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Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the client and an instruction/check list.	3
		B. Document captures the additional information about the Client relevant to trading and demat account.	9
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on Exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	18
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	24
4	Guidance note	Document detailing do's and don'ts for trading on Exchange, for the education of the investors.	28
5	Disclosure regarding proprietary trading	This document enables the client to know whether the broker is involved in the proprietary trading or not.	30
6	Policies and Procedures	Document describing significant policies and procedures of the stock broker	31
7	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock Exchange(s)	36
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
8	Voluntary Rights & Obligation	Document stating the voluntary Rights & Obligations of stock broker/trading member, sub-broker and client for trading on Exchanges apart from Mandatory Rights & Obligation prescribed by Exchange(s)/SEBI.	38
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10	Mutual Fund Service System (MFSS) / BSE STAR MF	The said is required to be sign in case client want to trade in the Mutual Funds offered by NSE & BSE.	41
11	Running Authorisation letter	This document allow the broker to keep running balance for the funds and securities of the client and to transfer the securities of client against their obligations	43
12	Request for sending Contract note/documents etc. on email	This documents allows the stock broker to send the contract notes /documents etc. via electronic means on the email id's provided by the clients	44
13	Registration and account Opening form for Demat Client	This document need to be signed in case client wants to open demat account with the depository arm of the Stock Broker	46

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Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
14	Power of Attorney	Power of Attorney gives rights to the stock broker to operate the demat account of the broking client for limited purpose viz for taking securities from the demat account for payin, margin and other obligation.	58

BRICS SECURITIES LIMITED

Particular	SEBI Registration No.	SEBI Registration Date	Member Code/DP ID
NSE Cash	INB 231205734	17/06/2004	12057
NSE F&O	INF 231205734	14/07/2004	12057
NSE CDS	INE 231205734	27/08/2008	12057
BSE Cash	INB 011205730	17/06/2004	576
BSE F&O	INF 011205730	14/07/2004	T 576
BSE CDS	INE 011205734	19/02/2009	19/02/2009
MCX-SX	INE 261205734	29/09/2008	19300
CDSL	IN-DP-CDSL-76-2000	21/06/2000	16800/16801

Registered & Correspondence office address: Sadhna House, 1st Floor, 570, P.B. Marg, Behind Mahindra Tower, Worli, Mumbai 400018. Tel: (91) 22-66360000 Fax: (91) 22- 66360159/24994002 Website: www.bricssecurities.com

Compliance officer name, phone no. & email id : Rakesh Gupta; (91)-22-66360000; rakesh.gupta@bricssecurities.com CEO name, phone no. & email id: V R Srinivasan; (91)-22-66360000; vrs@bricssecurities.com

Clearing Member Name

ICICI Bank Limited. (NSE Derivative and NSE and MCX-SX Currency Derivative Segments):
SEBI Reg. No. Derivatives: INF231134745 (NSE)
SEBI Reg. No. Currency Derivatives: INE231308631 (NSE) / INE261313337 (MCX-SX)
Reg. Office address: - ICICI Bank Limited, Landmark, Race Course Circle, Vadodara - 390007.
Tel No. (91)-22-66673000 Fax:(91)-22-66672779 Website: www.icicibank.com

IL&FS Securities Services Limited. (BSE Derivative and Currency Derivative Segments):
SEBI Reg. No. Derivatives: INF011133834(BSE)
SEBI Reg. No. Currency Derivatives: INE011311532(BSE)
Address: - The IL&FS Financial Centre, Plot C-22, G Block, Bandra Kurla Complex, Bandra (East), Mumbai - 400051. Tel. No. (91)-22-28570965 Fax:(91)-22-28576134 Website:www.ilfsdp.com:

For any grievance/dispute please contact Brics Securities Ltd at the above address or phone number or at email id- investorgrievances@bricssecurities.com. In case not satisfied with the response, please contact the concerned Exchange(s) at below given email id or Phone no.

