



CLIENT REGISTRATION FORM

www.abiragroup.in

ABIRA

SECURITIES LTD.

NSE • BSE • MCX • ICEX • CDSL

Region Code	
Branch Code	
Sub-Broker-AP-Code	
Introducer Code	
Client Code	
Client ID	

Form No.

ABIRA**ABIRA SECURITIES LIMITED**

(Depository Participant of Central Depository Services (I) Ltd.)

Regd. Office : S. B. Mansion, 2nd Floor

16, R. N. Mukherjee Road, Kolkata-700 001

Phone: +91 33 4030-8700, Fax: +91 33 4030-8799

E.mail: info@abiragroup.in, Website: www.abiragroup.in, CIN: U67120WB2009PLC131881

SEBI Regn. No. : IN-DP-584-2021 ❖ DP ID : 12077400

(To be filled by the Depository Participant)

Acknowledgment Receipt**Application No.:****Date:**

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

For **ABIRA SECURITIES LIMITED**

Seal and Signature

Authorised Signatory

Acknowledgment Receipt**Received Nomination Form from:**

DP ID 1 2 0 7 7 4 0 0	Client ID									
Name										
Address										
Nomination in favour of										
<u>Opted Out</u>	<u>Does not wish to nominate</u>									
Registration No.		Registered on	D	D	M	M	Y	Y	Y	Y

For **ABIRA SECURITIES LIMITED**

Seal and Signature

Authorised Signatory

Acknowledgment Receipt**Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :**

DP ID 1 2 0 7 7 4 0 0	Client ID								
Name of the Sole / First Holder									
Name of Second joint Holder									
Name of Third Joint Holder									

For **ABIRA SECURITIES LIMITED**

Seal and Signature

Authorised Signatory

ACCOUNT OPENING KIT - TRADING & DEMAT

NAME OF STOCK BROKER / TRADING MEMBER / CLEARING MEMBER
(For Equity, Equity-Derivatives / Currency Derivatives / Commodity Derivatives) :

ABIRA SECURITIES LIMITED

ABIRA

Members - National Stock Exchange of India Ltd. (NSE)
BSE Limited (BSE)
Multi Commodity Exchange of India Ltd. (MCX)
Indian Commodity Exchange Ltd. (ICEX)

Depository Participants - Central Depository Services (India) Ltd. (CDSL)

SEBI Regn. Nos. :

- NSE - (Cash, F&O, CuDs)	} INZ000211332
- BSE - (Cash, F&O, CuDs, ComDs)	
- MCX - (Commodity Derivatives)	
- ICEX - (Commodity Derivatives)	

- CDSL - IN-DP-584-2021 Dt.22.08.2013
DP ID : 12077400

Registered & Correspondence Office address :

S. B. Mansion, 2nd Floor,
16, R. N. Mukherjee Road, Kolkata - 700 001
Phone : +91 33 4030-8700, Fax : +91 33 4030-8799
E.mail : info@abiragroup.in, Website : www.abiragroup.in
CIN : U67120WB2009PLC131881

Name of Clearing Member For

NSE-F&O, BSE-F&O,
BSE-Currency Derivatives,
NSE-Currency Derivative
MCX (Commodity Derivatives)
ICEX (Commodity Derivatives)
BSE (Commodity Derivatives)

GLOBE COMMODITIES LIMITED
(Clearing Member Id: 8550)
SEBI Regn. Nos.- INZ 000024939

Registered & Correspondence Office address :
GLOBE COMMODITIES LIMITED
804, Ansal Bhawan, 16, K G Marg,
Connaught Place, New Delhi-110 001

Compliance Officer Name, Phone No. & email ID :

Mr. PALLAB CHAKRABORTY,
+91 33 4030-8715/16, compliance@abiragroup.in

For any grievance, mail to:

grievances@abiragroup.in or Call 033 4030-8715/16

CEO Name, Phone No. & email ID :

Mr. ALOK CHATURVEDI,
+91 33 4030-8715, alokc@abiragroup.in

In case you are not satisfied with the response, please contact the concerned Exchange(s)/ Depository(ies):

Exchange / Depository Contacts	National Stock Exchange of India Limited (NSE), Phone : 022-26598190 • Email : ignse@nse.co.in
	BSE Limited (BSE), Phone : 022-22728097 • Email : is@bseindia.com
	Multi Commodity Exchange of India Ltd. (MCX) Phone: 022-67318888, 66494000 • E-mail: grievance@mcxindia.com
	Indian Commodity Exchange Ltd. (ICEX) Phone: 022-40381546 • Email: grievance@icexindia.com
	Central Depository Services India Limited (CDSL) Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com

You may also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/18002667575

FILING OF COMPLAINTS ON SCORES –

Easy & quick: In order to make the complaint redressal mechanism through SCORES more efficient, the aggrieved Investor can file their respective complaint as per the credentials mentioned below:-

a. Register on SCORES portal :

Get yourself registered,

b. Mandatory details for filing complaints on SCORES:

i. Name, PAN, Address, Mobile Number, Email ID,

c. Benefits:

i. Effective communication, ii. Speedy redressal of the grievances.

Please refer SCORES website link <https://scores.gov.in/scores/Welcome.html>) and the FAQs available thereon.

Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003, NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003 and BSE Notice No. 20031125-7 dated 25 November, 2003:

MCX Circular No.: MCX / T&S / 123 / 2016 dated 26.04.2016

We, **ABIRA SECURITIES LIMITED**, are also engaged in Proprietary trading apart from Client based business.

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Important Instructions:

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

For office use only

Application Type* New Update

(To be filled by financial institution)

KYC Number (Mandatory for KYC update request)

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

1. PERSONAL DETAILS

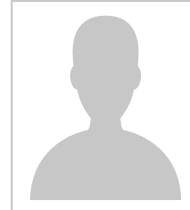
	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>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

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

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

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NREGA Job Card
- E- National Population Register Letter
- F- Proof of Possession of Aadhar
- II. E-KYC Authentication
- III. Offline verification of Aadhar

PHOTO*



Signature / Thumb Impression

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

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

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NREGA Job Card
- E- National Population Register Letter
- F- Proof of Possession of Aadhar
- II. E-KYC Authentication
- III. Offline verification of Aadhar

IV. Deemed Proof of Address - Document Type code

V. Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

4. CONTACT DETAILS (All communications will be sent on Mobile number, / Email-ID provided) (Please refer instruction C at the end)

Tel (Off.) - Tel. (Res) - Mobile -
 Email ID

5. REMARKS (If any)

6. APPLICANT DECLARATION


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

[Signature / Thumb Impression]

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

Date : --

Place :

 Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification Digital KYC process
 Equivalent e-document Video Based KYC

KYC DOCUMENT VERIFIED BY

Date --
 Emp. Name
 Emp. Code
 Emp. Designation
 Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name
 Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 in Section 2. one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
10. REs may use the Self Declaration check box where Aadhar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.



Important Instructions:

- A) Please fill the form in ENGLISH and in BLOCK letters
- B) Fields marked * are mandatory.
- C) Fields marked* are pertaining to CKYC and mandatory on if processing CKYC also

Application Number:

Application Type* New KYC Modification KYC

KYC Mode* (Please Tick ✓)

Normal EKYC OTP KYC Biometric Online KYC Offline EKYC Digilocker

1. IDENTITY DETAILS (please refer guidelines overleaf)

PAN* (Please enclose a duly attested copy of your PAN Card)

Prefix First Name Middle Name Last Name

Name* (Same as ID proof)

Maiden Name*

Father / Spouse Name*

Date of Birth* - -

Gender* M- Male F- Female T-Transgender

Marital Status* Married Unmarried Others

Nationality* IN-Indian Others (ISO 3166 Country Code)

Residential Status* Residential Individual Non-Resident Indian
 Foreign National Person of Indian Origin
(Passport mandatory for NRIs, PIOs and Foreign Nationals)

PHOTO*



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

A- Aadhaar Card

B- Passport Number Expiry Date - -

C- Voter ID Card

D- Driving Licence Expiry Date - -

E- NREGA Job Card

F- National Population Register Letter

Z- Others _____ (any document notified by Central Government)
 Identification Number _____

2. ADDRESS DETAILS* (please refer guidelines overleaf)

A. Correspondence / Local Address*

Line 1*

Line 2*

Line 3* City / Town / Village*

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

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

Line 1*

Line 2*

Line 3* City / Town / Village*

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* (POA) (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A- Aadhaar Card

B- Passport Number Expiry Date - -

C- Voter ID Card

D- Driving Licence Expiry Date - -

E- NREGA Job Card

F- National Population Register Letter

Z- Others _____ (any document notified by Central Government)
 Identification Number _____

3. CONTACT DETAILS

Tel (Off.) - Tel. (Res) - Mobile -
Email ID

4. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : --

Place :

Applicant e-SIGN	Applicant Wet-SIGN

5. FOR OFFICE USE ONLY

In-Person Verification (IPV) carried out by*	INTERMEDIARY DETAILS*
Identity Verification <input type="checkbox"/> Done Date <input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="checkbox"/> Self certified document copies received (OVD)
Emp. Name <input type="text"/>	<input type="checkbox"/> True Copies of documents received (Attested)
Emp. Code <input type="text"/>	AMC / Intermediary Name:
Emp. Designation <input type="text"/>	<div style="border: 1px solid black; padding: 10px; text-align: center;">[Institution Stamp]</div>
Emp. Branch <input type="text"/>	ABIRA SECURITIES LIMITED
<div style="border: 1px solid black; padding: 10px; text-align: center;">[Employee Signature]</div>	

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

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

B. Proof of Identity (POI):

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

C. Proof of Address (POA):

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

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

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

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

E. List of people authorized to attest the documents:

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

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC

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

2. EKYC OTP

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

3. ONLINE KYC

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

4. OFFLINE EKYC

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

5. DIGILOCKER

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

A. IMPORTANT POINTS:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
3. 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.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

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

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. 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.
6. 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.
7. For Fill/sub account, Power of Attorney given by Fill/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. 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.)

1. 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.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIs, MFs, VCFs, FVICs, 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:

1. 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).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

F. 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

Please Submit the KYC Documents on A4 Size Paper Only.

