation document.
- IV. Receive a copy of 'Most Important Terms & Conditions' (MITC).

- V. Receive account statements that are accurate and understandable.
- VI. Understand the terms and conditions of transactions you undertake.
- VII. Access your funds in a prescribed manner and receive information about any restrictions or limitations on access.
- VIII. Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties in form of tariff sheet.
- IX. Discuss your grievances with compliance officer / compliance team / dedicated grievance redressal team of the firm and receive prompt attention to and fair consideration of your concerns.
- X. Close your zero balance accounts online with minimal documentation
- XI. Get the copies of all policies (including Most Important Terms and Conditions) of the broker related to dealings of your account
- XII. Not be discriminated against in terms of services offered to equivalent clients
- XIII. Get only those advertisement materials from the broker which adhere to Code of Advertisement norms in place
- XIV. In case of broker defaults, be compensated from the Exchange Investor Protection Fund as per the norms in place
- XV. Trade in derivatives after submission of relevant financial documents to the broker subject to brokers' adequate due diligence.
- XVI. Get warnings on the trading systems while placing orders in securities where surveillance measures are in place
- XVII. Get access to products and services in a suitable manner even if differently abled
- XVIII. Get access to educational materials of the MIs and brokers
- XIX. Get access to all the exchanges of a particular segment you wish to deal with unless opted out specifically as per Broker norms
- XX. Deal with one or more stockbrokers of your choice without any compulsion of minimum business
- XXI. Have access to the escalation matrix for communication with the broker
- XXII. Not be bound by any clause prescribed by the Brokers which are contravening the Regulatory provisions.

5. Various activities of Stock Brokers with timelines

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	3 working days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading



5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	First Friday/Saturday of the month / quarter as per Exchange pre-announced schedule
10.	'Statement of Accounts' for Funds, Securities and Commodities	Monthly basis
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	21 calendar days from the receipt of the complaint

6. DOs and DON'Ts for Investors

DOs	DON'Ts
<ol style="list-style-type: none"> 1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes. 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and 	<ol style="list-style-type: none"> 1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form. 4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system. 5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker.



<p>bank accounts to get regular alerts on your transactions.</p> <ol style="list-style-type: none">6. If executed, receive a copy of Demat Debit and Pledge Instruction (DDPI) However, DDPI is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting DDPI, carefully examine the scope and implications of powers being granted.7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT/CTT etc. as applicable, separately, within 24 hours of execution of trades.8. Receive funds and securities/commodities on time, as prescribed by SEBI or exchange from time to time.9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (Monthly or Quarterly).11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.12. Retain documents for trading activity as it helps in resolving disputes, if they arise.	<ol style="list-style-type: none">6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.7. Do not opt for digital contracts, if not familiar with computers.8. Do not share trading password.9. Do not fall prey to fixed / guaranteed returns schemes.10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments
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Additionally, Investors may refer to Dos and Don'ts issued by MIIs on their respective websites from time to time.

7. Grievance Redressal Mechanism

The process of investor grievance redressal is as follows:

1.	Investor complaint/Grievances	<p>Investor can lodge complaint/grievance against stock broker in the following ways:</p> <p><u>Mode of filing the complaint with stock broker</u></p> <p>Investor can approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance</p> <p><u>Mode of filing the complaint with stock exchanges</u></p> <p>i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (https://scores.sebi.gov.in)</p> <p><u>Two level review for complaint/grievance against stock broker:</u></p> <ul style="list-style-type: none"> • First review done by Designated body/Exchange • Second review done by SEBI <p>ii. Emails to designated email IDs of Exchange</p>
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	<p>If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/grievance on SMARTODR platform for its resolution through online conciliation or arbitration.</p>
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<p>1. Investor to approach Market Participant for redressal of complaint</p> <p>2. If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options:</p>



		<ol style="list-style-type: none">i. May escalate the complaint on SEBI SCORES portal.ii. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. <ol style="list-style-type: none">3. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days.4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation.5. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute.6. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.7. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.
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8. Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)

Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.
- Standard Operating Procedure (SOP) for handling of Claims of Investors in the Cases of Default by Brokers
- Claim processing policy against Defaulter/Expelled members
- List of Defaulter/Expelled members and public notice issued