NSE – Email id: ignse@nse.co.in Tel No. 91-22-26598190
BSE – Email id: is@bseindia.com Tel No. 91-22-22728097
MCX-SX – Email id: investorcomplaints@mcx-sx.com Tel No. 91-22-67318933/9000

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

All BSL staff and prospective clients are requested to go through the following very carefully to ensure compliance of required documents at one go.

IMPORTANT POINTS:

1. Please ensure that the form is properly filled up, complete in all respect and copies of required documents are attached.
2. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/ Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
3. 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 Point No. I. However, it is mandatory to produce original for verification for the purpose of opening demat account.
4. All correction made on the form should be attested (counter signed) by the client.
5. In case any proof is in language other than Hindi or English then a duly signed letter from the client translating the same in English is required. The letter is also required to be verified by BSL employee. Similarly, If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent address are different, then proofs for both have to be submitted.
8. 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.
9. Signature on the KYC form should match with the proof submitted.
10. For foreign entities, CIN is optional; and in the absence of DIN No. for the directors, their passport copy should be given.
11. Please put full signature at all places marked S1 For Sole/First Holder S2 For Second Holder S3 for Third Holder SW For Witness.
12. Trading Account Opening Registration Form – Page No. 9 to 17
13. Demat Account Opening Registration Form – Page No. 9 to 17 and Page No. 46 to 58

Participation criteria for Currency Future Segment

(i) No person other than 'a person resident in India' as defined in section 2(v) of the Foreign Exchange Management Act, 1999 (Act 42 of 1999) shall participate in the currency futures market.

(ii) Notwithstanding Sub-Paragraph (i), no scheduled bank or such other agency falling under the regulatory purview of the Reserve Bank under the Reserve Bank of India Act, 1934, the Banking Regulation Act, 1949 or any other Act or instrument having the force of law shall participate in the currency futures market without the permission from the respective regulatory Departments of the Reserve Bank. Similarly, for participation by other regulated entities, concurrence from their respective regulators should be obtained.

LIST OF DOCUMENTS TO BE SUBMITTED

A) For Corporate

1. Copy of PAN card issued by Income Tax department.
2. Certified true copy of certificate of incorporation and MOA and AOA of the entity. MOA should have the authority to do capital market business.
3. Certified copies of Annual Report of last two financial years. (Copies of annual balance sheet to be submitted every year)
4. Copy of last Income Tax Return filed
5. Certified true copy of Board Resolution, duly certified by Managing Director / Company Secretary in the format prescribed.
6. Latest Shareholding 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 (copy of updated shareholding pattern to be submitted every year).
7. List of Directors and Authorized Signatories with specimen signatures and designation on the letterhead of Company.
8. Photographs, proof of Identity, Proof of address, PAN and DIN of whole time directors / two directors in charge of day to day operations (Please refer Point E below)
9. Photographs, proof of Identity, Proof of address and PAN of Authorized Signatories and Individual promoters holding control – either directly or indirectly. (Please refer Point E below)
10. Proof of address in the name of the entity- (Please refer Point F below)
11. Proof of Bank Account in name of entity. (Please refer Point G below)
12. Proof of Demat account in the name of the entity (Please refer Point H below)
13. KYC Form need to be initialized by all the authorized signatories.

B) For Hindu Undivided Family (HUF)

1. Copy of PAN card of the HUF.
2. Deed of declaration of HUF/ List of coparceners.
3. Bank pass-book/bank statement in the name of HUF. (Please refer Point G below)
4. Photograph, Proof of Identity, Proof of Address and PAN of Karta (Please refer Point E below)
5. Proof of Demat Account (Please refer Point H below)
6. Karta should sign under the stamp of the HUF

Note for HUF Demat Account –

i) HUF account cannot be opened with joint holders.

ii) No nomination can be made in the HUF account.

iii) POA (in POA clause pg. no. 58 to 59 and also on stamp paper) given by the Karta should be signed by all the members of the HUF account (as mentioned in the declaration by the Karta) in addition to the Karta. For minor members of HUC, Karta will sign on behalf of them.