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) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

ABIRA

Name & Signature of the Authorised Signatory(ies)

Date | d | d | / | m | m | / | y | y | y | y |

TRADING ACCOUNT RELATED DETAILS- FOR INDIVIDUALS & NON-INDIVIDUALS

BANK ACCOUNT(S) DETAILS			
	First Bank Details	Second Bank Details	
Bank Name			
Branch			
Address			
Bank A/c No.			
A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO	
MICR No.			
IFSC Code			
DEPOSITORY ACCOUNT(S) DETAILS			
	First Demat A/c Details	Second Demat A/c Details	
Depository			
Participant Name			
Depository Name	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	
Beneficiary Name			
DP ID			
Beneficiary ID (BO ID)			
TRADING PREFERENCES - * Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.			
1. NSE Ltd.	- Cash <input checked="" type="checkbox"/>		- F&O <input checked="" type="checkbox"/>
	- Currency Derivatives <input checked="" type="checkbox"/>		
2. BSE Ltd.	- Cash <input checked="" type="checkbox"/>		- F&O <input checked="" type="checkbox"/>
	- Currency Derivatives <input checked="" type="checkbox"/>		- Commodity Derivatives <input checked="" type="checkbox"/>
3. MCX	- Commodity Derivatives (Future & Options) <input checked="" type="checkbox"/>		4. ICEX
			- Commodity Derivatives (Future & Options) <input checked="" type="checkbox"/>
<ol style="list-style-type: none"> 1. I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options. 2. I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options. 3. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time. <p># 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.</p>			

MANDATORY

OTHER DETAILS										
Gross Annual Income Details (please specify)										
Income Range per annum	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 crore <input type="checkbox"/> > 1 crore									
Net Worth	₹	as on (date)			D	D	M	M	Y	Y
(Net Worth should not be older than 1 year)										
Occupation (Individuals) (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business									
	<input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student									
	<input type="checkbox"/> Others _____									
Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors					<input type="checkbox"/> Politically Exposed Person (PEP)					
					<input type="checkbox"/> Related to a Politically Exposed Person (PEP)					
PAST ACTIONS										
Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant/constituent or its Partners/promoters/whole time directors /authorized persons in charge of dealing in securities during the last 3 years										
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 Regn. Number										
Regd. Off. Address										
Phone		Fax		Website						
Whether dealing with any other stock broker / sub-broker (if case dealing with multiple stock brokers / sub-brokers, provide details of all using additional sheets)										
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										
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)										
_____, Specify your Email id, if applicable :										
Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document										
RDD) and Guidance note - physically or electronically, (please specify)										
Please note that these documents are also available in certain vernacular languages on demand.										
Whether you wish to avail of the facility of internet trading/wireless technology (please specify)										
<input type="checkbox"/> YES <input type="checkbox"/> NO										

Number of years of Investment / Trading Experience		
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others		As per Annexure
Any other information		
INTRODUCER DETAILS (optional)		
Name of the Introducer		
	(Surname)	(Name) (Middle Name)
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client	
	<input type="checkbox"/> Others, please specify	
Address and Phone No. of the Introducer		
Signature of the Introducer		

DECLARATION

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






Signature of Client / (all) Authorized Signatory (ies)

Date: _____

ANNEXURE

DETAIL OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS AND PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY/ FIRM / OTHERS

Particulars	1st	2nd	3rd
Designation			
Name			
PAN			
DIN / UID			
Residential Address			
Photograph	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it
Signature			

Use additional sheets, if required

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Documents verified with Originals	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 Acknowledgment	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 stock broker 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 submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals :
 - a. Stockbroker 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.
5. For non-individuals :
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.




MANDATORY

Details of Guardian (in case the account holder is minor)															
Guardian's Name						PAN									
Relationship with the applicant															
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')						[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No									
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')						<input type="checkbox"/> Yes <input type="checkbox"/> No									
Account Statement Requirement						<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly									
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____						<input type="checkbox"/> Yes <input type="checkbox"/> No									
I/ We would like to share the email ID with the RTA						<input type="checkbox"/> Yes <input type="checkbox"/> No									
I/We would like to receive the Annual Report						<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic									
(Tick the applicable box. If not marked the default option would be in Physical)															
Mode of receiving the standard document - Rights and Obligations of Beneficial Owner and Depository Participant (Tick any one)						<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form									
Type of Account opted for						<input type="checkbox"/> BSDA Account <input type="checkbox"/> Non-BSDA Account									
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI [from time to time]						<input type="checkbox"/> Yes <input type="checkbox"/> No									
Bank Details [Dividend Bank Details]															
Bank Code (9 digit MICR Code)															
IFS Code (11 character)															
Account Number															
Account Type						<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify).									
Bank Name															
Branch Name															
Bank Branch Address															
City						State									
Country						PIN Code									
(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank. In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present/mentioned on the document.															
OTHER DETAILS - Gross Annual Income Details															
Income Range per annum						<input type="checkbox"/> Upto ₹ 1 Lac <input type="checkbox"/> ₹ 1 Lac to ₹ 5 Lac <input type="checkbox"/> ₹ 5 Lac to ₹ 10 Lac <input type="checkbox"/> ₹ 10 Lac to ₹ 25 Lac <input type="checkbox"/> More than ₹25 Lacs									
Net-worth as on (Date)						D	D	M	M	Y	Y	Y	Y	₹	
(Net worth should not be older than 1 year)															
Occupation						<input type="checkbox"/> Private/Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others									

MANDATORY

Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)	
Any other information		
SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted &you do not wish to avail of this facility, cancel this option)	
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6		
I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.		<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.		
Stock Exchange Name / ID		
Clearing Member Name		
Clearing Member ID (Optional)		
Easi	To register for easi, please visit our website www.cdslindia.com . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

NOMINATION Details

	City / Place:			
	State & Country:			
	PIN Code:			
11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no.			
	Name(s) of holder(s)	Signature		
	Sole / First Holder (Mr./Ms.)			
	Second Holder (Mr./Ms.)			
	Third Holder (Mr./Ms.)			

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Witness
Signature: _____ Name: _____ Address: _____



Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)



Declaration Form for opting out of Nomination

[Annexure B to SEBI Circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021
on Mandatory Nomination for Eligible Trading and Demat Accounts]

To	Date	D	D	M	M	Y	Y	Y	Y
ABIRA SECURITIES LIMITED Regd. Office : S. B. Mansion, 2nd Floor 16, R. N. Mukherjee Road, Kolkata-700 001 Phone: +91 33 4030-8700, Fax: +91 33 4030-8799									
UCC									
DP ID	1	2	0	7	7	4	0	0	
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
									
1. _____	2. _____	3. _____							
Signature	Signature	Signature							
Name: _____	_____	_____							
First/Sole Holder	Second Holder	Third Holder							
Witness									
Signature: _____									
Name: _____									
Address: _____									

* Signature of witness, if the account holder affixes thumb impression, instead of signature

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Name	Signatures
First / Sole Holder or Guardian (in case of Minor)		
Second Holder		
Third Holder		✓

(Signatures should be preferably in black ink).

**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT
(FOR NON-INDIVIDUALS)**

ABIRA ABIRA SECURITIES LIMITED

Regd. Office : S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road, Kolkata-700 001
Phone: +91 33 4030-8700, Fax: +91 33 4030-8799
E.mail: info@abiragroup.in, Website: www.abiragroup.in
CIN: U67120WB2009PLC131881

SEBI Regn. No. : IN-DP-CDSL-584 -2021 ❖ DP ID : 12077400

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID	1	2	0	7	7	4	0	0	Client ID	

(To be filled by the applicant in **BLOCK LETTERS** in English)




I / We request you to open a Demat Account in my/our name as per the following details:

DETAILS OF ACCOUNT HOLDER(S):												
Sole / First Holder			Second Holder				Third Holder					
Name												
PAN												
UID												
UCC				X				X				
Exchange Name	NSE <input type="checkbox"/>	BSE <input type="checkbox"/>	MCX <input type="checkbox"/>	ICEX <input type="checkbox"/>	X				X			
Exchange ID	14648 <input type="checkbox"/>	6516 <input type="checkbox"/>	56310 <input type="checkbox"/>	2072 <input type="checkbox"/>	X				X			
Name*												
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.												
Type of Account (Please tick whichever is applicable)												
Status								Sub-Status				
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____								To be filled by the DP				
SEBI Regn. No. (If Applicable)				SEBI Regn. Date	D	D	M	M	Y	Y		
RBI Regn. No. (If Applicable)				RBI Approval Date	D	D	M	M	Y	Y		
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify) _____											
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')								[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my / our end (if not marked, the default option would be 'No')								<input type="checkbox"/> Yes <input type="checkbox"/> No				
Account Statement Requirement	<input type="checkbox"/> As per SEBI Registration <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly											
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____								<input type="checkbox"/> Yes <input type="checkbox"/> No				

I / We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to receive the Annual Report		<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic	
(Tick the applicable box. If not marked the default option would be in Physical)			
Mode of receiving the standard document - Rights and Obligations of Beneficial Owner and Depository Participant (Tick any one)			
		<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form	
Clearing Member Details (To be filled by CMs only)			
Name of Stock Exchange			
Name of CC/CH			
Clearing Member Id		Trading member ID	
I / We wish to receive dividend / interest directly in to my bank account given below through ECS? (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Bank Details [Dividen d Bank Details]			
Bank Code (9 digit MICR Code)			
IFS Code (11 character)			
Account Number			
Account Type		<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)	
Bank Name			
Branch Name			
Bank Branch Address			
City		State	
Country		PIN code	
(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank. > In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.			
OTHER DETAILS - Gross Annual Income Details			
Income Range per annum		<input type="checkbox"/> Upto ₹ 1 Lac <input type="checkbox"/> ₹ 1 Lac to ₹ 5 Lac <input type="checkbox"/> ₹ 5 Lac to ₹ 10 Lac <input type="checkbox"/> ₹ 10 Lac to ₹ 25 Lac <input type="checkbox"/> ₹ 25 Lac to ₹ 1 Crore <input type="checkbox"/> More than ₹ 1 Crore	
Net-worth as on (Date)		D D M M Y Y Y Y ₹	
(Net worth should not be older than 1 year)			
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to. Politically Exposed Person (RPEP). Please provide details as per Annexure 2.2 A.			<input type="checkbox"/>
Any other information			
SMS Alert Facility		MOBILE NO. +91_____	
Refer to Terms & Conditions given as Annexure - 2.4		[(Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option),	

Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	
I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.	
Stock Exchange Name/ID	
Clearing Member Name	
Clearing Member ID (Optional)	
<i>Easi</i>	To register for <i>easi</i> , please visit our website www.cdslindia.com . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Name	Designation	Signature
Sole / First Authorised Signatory			
Second Authorised Signatory			
Third Authorised Signatory			

(In case of more authorised signatories, please add annexure)
(Signatures should be preferably in black ink).

FOR NON-INDIVIDUALS
Details of Politically Exposed Persons (PEP) / Related to Politically Exposed Person (RPEP)

Name of Holder _____ PAN of the Holder _____

Sr. No.	Name of the Authorised Signatories / Promoters / Partners / Karta / Trustees / Wholetime Directors	Relation with the holder (i.e. promoters, wholetime directors etc.)	Please tick the relevant option
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

Name & Signature of the Authorised Signatory(ies) _____

Date : _____

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

POLICIES & PROCEDURES OF ABIRA SECURITIES LIMITED (Equity)

The Company has adopted the following Policies & Procedures for trading on behalf of its clients. All clients are requested to read the following mandatory policies followed by the Company :

A) Refusal of Orders for penny Stocks and GSM & ASM Stocks:

Penny stocks are thinly traded shares of small companies which are traded infrequently. It may be difficult to buy/sell Penny stocks, Additional Surveillance Measures (ASM) & Graded Surveillance Measures (GSM) Stocks. Penny stocks include the equity securities with no active trading market.

Graded Surveillance Measures (GSM) Stocks (Graded Surveillance Measures on securities which witness an abnormal price rise not commensurate with financial health and fundamentals like Earnings, Book value, Fixed assets, Net-worth, P/E multiple, etc.) AND Additional Surveillance Measures (ASM) Stocks (In continuation to various surveillance measures, SEBI and Exchanges, pursuant to discussions in joint surveillance meetings, have decided that along with the aforesaid measures there shall be Additional Surveillance Measures (ASM) on securities with surveillance concerns viz. Price variation, Volatility etc. The surveillance actions applicable for the shortlisted securities are (a) Securities shall be placed in Price Band of 5% and (b) Margins shall be levied at the rate of 100%. Further, it may also be noted that the short listing of securities under ASM is purely on account of market surveillance and it should not be construed as an adverse action against the concerned company..

For Dealing in penny /GSM/ASM stock following procedures is being followed:

1. Authorization of the Senior Officer is to be taken if any client wants to invest in penny stocks.
2. The valid reason of the client to trade in penny stock is taken.
3. The financial position, background of the client is reviewed.

The order of a client shall be refused by the Member when it appears that

1. If the dealing amounts to manipulation of the price of the security.
2. If the dealing creates false or misleading appearance of trading in the securities market.
3. If the dealing in the security is not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of the penny stock for wrongful gain or avoidance of loss.

B) Setting up client's exposure limits :

At the time of entering into agreement with the clients and branches we require them to agree to abide by the exposure limits set by us from time to time subject to the availability of funds in their accounts & margins given by them in form of cash, FDRs, BGs, shares etc also. Client exposure is set on the basis of financial soundness (such as high, medium or low net worth client) and turnover position of the client. For trading in derivatives segment 50% of Cash component must be kept in client margin account in all time and rest will be in form of FDRs, BGs, Approved Shares (after appropriate hair-cut).

C) Applicable Brokerage Rate :

The brokerage rate that would be applicable on the client shall be decided mutually between Abira Securities Limited and client. Such brokerage rate might increase/decrease during the course of time. Any such change would be intimated to the clients before implementing the same. However, the brokerage rate in any case would not exceed maximum brokerage rate of the transaction value as prescribed under SEBI/Exchange regulations.

D) Imposition of Penalty / Delayed Payment:

As per the laws of Exchange /SEBI, the client must make the payment of securities/funds he/ she sold/ purchased before the Pay-In date. If the client fails to make the Payment before the said period, Abira Securities Limited may impose penalty or delayed payment charge 1.5% per month calculated on a daily basis on the overdue amount from the date they become payable till the date they are finally paid.

No interest / delayed payment charges will be payable by the Trading Member on the credit balance lying in the margin account or ledger balance of the Client.

E) 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 :

- a) Even after regular reminders, if client fails to make the payment of the margin money or pay-in amount, then we would square off his/her/their position and before taking such action in this direction, we telephonically/vide e.mail explain all the details to the client about our proposed action in this regard.
- b) Principally, company follows the practice of giving reasonable opportunity of being heard and gives a verbal show cause notice to such clients. Thereafter, if company finds after giving reasonable time that the client has failed to pay the money due from him, we square off their position. However, in exceptional cases, like in case of those clients with whom company has a long term bonding and there is reassurance from the concerned client that they will make the payment in due course of time, in such circumstances, company may consider allowing them to continue with their positions. Further, this shall be limited to the extent of settlement / margin obligations.

F) Shortages in obligations arising out of internal netting of trades :

Subject to the rules, regulation and bye-laws of the relevant stock exchange/ SEBI, if the seller of the security, in case of internal netting of trades has failed to deliver the security in the scheduled settlement number in the designated settlement account of the member, the seller has to deliver the security in the designated Auction settlement for scheduled settlement.

However, if the client fails to deliver the shares, then the seller will be debited with the highest prevailing price in the NSE, BSE from the first day of the relevant trading period till the auction day or 2% above the closing price on auction day for the particular security, whichever is higher, along with charges and the buyer will get the credit for the same.

G) Conditions under which a client neither may nor be allowed to take further position or the broker may close the existing position of a client:

A client is not allowed to take further position or the existing position of a client is closed on the following conditions :

1. If the ledger of a client shows continuous debit balances.
2. If the client defaults in meeting funds / securities obligation, it will lead to compulsory close out of the position.
3. If the client fails to submit any information / document as are mandatory or relevant, the client may not be allowed to take further position.
4. If the exchange is not allowing any further position in that scrip.
5. If broker's limit of taking exposure in that particular scrip comes to an end.

H) Temporarily suspending or closing a client's account at the client's request:

- a) The account of the client shall be suspended/ closed on receipt of written request from the client specifying the reasons to close the account. If the reasons given are justified then the account of that client is suspended after effecting the settlement of the account.
- b) The Trading Member can withhold the pay out of Client and suspend his trading amount due to his surveillance action or judicial or/and regulatory order/action requiring client suspension.

I) Deregistration of a client:

A client shall be deregistered upon fulfillment of the following conditions after effecting full and final settlement of account with respect to funds and securities :

- a) On receipt of the specific request from the client to deregister himself and to close his accounts.
- b) If the action 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.
- c) If there is any commencement of a legal process against the Client under any law in force;
- d) On the death/lunacy or other disability of the Client;
- e) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;

- f) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- g) If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- h) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- i) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- j) 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;
- k) If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Trading Member;
- l) If the Client is in breach of any term, condition or covenant of this Agreement; m) If any covenant or warranty of the Client is incorrect or untrue in any material respect-However notwithstanding any termination of the agreement, all transactions made under/ pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Trading Member.

J) Inactive accounts:


The account of a client who do not trade and remain inactive for 6 months reckoned from the end of the financial year in which the client has traded shall be declared “inactive account” and will be temporarily suspended.

The Member reserves the right to ask for any documents in support of current address, bank account, demat account, financial status, etc before reactivating such inactive accounts.

Client Acceptance of Policies and Procedures stated here-in-above :

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods such as post / speed post / courier / registered post / registered A.D. / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) by messaging on the computer screen of the client’s computer; by informing the client through employees agents of the Trading. Member; by publishing / displaying it on the website of the Trading Member/making it available as a download from the website of the Trading Member; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast newspapers advertisements etc; or any other suitable or applicable mode or manner I/we agree that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail /voice mail service provider, etc. by the Trading Member and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and Trading Member before any court of law/judicial/ adjudicating authority including arbitrator/ mediator etc.

Client Name _____

Place _____ Date _____ Signature of the Client  _____

POLICIES & PROCEDURES OF ABIRA SECURITIES LIMITED (Commodity)

- 1. Setting up Client's exposure limits:** ASL may from time to time impose and vary limits on the orders that the client can place through its trading system (including exposure limits, turnover limits, limits as to the number, value in respect of which orders can be placed etc.). The client is aware and agrees that ASL may need to vary or reduce the limits or impose new limits urgently on the basis of its risk perception and other factors considered relevant by it including but not limited to limits on account of exchange / SEBI directions etc.
- 2. Applicable brokerage rate:** The broker is entitled to charge brokerage within the limits imposed by exchange. However brokerage and other charges as agreed by the Client is indicated and duly signed by the client under brokerage slab. If there is any upward revision of brokerage, the same will be informed to the client with 15 days prior notice. For any downward movement, the same would be done on immediate basis post intimation to Client.
- 3. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period (this must not result in funding by the broker in contravention of the applicable laws):** The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to ASL will be charged with delayed payment charges at the maximum rate of 1.5% p.m. Further where the Commodity 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 order/trades/deals/actions of the client the same shall be borne in actual by the client.
- 4. The right to sell clients' securities or close clients' positions, without giving notice to the clients , on account of non-payment of client's dues (this shall be limited to the extent of settlement /margin obligation):** The client shall ensure timely availability of funds in designated form and manner for meeting his/her/its pay in obligation of funds. ASL shall not be responsible for any claim/loss/damage arising out of non availability of funds by the client for meeting the pay in obligation of either funds.

ASL has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions commodities at the pre-defined square off time or when Mark to Market loss (M-T-M) reaches the speculated % or margin available with the broker is not sufficient to cover the risk or the client have not taken any steps either to replenish the margin or reduce the Mark to Market loss.

ASL have the sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (ie. short /long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs, in addition to this, the client will have to pay penalties and charges levied by the exchange in actual and losses.

If any without prejudice to the foregoing, the client shall also be solely liable for all any penalties and charges levied by the exchange(s).

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/margins pay in obligations for the orders/trades/deals of the client within the prescribed time and form, the ASL shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- i. To withhold any payout of funds .
- ii. To withhold /disable the trading/dealing facility to the client.
- iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which ASL may deem fit in its absolute discretion.

- iv. To liquidate / square off partially or fully the position of sales & / or purchase in any one or more commodities contracts in such manner and at such rate which ASL may decide in its absolute discretion.
- v. To take any other steps which in the given circumstances, ASL may deem fit.

- 5. Shortages in obligations arising out of internal netting of trades:** ASL shall not be obliged to deliver any commodities or pay any money to the client unless and until the same has been received by it 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:

The commodities delivered short are purchase from the market and the purchase consideration (including all statutory charges and levies) along with a penalty is debited to the short delivery seller client.

ASL shall have the right to adopt a policy of its choice for internal auctions arising out of internal netting of trades and charge to default seller and compensate the impacted purchaser as per the policy. The current procedure for internal auction may be amended from time to time with prospective effect and will be published on the website.

- 6. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client:** The client is not entitled to trade without adequate margin / security and that it shall be his/her/its responsibility to ascertain beforehand the margin / security requirements for his/her/its orders/trades/deals and to ensure that the required margin/ security is made available in such form and manner as may be required by ASL.

If the client's order is executed despite a shortfall in the available margin, the client shall, whether or not ASL intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he/ she/it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim / loss / damage arising out of the non-availability / shortage of margin / security required by the Commodity broker & / or exchange & / or quantum & or percentage of the margin & / or security required to be deposited / made available from time to time. The margin/security deposited by the client with ASL is not eligible for any interest.

- 7) Temporarily suspending or closing a client's account at the client's request and:** Closure request from the client is obtained in the prescribed format, specifying the reasons for closure. The form should be duly signed by the client. The same is forwarded to the Head Office where it is processed after the signatures are being verified. Any pending settlements in the existing code are also thoroughly cross verified. An exit interview over telephone may also be taken from the HO end. Then the exiting code is deactivated in BO software as well in the Exchange records. Closure intimation is sent to the client either through E-mail or through post. Interdepartmental intimation is also sent in such cases if required. ASL is entitled to disable / deregister the trading facility/client, if in the opinion of ASL, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade/ violate any laws, rules regulations, directions of a lawful authority whether Indian or foreign or if the ASL so apprehends
- 8) Deregistering a client :** Only in case of those clients who are consequently debarred from trading by SEBI/STOCK EXCHANGES or in case of breach of any terms and conditions of the agreement entered into with the client. All clients who have not executed a single trade for last six months shall be treated as Dormant and the same shall be made active only upon submission of specific request for the same.

TARIFF SHEET

Schedule of charges for Trading Account - NSE, BSE, MCX & ICEX

	Cash Segment		Equity & Commodity F&O Future		Currency Future		Equity & Commodity F&O Option			Currency Option
	Min. (Paisa) A	Max (%) B	Min. (Paisa)	Max (%) B	Min. (Paisa)	Max (%)	% on Premium	Min. Per Lot (₹)	Max. Per Lot (₹)	% on Premium
Intraday / Square Off										
Delivery Brokerage										

NOTES:

- Please note that the brokerage levied to your trading account shall be the higher of brokerage value as per the existing rates or ₹ 20/- per contract, subject to the maximum rates prescribed by the regulator(s) from time to time.
- Brokerage is normally levied on % basis of transaction value as above. However, where the rate of scrip/futures contract is below specified rate where specified rate is calculated as A/B, then Minimum Brokerage in paise would be levied on Quantity instead of % rate i.e. If value based Brokerage is 0.25% with 5 paise as Minimum brokerage then specified rate would be (5/0.25) which is ₹ 20/-. Hence 5 paise would be levied as brokerage on per share basis where share price is less than ₹ 20/-.
- In case of intraday transaction in Equity segment/Stock Futures/Index futures/currency futures first leg rates as above shall be charged on the buy value or sell value depending upon whichever is higher and second leg rates shall be charged vice versa.
- Other charges:
 - Security Transaction Tax (STT) / Commodities Transaction Tax (CTT), SEBI Turnover fees, Transaction charges shall be levied as per the prevailing rates.
 - Statutory levies including but not limited to GST, stamp duty, Education Cess shall be levied as per the prevailing rates.
 - Clearing Charge: Applicable as per prevailing rates.
 - Abira reserves the right to levy additional charges including but not limited to the following:-

Particulars	Amount
Duplicate Contract Notes (CN) issued	₹10/-per CN**
Duplicate Sauda Summary issued	₹ 25/- for 1 month period** ₹ 50/- for 2 month period** ₹100/- for 3 months and above**
Bounced Cheque/Stop Payment of cheque	₹ 200/- per instance/instrument**

**These charges are subject to revision at the sole discretion of Abira Securities Limited and shall be informed by ordinary post/email/quarterly account statements/SMS/notification on the Back office interface.