C) For Partnership Firms

1. Copy of PAN card of the partnership firm
2. Certified true copy of partnership deed signed with stamp by all the partners on all pages. Partnership deed should have the authority to do the capital market business.
3. Copies of the balance sheet for the last 2 financial years (copies of annual balance sheet to be submitted every year.)

4. Declaration and Authority Letter on the letterhead of the partnership firm as per the format attached.
5. List of partners/ authorized persons with specimen signatures on the letterhead of the firm
6. Photographs, proof of Identity, Proof of address and PAN of Authorized Signatories and Partners. (Please refer Point E below)
7. Proof of address of the firm. (Please refer Point F below))
8. Proof of Bank Account in name of firm. . (Please refer Point G below)
9. Proof of Demat account in the name of partners. (Please refer Point H below)
10. Certificate of registration (for registered partnership firms only)
11. Copy of last Income Tax Return filed.
12. KYC Form need to be initialized by all the authorized signatories.

NOTE: Demat Account cannot be opened in the name of Partnership Firm. But it has to be opened in the Individual name of partners.

D) <u>For Trust</u>

1. Copy of PAN card of the trust
2. Certified true copy of trust Deed signed with stamp by all trustees on all pages. Trust deed should have the authority to do capital market business.
3. Certified copies of balance sheet of last 2 financial years. (Copies of annual balance sheet to be submitted every year)
4. List of trustees, Members on the Board of Trustees and Authorized signatories certified by managing trustees /CA.
5. Certificate of Registration of Trust under the Societies Registration Act, 1860 / Bombay Public Trust Act,1950 / Public Trust Act, of relevant state or statutory authority (for registered trust only)
6. Photographs, proof of Identity, Proof of address and PAN of Authorized Signatories and Trustees (Please refer Point E below)
7. Proof of address of Trust- (Please refer Point F below)
8. Proof of Bank details of the trust (Please refer Point G below)
9. Proof of Demat account of the trust (Please refer Point H below)
10. Certified true copy of the Trust resolution to open and operate the account.
11. Copy of last Income Tax Return filed.
12. In case of private/unregistered trust, Demat account should be opened in the names of individual trustees under individual category and necessary undertaking to be given and proof of trustees to be given as mentioned in individual category.
13. KYC Form need to be initialized by all the authorized signatories.

E. <u>Documents admissible as Proof of Identity and Proof of address for directors, promoters, partners, karta, Authorized Person, trustees etc. are as follows:</u>

Proof of Identity (POI): - List of documents admissible as Proof of Identity:

(*Documents having an expiry date should be valid on the date of submission.)

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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 with photograph issued by Banks.

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

F. Proof of address of the entity - (Any one of the following documents)

1. Document registered with the registering authority
2. ***Bank Account Statement/Passbook -- Not more than 3 months old
3. Registered Lease or Sale Agreement of the place
4. Landline Telephone Bill (not more than 2 months old)
5. Electricity Bill (not more than 2 months old)

*****Clarification with respect to acceptance of Bank Statement as proof of address**

A computer- generated statement can be accepted as a valid proof of address only if duly attested by the concerned bank under the stamp and signature of the bank official. The bank statement should not be more than 3 months old.

OR

Original bank statement / Copy of the bank statement self attested by the BO along with cancelled cheque without bank attestation as mentioned above can be accepted as valid proof of address provided that such original bank statement / Copy of bank statement is not more than 3 months old.
In addition to the above requirements, in the case of e-statements the same can be accepted as valid proof of address only if copy of the cheque with name of the BO pre-printed on it is submitted.

G. Proof of Bank Account of the entity - (Any one of the following documents)

1. Copy of a canceled Cheque Leaf with name of the entity preprinted on it.

ii. Bank pass book having name and address of the entity and latest transaction pages being not more than 4 months old

iii. Bank statement having name and address of the entity being not more than 4 months old

In case of option (ii) and (iii) above MICR code of the branch should be present/mentioned on the document and it should be self certified by the BO.