- In case physical option is chosen for receiving contract notes and related statements Abira Securities Limited shall levy charges of ₹ 20/- per document dispatched.
- KRA charges as may be applicable.



Signature of the client.

ABIRA ABIRA SECURITIES LIMITED

(Depository Participant of Central Depository Services (I) Ltd.)
 Regd. Office : S. B. Mansion, 2nd Floor, 16, R. N. Mukherjee Road, Kolkata-700 001
 Phone: +91 33 4030-8700, Fax: +91 33 4030-8799, E.mail: info@abiragroup.in
 Website: www.abiragroup.in, CIN: U67120WB2009PLC131881



SEBI Regn. No. : IN-DP-CDSL-584 -2021 • DP ID : 12077400

SCHEDULE OF CHARGES FOR BENEFICIARY ACCOUNT

Sr No.	Services	Schemes	
		Corporate	Individual
1	Account Opening	Nil	Nil
2	Annual Maintenance Charges	₹ 1000/-	₹ 300/-
3	Deliveries / Debit transaction a) Within Abira b) Outside Abira	₹ 15/- per ISIN 0.03% txn., Min. ₹ 35/- per ISIN	₹ 15/- per ISIN 0.03% txn., Min. ₹ 35/- per ISIN
4	Charges for Pledge creation / Pledge closure	0.02% txn., Min. ₹ 50/- per ISIN	0.01% txn., Min. ₹ 50/- per ISIN
5	Charges for applying for certain corporate benefits (e.g. Right issue, Buy back etc.) on behalf of client for shares held with Abira	₹ 25/- per Request	₹ 25/- per Request
6	Dematerialization / Rejection	₹ 25/- per Certificate, plus ₹ 75/- per request for Postage charges	₹ 25/- per Certificate, plus ₹ 75/- per request for Postage charges
		For Rejection ₹ 25/- per Certificate, plus ₹ 75/- per request for Postage charges	For Rejection ₹ 25/- per Certificate, plus ₹ 75/- per request for Postage charges
7	Rematerialization	Actual CDSL charges plus ₹ 75/- per request towards postal charges	Actual CDSL charges plus ₹ 75/- per request towards postal charges
8	Additional DIS requisition	₹ 35/- per booklet	₹ 35/- per booklet
9	Additional Request for account statement or Holding with valuation, freeze & Unfreeze etc. (Physical copy)	₹ 30/- per request plus ₹ 75/- per request for Postage charges	₹ 30/- per request plus ₹ 75/- per request for Postage charges

BSDA Scheme:	Value of Holding (Amount)	AMC	Value of Holding (Amount)	AMC
		Upto – 50000	NIL	200001 and above
	50001 – 20000	100 p.a.		

Additional Tariff Sheet for Margin Pledge/Re-Pledge/Invocation of Margin Pledge/Release of Margin Pledge

Item	Charges
Margin Pledge initiation from Client A/c to TM/CM	Rs. 15/- per request
Release of Margin Pledge to BO/set-up by BO	Rs. 15/- per request
Invocation of Margin Pledge	Rs. 15/- per request
Invocation of Margin Re-pledge	Rs. 15/- per request
Margin Re-pledge	Rs. 10/- per request
Release of Margin Re-pledge	Rs. 10/- per request

Notes:

- Stamp duty on the documents to be executed shall be payable of the rates applicable from time to time.
- For availing 'Easiest' facility of CDSL, the charges as levied by CDSL would be collected from clients at actuals.
- CDSL levies Rematerialization charges as higher of the following :
 - A fee of ₹10/- for every 100 securities or part thereof, Or
 - A flat fee of ₹10/- per certificate
- GST and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
- Any Services which is not mentioned above will be charged separately as per the rates applicable from time to time.
- Abira Securities Limited reserves the right to revise the tariff structure from time to time at its sole discretion, under intimation to clients by giving 30 days prior notice either by way of ordinary post or by an email or by SMS or by notification on the back office interface.



Sole / First Holder



Second holder



Third Holder

MANDATORY

CLIENT COMMODITY-WISE CATEGORIZATION (Mandatory only for Commodity Clients)

To

ABIRA SECURITIES LIMITED (ASL)

S. B. Mansion, 2nd Floor, 16, R. N. Mukherjee Road, Kolkata-700 001

I/We do hereby declare that my/our Commodity-wise categorisation as a participant is as follows:

Sr. No.	Symbol Description	*Farmer / EPOS	*Value Chain Participants (VCPs)	*Proprietary Trades	*Domestic Financial Institutional Investors	*Foreign Participants	*Others
1	Gold						
2	Silver						
3	Diamond						
4	Crude Oil						
5	Natural Gas						
6	Brcrude						
7	Aluminium						
8	Brass						
9	Copper						
10	Lead						
11	Nickel						
12	Steel						
13	Zinc						
14	Barley						
15	Cardamom						
16	Castorseed						
17	Chana						
18	Copra						
19	Coriander						
20	Cotton						
21	Cottonseedoil Cake						
22	Crude Palm Oil						
23	Guargum						
24	Guarseed						
25	Isabgul						
26	Jeera						
27	Jute						
28	Kapas						
29	Maizekharif						
30	Maizerabi						
31	Menthaoil						
32	Moong						
33	Paddy Basmati						
34	Pepper						
35	Rape Mustarseed						
36	RBDPmolein						
37	Rubber						
38	Sack						
39	Soyabean						
40	Soyaoil						
41	Sugar						
42	Turmeric						
43	Wheat						
44	MCXBULLDEX						
45	MCXMETLDEX						
46	MCXENRGDEX						

I/We also give any consent to upload the information to the respective commodity exchanges.

(1) Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature. **(2) Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. **(3) Proprietary traders:** It includes the members of stock exchanges trading in their proprietary account. **(4) Domestic financial institutional investors:** It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives. **(5) Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. **(6) Others:** All other participants which cannot be classified in the above categories.



Client's Signature

GUIDANCE NOTE DO'S AND DONT'S FOR BENEFICIAL OWNERS

1. Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
8. To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (SMS Alerts Related to Transactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at complaints@cdslindia.com.
10. Register for CDSL's Internet based facility "easi" to monitor your demat account yourself. Contact your DP or visit CDSL's website: www.cdslindia.com for details.
11. In order to receive all the credits coming to your demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.
13. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
14. Signatures should be preferably in black ink
15. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
16. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
17. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, Name of the POA, Signature of the POA, must be lodged along with the application.
18. All correspondence /queries shall be addressed to the Sole / First Applicant only.



Signature of the Client

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/ Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

									Date	D	D	M	M	Y	Y	Y	Y
DP ID	1	2	0	7	7	4	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,
ABIRA SECURITIES LIMITED
 S. B. Mansion, 2nd Floor
 16, R. N. Mukherjee Road
 Kolkata-700 001




Dear Sir/Madam,

I / We hereby state that: [Select one of the options given below]

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with **ABIRA SECURITIES LIMITED** (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder-Clearing Member / by PMS Manager / for executing delivery instructions through eDIS.

Yours faithfully




	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

OR

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA /registered for eDIS / executed PMS agreement in favour of / with **ABIRA SECURITIES LIMITED** (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructios through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

Applicant Name _____

PART I - Please fill in the country for each of the following :

1. Country of :
 - a) Birth _____ b) Citizenship _____
 - c) Residence for Tax Purposes _____
2. US Person* : Yes No

PART II - Please note :

- a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to **Part III** for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent** as issued in the specific country in the table below :

i) TIN _____	Country of Issue _____
ii) TIN _____	Country of Issue _____
iii) TIN _____	Country of Issue _____
- a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.
- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

Please also fill **Part IV** Self-Certification.

PART III - Customer Declaration (Applicable for all customers)

- (i) Under penalty of perjury, I/we certify that :
 1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
 2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**
- (ii) I/We understand that Abira Securities Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Abira Securities Limited is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iv) I/We agree that as may be required by domestic regulators/tax authorities Abira Securities Limited may also be required to report, reportable details to CDBT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature : _____

Name : _____ Date (DD/MM/YYYY) : _____

PART IV - Self-Certification :

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.



Signature

Document Proof submitted (Please tick document being submitted)

Passport Election Id Card PAN Card Driving License UIDAI Letter NREGA Job Card Govt. Issued ID Card

* **U.S. Person** means,

- (a) an individual, being a citizen or resident of the United States of America;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
 - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

** **Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number

Applicant Name _____

PART I

- A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:
 Yes No

If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company _____ and proceed to sign the declaration.

- B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India :
 Yes No

If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.

- C. Is the account holder an Indian Financial Institution : Yes No

If "yes", please provide your GIIN, if any _____. If "No", proceed to point D.

- D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen : Yes No

If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.

CUSTOMER DECLARATION

() Under penalty of perjury, I/we certify that :

1. The applicant is:
 - (i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,
 - (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
 - (i) I/We understand that Abira Securities Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. ASL is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
 - (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
 - (iii) I/We agree that as may be required by domestic regulators/tax authorities ASL may also be required to report, reportable details to CBDT or close or suspend my account.
 - (iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity _____

Signature 1 _____ Signature 2 _____

Signature 3 _____ (As per MOP)

Date : _____

Signature  _____

Section 4 : Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5 : Declaration

- (i) Under penalty of perjury, I/we certify that :
 - 1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 - 2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
 - 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that Abira Securities Ltd. is relying on this information for the purpose of determining the status of applicant named above in compliance with CRS/FATCA. Abira Securities Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, Abira Securities Ltd. shall be required to report, reportable details to CBDDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.
I/We hereby confirm that details provided are accurate, correct and complete

 Authorized Signatories and Company Seal (if applicable)

Name _____ Date (DD/MM/YYYY) _____

Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons NON-MANDATORY

(Mandatory for Non-individual Investors)

(To be provided on Letter Head)

I. Investor Details:

Name of the Client	
--------------------	--

II. Category:

<input type="checkbox"/> Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company <i>[If this category is selected, no need to provide UBO details]</i>		
<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm / LLP	<input type="checkbox"/> Unincorporated Association / Body of Individuals
<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Private Trust	<input type="checkbox"/> Religious Trust
<input type="checkbox"/> Trust created by a Will	<input type="checkbox"/> HUF	<input type="checkbox"/> Others [please specify] _____

UBO / Controlling Person(s) details

Sl. No.	Name of UBO	Country of Tax Residency	Taxpayer Identification Number / PAN / Equivalent ID Number	% of beneficial interest	Address, Address Type & Contact details (include City, Pincode, State, Country)	Gender (Male, Female)	PEP	Nationality	Occupation [Service, Business, Others]

Declaration

We acknowledge and confirm that the information provided above is true and correct to the best of our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, we are aware that we may liable for it. We hereby authorize ABIRA SECURITIES LIMITED to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by us, including all changes, updates to such information as and when provided by us to any of the relevant Authorities or any Indian or foreign governmental or statutory or judicial authorities / agencies without any obligation of advising us of the same. Further, we authorize to share the given information to other SEBI Registered Intermediaries and/or any other regulated intermediaries registered with SEBI / RBI / IRDA to facilitate single submission / update & for other relevant purposes. We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Client Signature _____

Date: _____

Place: _____

INSTRUCTIONS ON CONTROLLING PERSONS / ULTIMATE BENEFICIAL OWNER

As per SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

A. For Investors other than individuals or trusts:

- (i) The identity of the 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. Controlling ownership interest means ownership of/entitlement to:
 - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - 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.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

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.

C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.


To


ABIRA SECURITIES LIMITED

S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road
Kolkata-700 001

DECLARATION IN CASE OF SAME MOBILE NUMBER AND / OR E.MAIL ID FOR DIFFERENT CLIENTS

[Please tick (✓) wherever applicable]

DP ID	1	2	0	7	7	4	0	0	Client ID		Date	
Name of Account Holder												
<input type="checkbox"/> Mobile Number												
<input type="checkbox"/> Email ID												
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).												
Signature of Sole/First holder												
Name of Sole/First holder												

DP ID	1	2	0	7	7	4	0	0	Client ID		Date	
Name of Account Holder												
<input type="checkbox"/> Mobile Number												
<input type="checkbox"/> Email ID												
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).												
Signature of Second holder												
Name of Second holder												

DP ID	1	2	0	7	7	4	0	0	Client ID		Date	
Name of Account Holder												
<input type="checkbox"/> Mobile Number												
<input type="checkbox"/> Email ID												
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).												
Signature of Third holder		<input checked="" type="checkbox"/>										
Name of Third holder												

MANDATE TO ISSUE DOCUMENTS IN ELECTRONIC FORMAT

To,
Abira Securities Limited
S.B. Mansion
16, R.N. Mukherjee Road
Kolkata – 700 001

Dear Sir,

Sub: Mandate to issue contract note & other documents in digital format

I/We hereby agree and consent to accept the contract notes and/or other documents for transactions carried on by me/us with all of you or any one of you, in terms of the agreement entered into between us, in Digital form. Digital contracts and/or other documents issued by you as per the terms and conditions specified shall be binding on me. I/we undertake to check the contract notes and/or other documents and bring the discrepancies to your notice within 24 hours of such issuance of contract notes. My/our non-verification or not accessing the contract notes and/or other documents on regular basis shall not be a reason for disputing the contract note and/or other documents at any time. This instruction to issue digital contract note and/or other documents is/are applicable with immediate effect. I/We have read and agree to the terms and conditions mentioned below.

I further request you to send me bills / accounts ledger, circulars and other documents, if any through above mails.

Thanking you,

Yours Faithfully

Signature of the Client: _____ Name of the client: _____

E-mail Id of the Client: (1) _____ (2) _____
(Primary-Compulsory) (Alternate-optional)

Client Code: _____

Dear Customer,

Thanks very much for opting to our offer to send you the contract notes in the digital form, for availing the facility of digital contract notes and/or other documents, following are the terms and conditions. Please sign it as an acceptance to it.

1. The Digital Contract notes will be issued in digital form in compliance with guidelines issued by SEBI/Exchanges from time to time.
2. Digital Contract notes will be mailed to the E-mail address provided to us in the format as may be prescribed by the Exchanges from time to time.
3. Clients can view the Digital Contract notes on URL by using the username & password.
4. The digital contract notes will be archived at an interval of 15 days. if the client intends to view the digital contracts notes for a period prior to 15 days' client may request for the same in writing.
5. 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. Normally also contract in physical format will be issued under specific request only.
6. Discrepancies, if any, should be sent to the branch or to E-mail operations in info@abiragroup.in within 24 hours of issuance of digital contract notes.
7. Non receipt of bounced mail notification by us shall amount to delivery of the contract note at your e-mail id.
8. Any changes in the email id shall be communicated by the client through a physical letter to the trading member.
9. This is also applicable for other documents also.

Signature of the Client:  _____

DECLARATION/LETTER OF UNDERSTANDING

Date: _____

To

ABIRA SECURITIES LIMITED (ASL)

S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road
Kolkata - 700 001

Dear Sir,

1. I/We agree not to hold ASL liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
2. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
3. All fines/penalties and charges levied upon ASL due to my acts/deeds or transactions may be recovered by ASL from my account.
4. Any queries related to my/our contract note shall be brought to the notice of ASL within 7 days of the receipt of the contract note.
5. I/We hereby authorize ASL not to provide me Order Confirmation/ Modification/ Cancellation slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request ASL to kindly accept my/our verbal orders/ instructions over phone and execute the same. I/We understand the risk associated with placement of verbal orders and accept the same. In case I wish to withdraw this consent I shall inform ASL in writing and get the same acknowledged by ASL at least one week in advance from the date of withdrawal.
6. I/We will be extending all co-operation to ASL in their endeavour towards Anti Money Laundering. ASL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
7. I/We understand that information about me/us and my/our transactions may be reported by ASL to FIU/concerned authorities without any intimation to me/us and have no objection to the same.
8. I/We undertake that if I/we fail to deliver any one or more securities to the pool account of ASL in respect of the securities sold by me/us before the pay-in date notified by the Exchange from time to time, such undischarged obligation in relation to delivering any one or more securities shall be deemed to have been closed out at the auction price or close-out price, as may be debited to ASL in respect of the security for the respective settlement, otherwise the close out price on the date of pay-out in respect of the relevant securities, declared by the Exchange. The loss, if any, on account of the close out shall be borne by me/us.
9. I/We agree to ASL tape-recording the conversation between me/us and ASL officers in its absolute discretion, whether personally or over the telephone. Such recordings may be relied upon by ASL as and when required and I/we agree not to challenge the evidentiary value of such recordings.
10. I/We hereby authorize ASL to debit my/our account with delayed payment charges, depository services charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/ pay order/PGP charges. NEFT/RTGS charges, call and trade charges, SMS charges, settlement/ professional charges (for as may be applicable to NRIs), research service/message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments etc. generally various investment avenues / products, processing fees/charges towards contract note/statement of account etc. and any other such or similar fees / charges as may become applicable from time to time.

Thanking you,

Yours truly,



Signature of the Client

VOLUNTARY

DECLARATION ON OPEN INTEREST POSITION

VOLUNTARY

(Mandatory if client wants to trade in ICEX / MCX / BSE & opt for IBT)

To,

ABIRA SECURITIES LIMITED (ASL)

S. B. Mansion, 2nd Floor,
16, R. N. Mukherjee Road, Kolkata-700 001

Dear Sir,

Subject : My/Our request for trading in commodity contracts/commodity derivatives on ICEX / MCX / BSE of your client

I/We, the undersigned, have taken cognizance of Circular issued by SEBI or ICEX/MCX/BSE from time to time and on the guidelines provided by the respective exchange for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by respective exchanges or Securities and Exchange Board of India and such position limits will be calculated in accordance with the circulars of ICEX/MCX/BSE as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/ trustee, takes or holds any position in any commodity forward contract/commodity derivative on respective exchanges through you or through any other member(s) of respective exchanges, to enable you to restrict our position limit as prescribed by the above referred circulars of respective exchanges as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity contracts/commodity derivatives for me/us as your clients on respective exchanges only on the basis of our above assurances and undertaking.

Yours faithfully,

For _____

Signature  _____

(In case of Non-Individual client, the same to be signed by the Authorised signatory with Company Seal)

Note :- Futures & Options in commodities will be on the underlying commodity or Index

MANDATE FOR AUTHORIZED REPRESENTATIVE

VOLUNTARY

We are having a trading account bearing client code _____ with Abira Securities Ltd. do hereby authorize Mr./Ms _____, being our _____ R/o _____ herein after referred to as authorized representative whose signature is given below, to trade on my behalf and I further accept that all obligations arising out of trades executed by such person will be met by me. Further, I authorize you to accept all instructions, from such person pertaining to settlement of transactions in our account.

I also undertake to indemnify Abira Securities Ltd. for all dues, penalties, and incidental expenses relating to and arising out of and in connection with transactions pertaining to trading account no. _____ with Abira Securities Ltd and operated by my authorized representative Mr / Mrs. _____

Place :.....

Date :.....



(Signature of Mandate Holder) Attested

Authorised Signature of Authorised Representative

Aadhaar No of the Authorised Representative

Note: In case the client does not sign this mandate, orders, instructions and payment / transfer advises shall not be accepted in the client account from the person (s) other than the client.

AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS

To

ABIRA SECURITIES LIMITED

S.B. Mansion,
16 R.N. Mukherjee Road
Kolkata-700001

Date : _____

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with Abira Securities Limited & within 3 working days from the request if the same is lying with clearing member / clearing corporation.
2. I/we understand and agree that no interest will be payable to me/us on the funds so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize Abira Securities Limited to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. Excess margins deposited towards one exchange / segment may be adjusted, on a running basis towards margin requirement / debit balance in same / other exchange / segment, where I/we have the client account.
5. I/we also confirm that the securities lying in my CUSA A/c should be considered as margin deposit / collateral.
6. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
7. I / we hereby authorize you to deposit my / our funds deposited as margin to exchange / Clearing Corporation.
8. I/we may revoke the authorisation at any time by giving a written notice.
9. I/we also agree that the actual settlement of fund shall be done by us, at least once in a quarter or month, as Preference given below and the statement of account for the same will be provided to me by Abira Securities Limited.
10. I/we agree that (a) in respect of derivatives market transactions, the Trading Member may retain the requisite funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the Exchange, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligations of T day & T-1 day funds due from me/us as on the date of settlement to take care of margin obligation in next 5 days, calculated in the manner specified by the Exchange.
11. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
12. I/we shall bring any dispute arising from the statement of account or settlement so made to the Notice of the Trading Member preferably within 30 working days from the date of receipt of funds / securities or statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT OF FUNDS

Settlement Preferences	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
-------------------------------	----------------------------------	------------------------------------

Thanking you,

Yours truly,



Signature of the Client

VOLUNTARY

To
ABIRA SECURITIES LIMITED (ASL)
 S. B. Mansion, 2nd Floor, 16, R. N. Mukherjee Road
 Kolkata-700 001

Date :

Dear Sir,

I/We understand that the Member accepts deposit of Securities/Commodities towards "Margin" for the purpose of allowing additional exposure/turnover and this document has been signed by me/us voluntarily without any coercion or force.

In respect of the above margins, I/We also undertake and agree to the following:

1. I /We shall pay initial margin as specified by Exchanges before placing any order. ABIRA SECURITIES LIMITED (ASL) will have all the rights not to execute the order if I/We fail to place the required initial margin with them
2. That the above margins are subject to the first and paramount lien for any sum due to ASL by me/us for the due fulfillment of my/our engagements, obligations and liabilities arising out of or relating or incidental to any bargains, dealings, transactions and contract made through or with you.
3. That ASL has a clear and undisputed right to dispose of the margin securities/commodities and adjust the proceeds or the cash margin provided towards overdue balances in my/our account, at my risk and cost, without any need for clearance or reference to me/us whatsoever after giving reasonable opportunity.
4. I/We shall when called upon to do so, provide additional margin money to ASL as required by them or Stock Exchange in respect of positions taken by me/us

Your Sincerely,

Client Signature  _____

AUTHORISATION FOR SECURITIES AS COLLATERAL

VOLUNTARY

I/ We, _____, having client code _____ declares and assures that the Said Securities are given by me/us to Abira Securities Limited for deposit of the same with Clearing House/ Clearing Member as collateral to the effect that

- (i) the Said Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise
- (ii) that the Said Securities will be subject to the creation of pledge in favour of or for the benefit of Clearing House/ Clearing Member and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to Clearing House / Clearing Member would likewise be my /our unencumbered, absolute and disposable property.
- (iii) that the Abira Securities Limited is authorized to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary under this Authorisation and the same shall be subject to terms and conditions as contained herein.
- (iv) I/We agree that the Said Securities shall be subject to the first priority and lien in favour of Abira Securities Limited to secure, my/our obligations and that my/ our rights or interests with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Abira Securities Limited in respect of the Said Securities.
- (v) that Abira Securities Limited can utilize the proceeds in meeting my/ our obligations in such manner as it may deem fit without my/our reference or permission
- (vi) I/We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities until the same is utilized as Collateral in the form of Margin.
- (vii) Further, I/We shall provide letter of authorization to Clearing House / Clearing Member as and when required by them.