H. <u>Proof of Demat account of the entity</u> - (Any one of the following document)

1. DP client Master List with DP stamp or logo (not more than 6 months old)
2. Recent Demat Holding Statement which must contain specific Client ID, Client Name, DP ID and DP Name. (not more than 6 months old)

I) <u>List of people authorized to attest the documents:</u>

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.

J) <u>Additional documents required in case of trading in derivatives segments for all types of client- illustrative list:</u>

Copy of latest ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip not more than 2 months old, Copy of Form 16	Net worth certificate duly certified by Chartered Accountant
Copy of Demat account holding statement. (not more than 6 months old)	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration of Net Worth (Assets-Liabilities) with relevant supporting documents for each item mentioned in declaration.

MANDATORY DOCUMENTS

KNOW YOUR CLIENT (KYC) APPLICATON FORM – NON INDIVIDUALS

For Office Use only

Internal Reference Number																		
Trading Code									**Date DD/MM/YYYY**									
DP ID	1	2	0	1	6	8	0	0	**Client ID**									

Status			Sub - Status To be filled by BSL
☐ Private Limited Co. / Public Ltd. Co. / Body Corporate	☐ HUF / AOP	☐ Defense Establishment	
☐ Partnership Firm / LLP	☐ CM / Clearing House	☐ BOI	
☐ Trust / Charities / NGO's / Society	☐ Government Body	☐ Bank / NBFC/ Mutual Fund	
☐ FI / FII / OCB	☐ Non-Government Organization	☐ Others (Please Specify)_____	

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS (Sole / First Holder's Details)

Name of the Applicant																		
Search Name																		
Date of Incorporation (DD/MM/YYYY)									Date of Commencement of Business (DD/MM/YYYY)									
SEBI Registration No.									SEBI Registration Date									
ROC Registration No.									ROC Registration Date									
RBI Registration No.									RBI Registration Date									
PAN																		
Place of Incorporation									Nationality	☐ Indian ☐ Others (Specify)_____								
Registration No. (E.g. CIN)																		

B. ADDRESS DETAILS

Address for Correspondence				
City/town/village				
State / Union Territory				
PIN Code			Country	
Telephone (with STD/ISD code) (Office)		Telephone (with STD/ISD code) (Residence)		
Fax No.		Mobile No.		
E-mail ID				
Name of the Contact Person		Designation		
Specify the proof of address submitted for correspondence address:				

Registered Address (if different from Correspondence address)				
City/town/village				
State / Union Territory				
PIN Code			Country	
Specify the proof of address submitted for registered address:				

C. OTHER DETAILS

Gross Annual Income Details (Please Specify) Income Range Per annum:	Below ₹ 1 lac	₹ 1 lac to below 5 lacs	₹ 5 lacs to 10 lacs	₹ 10 lacs to 25 lacs	₹ 25 lacs to 1 Crore	> ₹ 1 Crore
Net-worth as on (date) (Net worth should not be older than 1 year)	_____ (DD/MM/YYYY)					
Nature of Business (Products/ Services Provided)						

Details of Promoter / Partners / Karta / Trustees/Authorized signatories and whole time directors	
PHOTOGRAPH Please affix the recent passport size photographs and sign across it	Name :
	Designation :
	PAN
	Residential Address :
	DIN /UID :
	Please tick- If Politically Exposed Person (PEP) / Related to Politically Exposed Person (PEP)
Specimen Signature ✍	

Details of Promoter / Partners / Karta / Trustees/Authorized signatories and whole time directors	
PHOTOGRAPH Please affix the recent passport size photographs and sign across it	Name :
	Designation :
	PAN
	Residential Address :
	DIN /UID :
	Please tick- If Politically Exposed Person (PEP) / Related to Politically Exposed Person (PEP)
Specimen Signature ✍	

Details of Promoter / Partners / Karta / Trustees/Authorized signatories and whole time directors	
PHOTOGRAPH Please affix the recent passport size photographs and sign across it	Name :
	Designation :
	PAN
	Residential Address :
	DIN /UID :
	Please tick- If Politically Exposed Person (PEP) / Related to Politically Exposed Person (PEP)
Specimen Signature ✍	