Date:- _____

Place: - _____

Signature of the Client  _____

ASL / Clearing Member / Clearing House based upon my / our trading in the relevant segment

QUESTIONNAIRE TOWARDS RISK PROFILING OF CLIENTS

IDENTIFYING YOUR INVESTMENT RISK (From Investment Trading Perspective)

1 Familiarity with the Investment (Tick the applicable) _____

Not familiar at all Somewhat familiar Fairly familiar Very familiar

2 Investment Longevity (Tick the applicable) _____

Less than 1 year Within 1-3 years Within 3-5 years More than 5 years

3 Approximate percentage of your currently held asset in investment products (Tick the applicable) _____

Above 75% Between 50% to 75% Between 10% to 25% Less than 10%

4 Your experience in Stock Market (Tick the applicable) _____

Highly Experienced Very Experienced No Experienced

5 Legal Actions (Tick the applicable) _____

Yes Rs. _____ (Amount involved) No

6 Quantum of bearable loss (Tick the applicable) _____

Minimal amount of Capital loss Moderate Capital Loss High Capital Loss

7 Source of deployment of funds, whether borrowed (Tick the applicable) _____

Yes Name of the lender: _____ and amount borrowed Rs. _____ No

ADDITIONAL INFORMATION

1 Details of the family member / group Companies being the promoter of the listed Company (Tick the applicable) _____

Yes Name of the listed Company _____ No

2 Details of the family member / group Companies registered with SEBI (Tick the applicable) _____

Yes Mention details _____ No

3 Details of the family members / relatives having trading account with ASL (Tick the applicable) _____

Yes Client Code _____ Name _____ No

4 Annual Income Bracket of the Customer (Tick the applicable) _____

= < ₹10 lacs ₹10 to ₹50 lacs ₹50 to ₹1 Crore ₹1Crore and above

5 Residential Status (Tick the applicable) _____

NRI Indian Resident

6 Purpose of Investment (Tick the applicable) _____

Wealth Creation Retirement Corpus Succession Plan Corpus

7 Customer Occupation (Tick the applicable) _____

Business Service Professional Others _____

8 Risk Appetite (Tick the applicable) _____

Low Medium High Very High

9 Preferable Asset Class (Tick the applicable) _____

Equity Debt Hybrid Real Estate Rent yielding property Alternative Investment Funds

Additional Comments (to be filled by Client) _____

(Please write down any additional comments you may have relevant to determining your Risk Profile)

Client Signature  _____

Internet & wireless technology based trading facility provided by stock broker to the client

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

1. Stock broker is eligible for providing Internet Based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with datacard, etc. which use Internet Protocol (IP). 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 website provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy is as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use.etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The 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 Stockbroker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service of 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.

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 of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
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.

Client Name _____

Place _____ Date _____ Signature of the Client  _____

Annexure 2.4

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

Definitions:

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.

4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

1	2	0	7	7	4	0	0
---	---	---	---	---	---	---	---

(Please write your 8 digit DPID)

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

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent +91




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

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

The mobile number is registered in the name of: _____

Email ID: _____

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

Signatures  _____  _____  _____
Sole / First Holder Second holder Third Holder

Place: _____

Date _____

Annexure-2.6

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

1. Definitions:

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

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

such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

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

17. **Indemnity:**

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

18. **Disclaimer:**

Depository shall be absolved of any liability in case:-

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

Common Registration Form for availing SMS Alert and /or TRUST facility

To

ABIRA SECURITIES LIMITED

S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road
Kolkata-700 001

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below, subject to the terms and conditions as specified by CDSL :

- a. SMART-SMS alert facility
- b. TRUST- Transaction using Secured Texting facility

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID

1	2	0	7	7	4	0	0
---	---	---	---	---	---	---	---

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

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name: _____

Second Holder's Name: _____

Third Holder's Name: _____

Mobile Number on which messages are to be sent +91

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

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

(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of:

(Name) _____

Email ID: _____

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

I/ We consent to CDSL providing to the service provider such information pertaining to account/ transactions in my/our account as is necessary for the purpose of availing the said facility.

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

Signatures  _____  _____  _____

Sole / First Holder Second holder Third Holder

Place: _____

Date _____

ELECTRONIC PAY OUT REQUEST

Date: _____

To

ABIRA SECURITIES LIMITED (ASL)

S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road
Kolkata - 700 001

Dear Sir,

I/We furnish below the details of my Bank Account to enable the transfer of funds payable to me/us against sale of securities / Credit Balances in my account.

Bank : _____ Branch : _____

Type of Account: Savings Current NRE NRO Others (Specify) _____

A/c. No. : _____ MICR No. : _____

IFSC CODE(RTGS/NEFT): _____

Copy of cheque must be enclosed.

Name of Joint Account Holder (if any): _____

I/We hereby declare that the particulars mentioned above are correct, complete and true and I/we request ASL to transfer the funds against payments due to me into the above mentioned Bank Account until any other instruction is given by me/us. It is also agreed by me/us that the above facility is being provided to me/us by ASL at my request and it can be discontinued/withdrawn by ASL at its discretion at any point of time, as and when required without prior notice.

1. The transfer of funds to my/our bank account will continue to be governed by the terms and conditions as per my declaration to ASL.
2. I/We shall review, upon receipt, all transfers of funds made into the aforesaid bank account. In case fund payment is not received in my/our account on the scheduled date then I/We will notify the same to ASL within two days, failing which it shall be assumed that the funds have been credited to my account and ASL shall not be liable in any manner thereafter for the same.
3. If the transaction is delayed or not effected at all for incomplete or incorrect information provided by me/us, I/we would not hold ASL responsible and hereby indemnify ASL from any losses or damages there from.
4. All charges levied by Bank for the said facility shall be borne by me/us.
5. I/We hereby advised to keep these instructions in force unless specifically informed by me/us in writing.

Thanking you,

Yours truly,



Signature of the Client

**DECLARATION LETTER FOR RECEIVING ALERTS, TRADING / RESEARCH CALLS,
TRADE CONFIRMATION, REPORTS, NEWS ETC. ON MOBILE**

Date: _____

To

ABIRA SECURITIES LIMITED (ASL)

S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road
Kolkata - 700 001

Dear Sir,

I do hereby declare that my Mobile Number is _____. Further, I authorize ASL that the same may be used for giving me any information / reports / news / live updates / alerts / sms / research calls.

Or

We, _____ do hereby declare that Mr. _____

having mobile number _____ is authorized on our behalf to

receive any information / trade confirmation through Automated Voice Caller System (IVR Calling) / reports / news / live updates / alerts / sms / research calls on our behalf.

I/We undertake to ASL and confirm to use my/our own judgement in taking a call and execute trade in the identified securities according to my/our financial strength/capabilities and shall not hold ASL responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of the SMS alerts and/or investment advises sent by ASL. I/We further declare that the above mentioned statement is true and correct.

I/We, hereby declare that, I/We have understood that in order to serve me/us better by offering me/us an opportunity to review and reconfirm my/our trade execution done by me/us during a trading day, you have introduced a system of automated call confirmation. On each trading day in the evening at or after 6 p.m./ 10.30 a.m. (for commodity segment on T+1 day) an automated call will come to me/us seeking our confirmation or rejection of the trade/sauda undertaken by me/us during the day. The system is software generated and I/We will have to Press 1 on my/our mobile screen to confirm the trade and Press 2 to reject.

In case I/We had miss the call, you will be contacted 5 times repeatedly to receive my/our feedback. However, if even after 5 calls my/our response is not received by you, it will be presumed that I/We have confirmed the trade/sauda and you shall proceed accordingly.

Thanking you,

Yours truly,



Signature of the Client

CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

Dated : _____



To

ABIRA SECURITIES LIMITED

S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road
Kolkata-700 001

Sir,

This is with reference to my/our trading account opened with you; I/we request you arrange facility of receiving email and/ or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concerned authorities from time to time.

Email Facility	Service Required - <input type="checkbox"/> YES <input type="checkbox"/> NO
Email ID	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	
SMS Facility	Service Required - <input type="checkbox"/> YES <input type="checkbox"/> NO
Mobile Number	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	

* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client. In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to **Abira Securities Limited**.



Signature of Client

VOLUNTARY

AUTHORITY LETTER

To

ABIRA SECURITIES LIMITED (ASL)

S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road
Kolkata-700 001

Sub : Authority to debit the Demat Account Charges/Client Registration Charges

Ref: Member Client Agreement executed between us

Beneficiary Client ID	1	2	0	7	7	4	0	0											
Trading Account Code																			

Dear Sir,



This is to inform **ABIRA SECURITIES LIMITED** that,

1. I/We have a beneficiary account with **ABIRA SECURITIES LIMITED (DP)** with client ID as mentioned above.
2. Further I/we have a trading account with **ABIRA SECURITIES LIMITED** (trading code mentioned above) for investment and trading purpose.
3. I/We find it extremely inconvenient to give cheques against your depository bills and client registration charges.

With respect to the above mentioned subject and consideration, I/we hereby authorize you to debit the trading account maintained with **ABIRA SECURITIES LIMITED** for the debit charges payable to **ABIRA SECURITIES LIMITED**, as Depository Participant for providing depository services. Any such debited to my/our account shall be binding on me/us.

Thanking You

Yours faithfully,

Signature of the Client:  _____  _____  _____
First Holder Second Holder Third Holder

Name of the client : _____

Address : _____

AUTHORISATION FOR PROVIDING DP TRANSACTION STATEMENT BY EMAIL OR ON WEBSITE

Date : _____

To

ABIRA SECURITIES LIMITED

S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road
Kolkata-700 001

Dear Sir,

You are requested to provide me/us holding/transaction statement including statement of account in the following manner:

1. I/we understand that, I/we have the option to receive transaction statement by email or on website. In pursuance of the same, I/we hereby opt for receipt of transaction statement (including but not limited to statement of account holding statement or any other communication) through email or on website.
2. I/we is/are aware that I/we will not receive the transaction statement in paper form.
3. I/we will take all the necessary means to ensure confidentiality and secrecy of the login name and password of the internet/email account.
4. I/we, is/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised, in which case I/we shall not hold you responsible in any manner.
5. I/we shall immediately inform the DP about change in email address if any, in case transaction statements are send by email.
6. I/we/you shall have the right to terminate this service by giving a 10 days written notice in advance.

Thanking You,

Yours faithfully,



Signature of the Client

Declaration for Authorization for trading on Online and Offline Mode

To

ABIRA SECURITIES LIMITED (ASL)

S. B. Mansion, 2nd Floor,
16, R. N. Mukherjee Road
Kolkata-700 001

Dear Sir,

1. With reference to my/our trading account opened with you, I/We request you to kindly allow me/us to trade on both online and offline mode
2. I/We can trade online on internet as well as mobile device and can trade offline on the dealer's terminal of my/our Authorized Person/Trading Member terminal
3. I/We completely understand that I/We shall be solely responsible for the rewards, risks or liabilities arising out of my/our trades that I/we place either on the online/offline mode as described above
4. I/We may revoke the authorization at any time by issuing a physical letter for the effect.

Thanking You,

Yours truly,



Signature of the client

Name:

Client Code:

**Voluntary information provided by the client in relation
to the Prevention of Money Laundering Act, 2002**

Name of the Client : _____

If Business / Profession : Nature of business : _____

Industry : _____

Details of my/our Relatives, having account with ABIRA SECURITIES LTD. :

Name	Relationship	UCC (Client Code)
1.		
2.		
3.		
4.		

Details of the Corporate / Partnership Firm / Trust etc. where I/We am/are affiliated

Name	Entity Type	Nature of Business	Relationship	UCC (Client Code)
1.				
2.				
3.				
4.				

I/We hereby submit and agree to submit every year following documents to ABIRA SECURITIES LTD., before the due date as prescribed by ABIRA SECURITIES LTD. :

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self attested copy of Income Tax Return (If return not available, I/we will furnish Form 16)
4. Copy of Form 16 in case of Salary Income
5. Any other document providing financial details of the client

I/We confirm that I/We will immediately inform ABIRA SECURITIES LTD. in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We intend to invest in the stock market with : Own Funds Borrowed Funds

(If Borrowed Funds, then please specify below Sources of funds :)

Sources of Borrowed Funds (if any)	Amount (₹)

(Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account is to be attached, which I/We agree to attach herewith.)

I/We hereby declare that I/We am/are beneficial owner of the Trading/On-line account opened with ABIRA SECURITIES LTD., and that I/We am/are investing my/our own funds with ABIRA SECURITIES LTD.

Client Signature  _____ Client's Name _____

For Office use only

Risk categorisation of client as per PMLA, 2002 :

High Risk Medium Risk Low Risk

Verified by : _____

Authorised & Approved by : _____

VOLUNTARY

ANTI-MONEY LAUNDERING (AML) – COMBATING FINANCING OF TERRORISM (CFT) WHAT YOU MUST KNOW – FAQs

Help us in preventing money laundering / terrorist financing.....Your assistance really matters us.

Ever wondered why the Broker is asking you certain personal information which has hitherto never been called for? Such information can include documents evidencing source of funds / income tax returns / bank records etc. By providing this information to the Broker, at the time of account opening and subsequently as and when required, you are actually assisting the efforts in prevention of money laundering / terrorist financing. Here are the details, presented in the form of frequently asked questions (FAQs) to let you know how.

What is Money Laundering?

Money Laundering is the process by which criminals attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities, thereby avoiding prosecution, conviction and confiscation of the criminal funds. The term Money Laundering is also used when the funds are used for terrorist financing, though the origin of the funds may be legitimate.

Money Laundering has acquired a global character that not only threatens security, but also compromises the stability, transparency, and efficiency of financial systems. Money-laundering techniques are becoming more sophisticated and complex with each passing day.

The objective of AML & CFT Program is to prevent financial intermediaries from being used as a tool for the purpose of Money Laundering & terrorist financing and to preserve the integrity of the Financial system.

In response to mounting concern over money laundering, the Financial Action Task Force on money laundering (FATF) was established by the G-7 Summit in Paris in 1989 to develop a co-ordinated international response. One of the first tasks of the FATF was to develop Recommendations, 40 in all, which set out the measures national governments should take to implement effective anti-money laundering programmes.

How much money is laundered per year?

The IMF has stated in 1996 that the aggregate size of money laundering in the world could be somewhere between two and five percent of the world's gross domestic product.

Using 1996 statistics, these percentages would indicate that money laundering ranged between USD 590 billion and USD 1.5 trillion. However it must be said that overall it is absolutely impossible to produce a reliable estimate of the amount of money laundered and therefore the FATF does not publish any figures in this regard.

How is money laundered?

In the initial - or placement - stage of money laundering, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money orders, etc.) that are then collected and deposited into accounts at another location.

After the funds have entered the financial system, the second – or layering – stage takes place. In this phase, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channelled through the purchase and sales of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not co-operate in anti-money laundering investigations. In some instances, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance.

Having successfully processed his criminal profits through the first two phases the launderer then moves them to the third stage – integration – in which the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets, or business ventures.

Where does money laundering occur?

Money laundering can occur practically anywhere in the world. Generally, money launderers tend to seek out countries or sectors in which there is a low risk of detection due to weak or ineffective anti-money laundering programmes.

How does money laundering affect business, economic development & society at large?

Money laundering damages the integrity of the financial institution, entire society and undermines democracy and the rule of the law as it rewards corruption and crime.

There is a dampening effect on foreign direct investment when a country's commercial and financial sectors are perceived to be subject to the control and influence of organised crime. Fighting money laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.

The possible social and political costs of money laundering, if left unchecked or dealt with ineffectively, are serious. Organised crime can infiltrate financial institutions, acquire control of large sectors of the economy through investment, or offer bribes to public officials and indeed governments.

The economic and political influence of criminal organisations can weaken the social fabric, collective ethical standards, and ultimately the democratic institutions of society.

How does fighting money laundering help fight crime?

Targeting the money laundering aspect of criminal activity and depriving the criminal of his ill-gotten gains means hitting him where he is vulnerable. Without a usable profit, the criminal activity will not continue.

What should individual governments be doing about it?

A great deal can be done to fight money laundering, and, indeed, many governments have already established comprehensive anti-money laundering regimes. These regimes aim to increase awareness of the phenomenon – both within the government and the private business sector – and then to provide the necessary legal or regulatory tools to the authorities charged with combating the problem.

Some of these tools include making the act of money laundering a crime; giving investigative agencies the authority to trace, seize and ultimately confiscate criminally derived assets; and building the necessary framework for permitting the agencies involved to exchange information among themselves and with counterparts in other countries.

What are Local regulations on AML / CFT?

- a) Prevention of Money Laundering Act, 2002 (PMLA) came in to force with effect from July 01, 2005 read with the prevention of Money Laundering (Amendment) Act, 2009.
- b) SEBI Guidelines on PMLA vide circular issued in January 2006 followed by latest Master circular issued in February 2010.
- c) Exchanges have also issued Guidelines on PMLA to be followed by all registered intermediary.

How is Money Laundering defined under PMLA 2002?

Section 3 of the Prevention of Money Laundering Act (PMLA) 2002 defines the “Offence of Money Laundering” as:

“Whosoever directly or indirectly attempts to indulge or knowingly assists or knowingly is party or is actually involved in any process or activity connected with the **proceeds of crime** and projecting it as untainted property shall be guilty of the offence of money laundering.”

“**Proceeds of crime**” has been defined in Section 2 of the PMLA as the property derived or obtained directly or indirectly by any person, as a result of criminal activity relating to a scheduled offence or the value of such property.

“**Scheduled Offences**”, as per section 2 of PMLA, are specified in two parts of the schedule to PMLA. The value involved in offences specified in Part B should be Rs.30 lakhs or more.

Why KYC / AML Policy for Market Intermediary?

SEBI has instructed all Market Intermediary to adopt a KYC / AML Policy

- a) To prevent criminal elements from using the Capital Market for money laundering activities.
- b) To enable the Broker to know / understand the customers and their financial dealings better, which in turn would help the Broker to manage risks prudently.
- c) To put in place appropriate controls for detection and reporting of suspicious activities in accordance with applicable laws / laid down procedures.
- d) To comply with applicable laws and regulatory guidelines.
- e) To take necessary steps to ensure that the concerned staff is adequately trained in KYC / AML procedures.

What are the obligations of Market Intermediary under PMLA 2002?

Section 12 of PML Act 2002, places certain obligations on every banking company, financial institution and market intermediary, which include:

- a) Maintaining a record of prescribed transactions.
- b) Furnishing information of prescribed transactions to the specified authority (Financial Intelligence Unit-India (FIU-IND)).
- c) Verifying and maintaining records of the identity of its clients.
- d) Preserving records in respect of a,b,c above, for a period of 10 years from the date of cessation of transactions with the clients.

FIU-IND is a central, national agency, set up by Government of India on 18th November,2004, responsible for receiving (and as permitted, requesting), analyzing and disseminating to the competent authorities, disclosures of financial information (i) Concerning suspected proceeds of crime and potential financing of terrorism, or (ii) Required by national legislation or regulation, in order to combat money laundering and terrorist financing.

What are the transactions to be reported by Market Intermediary to FIU-IND?

- a) All cash transactions of the value of more than Rs.10 lakhs or its equivalent in foreign currency.
- b) All series of cash transactions integrally connected to each other, which have been valued below Rs.10 lakhs or its equivalent in foreign currency (excluding individual transactions below Rs.50,000/- in the reporting) where such series of transactions have taken place within a month and the aggregate value of such transactions exceeds Rs.10 lakhs.
- c) Counterfeit currency transactions.
- d) Suspicious transactions.

What are suspicious transactions?

Rule 2(1)(g) of PMLA-2002 defines suspicious transactions as:

A transaction whether or not made in cash which, to a person acting in good faith :

- (a) gives rise to a reasonable ground of suspicion that it may involve the proceeds of crime; or
- (b) appears to be made in circumstances of unusual or unjustified complexity; or
- (c) appears to have no economic rationale or bonafide purpose; or
- (d) gives rise to a reasonable ground of suspicion that it may involve financing of activities relating to terrorism.

POLICY / DECLARATION ON AML / CFL

Sl.No.	AML Measures	Particulars
1	AML Policy	We have in place written policy & procedure as per guidelines issued by SEBI / Exchange
2	Know Your Customer (KYC)	We have in place system for identification of our clients including KYC documentation.
3	Maintenance of Records	We update the client profile on a regular basis.
4	Screening against negative lists	We have in place record maintenance and retention procedures as prescribed. We screen the client database to ensure that it is not held by or linked to anyone included in the specified list.
5	Risk Assessment	We have in place system to place clients into high, medium & low risk category and apply enhanced due diligence for clients that pose a higher risk.
6	Clients of Special Category	We have in place policy to place clients of special category such as persons with political link, non residents, Trusts, NGOs, closely held Companies, etc. in high risk category.
7	Monitoring, Identification & Reporting of Suspicious Transactions	We have in place, systems and procedures for monitoring, detection and reporting of suspicious transactions to the relevant authorities.
8	Audit	We are subject to inspection by SEBI/Exchange. Additionally we are periodically audited by an independent internal auditor that assesses AML policies and procedures too.

POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME;

I/We _____ (I.T. PAN : _____) Residing at _____

I/We _____ (I.T. PAN : _____) Residing at _____

I/We _____ (I.T. PAN : _____) Residing at _____

(Hereinafter referred to as 'the Clients') Indian inhabitant SEND GREETINGS.