Details of Promoter / Partners / Karta / Trustees/Authorized signatories and whole time directors	
PHOTOGRAPH Please affix the recent passport size photographs and sign across it	Name :
	Designation :
	PAN
	Residential Address :
	DIN /UID :
	Please tick- If Politically Exposed Person (PEP) / Related to Politically Exposed Person (PEP)
Specimen Signature ✍	

Note : Kindly use an additional Sheet if required

Any Other Information :

For OCBs

Foreign Address									
City/town/village									
State / Union Territory									
PIN Code							Country		
Telephone (with STD/ISD code) (Office)						Telephone (with STD/ISD code) (Residence)			
Fax No.						Mobile No.			
E-mail ID									
Indian Address									
City/town/village									
State / Union Territory									
PIN Code							Country		
Telephone (with STD/ISD code) (Office)						Telephone (with STD/ISD code) (Residence)			
Fax No.						Mobile No.			
E-mail ID									
Currency									
RBI Reference No.						RBI Approval Date (DD/MM/YYYY)			

DECLARATION

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

S1 _____

Signature of Authorized Signatory

Name_____

Date:_____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received

☐ (Self-Attested) Self Certified Document copies received

Signature of the Authorized Signatory

Date_____

Seal/Stamp of **Brics Securities Ltd**

TRADING & DEMAT ACCOUNT RELATED DETAILS

A. BANK ACCOUNT(S) DETAILS (ATTACH PROOF OF BANK ACCOUNT)

Name of the Bank			
Branch Address & Tel No			
Bank Account No.			
Account Type (Savings/ Current/Others- in case of NRI/NRE/NRO)			
Bank Code (9 digit MICR Code)			
IFSC Code			

Only the first Bank Account will be mapped to CDSL Demat account.

B. DEPOSITORY ACCOUNT(S) DETAILS (ATTACH PROOF OF DEPOSITORY ACCOUNT)

Depository Participant Name			
Depository Name (NSDL/CDSL)			
Beneficiary Name			
DP ID			
Beneficiary ID (BO ID)			

C. TRADING PREFRENCES

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

Exchanges	Segments	Signature of the Client
NSE	Cash	S1
	F&O	S1
	Currency Derivative	S1
BSE	Cash	S1
	F&O	S1
	Currency Derivative	S1
MCX-SX	Currency Derivative	S1

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

D. PAST ACTIONS

Details of any action/Proceedings initiated/pending/taken by SEBI/ Stock Exchange/ any other authority against the applicant/constituent or its Partners/promoters/Whole time directors/authorized person in charge of dealing in securities during the last 3 years :

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

Sub-Broker's Name								
SEBI Registration Number								
Registered Office Address								
City/town/village								
State / Union Territory								
PIN Code							Country	
Telephone No. (with STD/ISD code) (Office)							Fax No.	
Website								

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)

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		

F. 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 avail of the facility of internet trading/ wireless technology (please specify):	
Number of years of Investment/Trading Experience:	
Any other information:	

G. INTRODUCER DETAILS

Name of the Introducer	…….. First			…… Middle			……. Last			
Status of the Introducer	Sub-broker/Remisier/Authorized Person/Existing Client/ Employee/ Others, please specify									
Address of the Introducer										
Telephone No. (with STD/ISD code)										
Signature of the Introducer										
PAN of Introducer, if any										

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.

Place_____

S1 _____

Date _____

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

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

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

Place of in-person verification_____

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 Authorized Signatory

Date …….