Whereas I/We hold the Beneficiary Account No. 12077400 _____ with Central Depository Services (India) Ltd. (CDSL), through ABIRA SECURITIES LIMITED (DP ID 12077400), registered with Securities and Exchange Board of India (SEBI) and Whereas I/We am/are investor(s) engaged in subscribing to and buying/selling of share, securities and other financial products and services through and/or with ABIRA SECURITIES LIMITED., a member of National Stock Exchange of India Ltd., bearing SEBI Registration No. INZ000211332 and a member of Bombay Stock Exchange Ltd., bearing SEBI Registration No. INZ000211332 with its Registered Office at S.B. Mansion, 2nd Floor, 16, R. N. Mukherjee Road, Kolkata-700 001. And Whereas due to exigency and paucity of time, I/we am/are desirous of appointing an agent/attorney to operate my/our said beneficiary account(s) of dematerialised securities on my/our behalf for the limited purposes and in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/We THE ABOVE-NAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT M/s. ABIRA SECURITIES LIMITED, Trading Member (Stock Broker) as my/our true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our name to do the following:

1. To debit my/our aforesaid beneficiary account and to transfer securities/units for the purpose of delivering the same to the clearing house of the recognized stock exchange in any segment to discharge my/our settlement obligations in respect of securities/unit sold by me/us.
To create pledge to be authenticated by me/us through OTP in TM -CMPA (Client Securities Margin Pledge Account) or CM-CMPA or TM/CM CMPA for margin purpose which in turn can be re -pledged by the TM to CM and further by the CM to CC respectively as applicable.
2. To apply for and subscribe to, on my/our instructions, Initial Public Offerings made by any company registered under the provisions of the Companies Act, as applicable through online/offline bidding platform and to perform, do, undertake, discharge all incidental and ancillary acts, deeds, matters, things, functions and obligations in connection therewith refund amount on account of non-allotment / part allotment receipt by ASL against my / our application in the designated bank account as specified in the Client Registration form.
3. To apply for, subscribe to, and / or redeem, on my/our instructions, units of Mutual Funds of various asset management companies through online / offline platform and to perform, do, undertake, discharge all incidental and ancillary acts, deeds, matters, things, functions and obligations in connection therewith, including payment of unutilized credit towards settlement of MFSS Trades executed on my/our behalf.
4. The said Attorney shall return to me/us the Securities/units that may have been received by it erroneously or that it was not entitled to receive.
5. I/We do hereby ratify and confirm and agree to ratify and confirm whatsoever my/our said Attorney shall have lawfully done or may lawfully do or cause to be done by virtue of or in exercise of any power hereby granted, given authorized or implied or intended to be so granted, given or authorized and also all lawful acts, deeds, matters and things done by the said Attorney of the nature mentioned above or incidental or relating thereto or arising there from or deemed by my/our Attorney to be requisite or expedient to be done or performed in exercise of any power herein.
6. I/We authorize the ABIRA SECURITIES LIMITED to send consolidated summary of Client's script-wise buy and sell positions taken with average rates to the client by way of SMS / email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.



Signature of Sole/First Holder



Signature of Second Holder






Signature of Third Holder

7. I/We further agree and confirm that the powers and authorities conferred by this POA shall continue to be good, valid and effective until revoked by me/us in writing given to my Attorney and that the POA shall not be affected by lapse of time. This POA shall continue in full force and effect until my/our Attorney shall receive written notice of revocation thereof, signed by me/us; or, in the event of termination thereof by my/our death, until my/our Attorney shall have received actual notice thereof, and such revocation or termination shall in no way affect the validity of this POA with reference to any transactions initiated by my/our Attorney, prior to the actual receipt by the Attorney of the notice of such revocation or termination, as above provided. Further, without prejudice to the generality of the aforesaid, such revocation of this POA, in so far as any transaction, settlement of which is pending on the date of receipt of notice of revocation by my/our Attorney is concerned, shall become effective only after all pending obligations in respect of such transactions are settled on the respective settlement dates and all dues owing by me/us in connection therewith have been fully paid by me/us to the Stock Broker. Further, such revocation of the power and authority given to my/our Attorney hereby shall in no way affect the validity of any acts, deeds or things done or action taken by my/our Attorney for discharging any of my/our settlement obligations in respect of any transactions settlement of which is pending on the date of receipt of the notice of revocation by the Attorney.
8. I/We hereby agree that any dispute arising out of all trades, transactions and contracts will be settled under the Bye-laws, Rules and Regulations of the concerned Stock Exchange where the trades have been executed and depository related issues under the bye laws of the concerned Depository, where the concerned beneficial owner demat account is held.
9. As per SEBI circular dated 31st August 2010, the list of demat a/c's where securities can move is listed as per schedule I.

on this _____ day of _____ 20_____ at Kolkata.

SCHEDULE – I			
Sr. No.	Name/Type	Exchange	Demat Account No.
1	CDSL NSE Cash - Pool A/c	NSE	12077400 00000232
2	CDSL BSE Cash - Principle A/c	BSE	12077400 00000213
3	CDSL BSE Cash - Pool A/c	BSE	12077400 00000228
4	NSDL NSE Cash - Pool A/c	NSE	IN518928
5	NSDL BSE Cash - Pool A/c	BSE	IN665168
6	BSE Early Pay in Account	BSE	1100001000023308
7	NSE Early Pay in Account	NSE	1100001100019171
8	Client Unpaid Securities A/c (CUSA)		12077400 00022953
9	CM/TM - Margin (CMPA)		12077400 00027402

Signed and delivered for and on behalf of the Client,  First Holder	Witness Name..... Address..... Signature.....
 Second Holder	
 Third Holder	

For **Abira Securities Limited** ,
 S.B.Mansion, 2nd Floor , 16, R.N. Mukherjee Road, Kolkata-700001

 (Signature of Attorney)

 (Signature of Attorney)

Dated : _____

From :

To
ABIRA SECURITIES LIMITED
S. B. Mansion, 2nd Floor
16, R. N. Mukherjee Road
Kolkata - 700 001

Ref.: Acknowledgment for the receipt of documents

Dear Sir,

This is to acknowledge and declare that

- I/We have received a photocopy of the KYC (full booklet), duly executed with you, to my/our satisfaction including my / our Unique Client Code (Trading Code).
- I/We have (Physically / Electronically) received, read and understood the Rights & Obligations, Risk Disclosure Documents, Guidance Note for both Depository & Trading.
- I/We have received, read and understood the Policies and Procedures. (Equity & Commodity)
- The email id noted with you (for ECN and other purposes) is correct.
- I/We have (Physically / Electronically) received, read and understood the Rights and Obligations of Beneficial Owner and Depository Participant” as prescribed by SEBI and Depositories.
- I/We have received a photocopy of Power of Attorney.
- I/We have received Charge Structure & Client Master Report.
- I/We have found and understood all the related documents in www.abiragroup.in

Thanking you,



Yours truly,

Signature of the Client

Client Code:

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INVEST AND GROW WITH ABIRA



ABIRA SECURITIES LIMITED

(Depository Participant of Central Depository Services (I) Ltd.)

Version No.: ASL/KYC/0003

Regd. Office: S. B. Mansion, 2nd Floor, 16, R. N. Mukherjee Road, Kolkata-700 001

P: +91 33 4030-8700, F: +91 33 4030-8799, E: info@abiragroup.in, W: www.abiragroup.in

CIN: U67120WB2009PLC131881

SEBI Regn. No. : IN-DP-584-2021 DP ID : 12077400

Member.: National Stock Exchange of India Ltd. • BSE Limited

Multi Commodity Exchange of India Limited (MCX) • Indian Commodity Exchange Limited (ICEX)

SEBI Regn. No. : INZ000211332 • GST No.19AAHCA5355L1Z9

Investor Charter – Stock Brokers

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.

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.

Services provided to Investors

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client's funds.
- Intimation of securities held in Client Unpaid Securities Account (CUSA) Account.
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor's grievances.

Rights of Investors

- **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.
- **Receive** complete information about the risks, obligations, and costs of any investment before investing.
- **Receive** recommendations consistent with your financial needs and investment objectives.
- **Receive** a copy of all completed account forms and agreements.
- **Receive** account statements that are accurate and understandable.
- **Understand** the terms and conditions of transactions you undertake.
- **Access** your funds in a timely manner and receive information about any restrictions or limitations on access.

- **Receive** complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- **Discuss** your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

Various activities of Stock Brokers with timelines

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	10 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	30 days / 90 days for running account settlement (RAS) as per the preference of client. If consent not given for RAS – within 24 hours of pay-out
10.	'Statement of Accounts' for Funds, Securities and Commodities	Weekly basis (Within four trading days of following week)
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	30 days from the receipt of the complaint

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. 	<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.

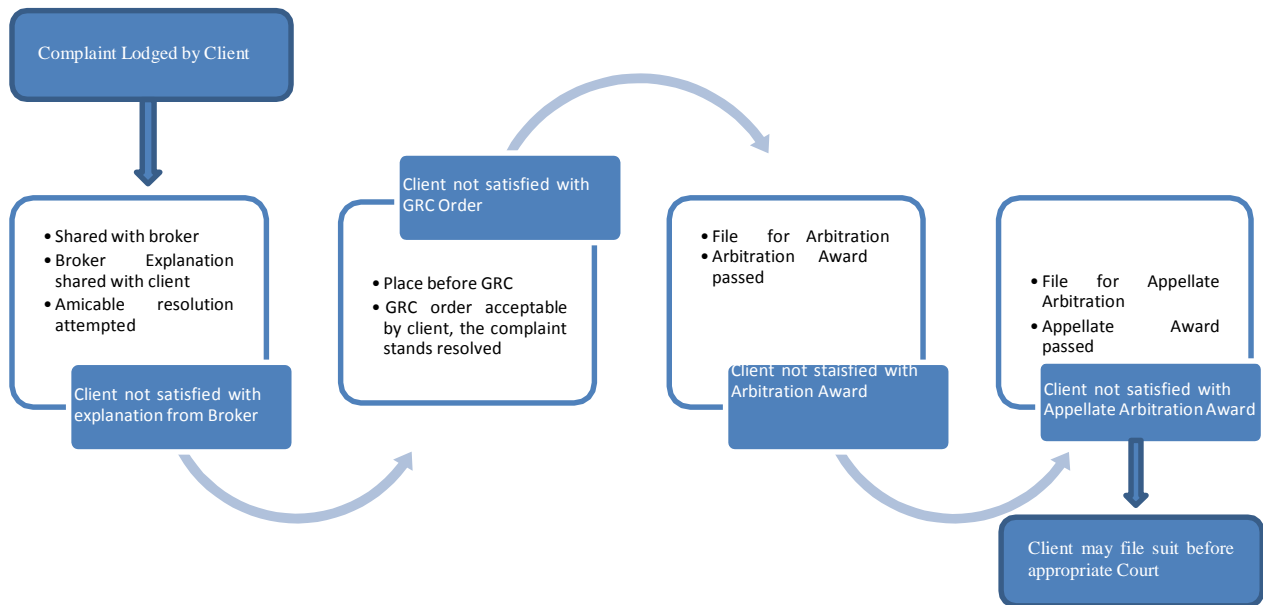
<ol style="list-style-type: none"> 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions. 6. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted. 7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades. 8. Receive funds and securities / commodities on time within 24 hours from pay-out. 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 (30 or 90 days). 11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines. 	<ol style="list-style-type: none"> 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. 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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Grievance Redressal Mechanism

Level 1 – 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 30 days of the receipt of the grievance.

Level 2 – Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

Complaints Resolution Process at Stock Exchange explained graphically:



Timelines for complaint resolution process at Stock Exchanges against stock brokers

S. No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day).
2.	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3.	Registration of the complaint and forwarding to the stock broker.	C+8 Working Days i.e. T day.
4.	Amicable Resolution.	T+15 Working Days.
5.	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T+16 Working Days.
6.	Complete resolution process post GRC.	T + 30 Working Days.
7.	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8.	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order

S. No.	Type of Activity	Timelines for activity
10.	If intention from stock broker is received and the GRC order amount is upto Rs.20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF).The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12.	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

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.

Level 3 – The complaint not redressed at Stock Broker / Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>