Seal/Stamp of Brics Securities Ltd

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/ require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/ notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non- payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment /delivery and related aspects by a client. In case, where defaulting client is a corporate entity /partnership /proprietary firm or any other artificial legal entity, then the name(s) of Director(s) /Promoter(s) /Partner(s) / Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/ stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions

including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been

delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/ document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

48. 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 stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Internet and Wireless Technology based trading facility provided by Stock Brokers to Client

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

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/ derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that

more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., “stop loss” orders, or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed “away” from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre -determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

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

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

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com/www.bseindia.com/www.mcx-sx.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/ Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub- broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:

a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/ deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

BRICS SECURITIES LIMITED

(Regd. Office: Sadhana House, 1st Floor, 570, P.B. Marg, Behind Mahindra Tower, Worli, Mumbai - 400 018)

Dear Client,

Sub: Disclosure regarding proprietary trading

This is in reference to Securities and Exchange Board of India's (SEBI) circular No. SEBI/MRD/SE/Cir-42/2003 dated November 19, 2003 regarding the above subject.

We hereby disclose that in addition to client based business, Brics Securities Limited may do proprietary trading also.

Thanking you

Yours faithfully
For Brics Securities Limited

Authorised signatory

Thanking you

I/We have read and understood the above contents

Sign of the client : S1 _____

Name of the Client : _____

Dated: _____

Mandatory

Policies and Procedure

This document outlines various policies and procedures framed and followed by Brics Securities Limited (BSL) with respect to its dealing with its clients as a stock broker on National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd (BSE) and MCX Stock Exchange Ltd. (MCX-SX) (collectively hereinafter referred to as " the Exchanges"). The policies and procedures as stated herein below are subject to change from time to time at the sole discretion of BSL, depending upon regulatory changes, its risk management framework, other market conditions, etc.

a. Refusal of order for penny stock

Following types of scrips will come under Penny stock if it falls in any one category as mentioned below as part of the due diligence and risk management policy of Brics Securities Ltd.

1. Scrip which are quoting at less than Rs. 10/- on any of the Exchanges.
2. Scrips appearing in the list of illiquid securities issued by the Exchanges periodically.
3. Securities forming part of Trade-to-Trade settlement.
4. Securities forming part of Z group.
5. Scrips on which Exchange VaR is more than 50%
6. Scrip whose average daily volume is less than 15000 shares (collectively for all Exchanges) in last seven days.

Trading in Penny stocks will be allowed to clients at the sole discretion of Brics Securities Limited (BSL). Also BSL may restrict the quantity/amount which a client may be allowed to buy/sell the penny stock. If the client wants to purchase Penny stocks then BSL may insist upto 100% advance payment / sufficient clear ledger credit balance and similarly if client wishes to sell Penny stock, then BSL may insist that shares should be first transferred to beneficiary demat account of BSL.

Under no circumstances, BSL shall be responsible for non-execution/delay in execution of such orders and consequential opportunity loss or financial loss to the client.

b. Setting up client's exposure limits

Cash Segment

- Exposure based and / or Margin based limits will be given to the clients for doing trades in Cash Segment.
- Limits will be given on the basis of credit balance and / or collateral / securities of the client available with BSL valued after hair cut.
- Certain multiples times exposure based limit may be given on the available credit balance and / or on the collateral / securities of the client available with BSL valued after hair cut. However on case to case basis the excess limits may be allowed.
- Certain multiples times margin based limit may be given on the available credit balance and / or on the collateral / securities of the client available with BSL valued after hair cut. However on case to case basis the excess limits may be allowed.
- Securities shall be valued after appropriate hair cut based on the type of scrips, nature of scrip, liquidity, volatility of scrip, etc. from time to time.

- BSL may at its sole and absolute discretion allow clean exposure limit up to certain amount to the client without insisting for any credit balance and/or margin. The quantum of clean exposure limit shall be decided by BSL. On a case-to-case basis BSL may, at its sole and absolute discretion, give higher clean exposure limits to certain set of the clients. BSL reserves the right to withdraw clean exposure limit granted to the client at any point of time at its sole and absolute discretion. The client can not raise any concern/dispute for the same.

Derivatives Segment

- Margin based limits will be given to the clients for doing trades in Derivatives Segment.
- Limits in Derivatives Segment will be given on the basis of free credit balance and / or collateral / securities of the client available with BSL valued after hair cut.
- Securities shall be valued after appropriate hair cut based on the type of scrips, nature of scrip, liquidity and volatility of scrip, etc. from time to time.
- A client will be normally allowed limits till the client has free credit balance and / or collateral / securities valued after hair cut. In case of excess limit is availed, the same will be regularized by the end of trading session / day. However on case to case basis the excess limit may be allowed to be carried forward.

BSL may from time to time depending on market conditions, profile and history of client, type and nature of scrip, etc., may at its sole discretion change the rate of haircut applicable on the securities / collaterals, number of times the limits to be given in Cash / Derivatives segments and take such steps as BSL may deem necessary.

c. <u>Applicable Brokerage rate</u>

The brokerage rate applicable on clients trades will be as per agreed rates as mentioned in the KYC form at the time of opening the client trading account. Any higher brokerage will be levied only if agreed in writing between BSL and the client. If the client has any grievances' regarding the rate of brokerage charged then he should intimate the same to BSL within four days of receipt of the contract note/confirmation memo/ bill.

The brokerage rate at no point of time will exceed the rates as may be specified by the Exchanges/SEBI from time to time.

Unless otherwise agreed the brokerage will be exclusive of the following:

- Service Tax and Education Cess
- SEBI/ Exchange/ Clearing member charges
- Stamp duty
- Statutory charges payable to Exchange/ SEBI/ Govt. Authorities etc.
- Any other charges towards customized/ specialized service

d. <u>Imposition of penalty/delayed payment charges by either party, specifying the rate and the period</u>

In case of delay in payment by the client to BSL on its due date, BSL in respect of such delayed payment will be entitled to recover late / delayed payment charges. The said delayed payment shall include amounts payable by the client to BSL in respect of initial margin, mark to market, shortfall of margin(s) in prescribed modes, and / or other margins and pay-in obligations. Late payment charges will be levied upto 2% per month or a part of month on delayed payment for the delayed period. The trade of the client may not be executed by BSL if the client does not clear dues along with delayed payment charges within three months of the due date. The client will not be entitled to any interest on the credit balance / excess margin available / kept with BSL.

A delayed payment charge is only a penal measure. The client should not construe it as funding arrangement. The client can not demand continuation of service on a permanent basis citing levy of delayed payment charges.

BSL may impose fines/penalties for any order/ trades/ deal/ actions of the clients which are contrary to this agreement/ rules/ regulations/ byelaws of the exchange or any other law for the time being in force at such rates and in such form as it may deem fit. Further where the BSL 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/ deal/ actions of the client, the same will be borne by the client.

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

Normally the client shall not trade without adequate margin/securities and that it shall be the clients responsibility to ascertain in advance the margin / securities requirement for its order/trades/deals and to ensure that the required margin / securities is made available to BSL in such form and such manner as may be required by BSL. If the client's order is executed despite a shortfall in the available margin, the client shall, whether or not BSL intimates such shortfall to the client, make up for the shortfall suomotto immediately. The client shall be responsible for all orders (including any orders that may be executed without the required margin in the clients account) and/or any claim/ loss/damage arising out of the non-availability/ shortage of margin /securities required by BSL and/or by Exchange. The client shall fulfill all its obligations / liabilities to BSL, failing which BSL has the right not the obligation to square up all or any outstanding position and / or take offsetting positions and / or sell the margin / securities available with BSL without giving any notice to the client. BSL may also square up all or any outstanding position and / or sell the margin/securities available with BSL as a part of risk management at any time without giving any notice to the client. In case of purchase on behalf of client, the BSL may close out its transactions by selling securities, in case the Client fails to make full payment to BSL for the same before the time intimated by BSL. In case of sale on behalf of client, the BSL may close out its transaction by purchasing the securities. The client shall be liable for any losses, costs and be entitled to any surplus, which may result from the above.

f. Shortages in obligations arising out of internal netting of trades,

Internal Shortages means one client has failed to give the delivery of the securities sold, which has resulted into short delivery to other client(s) of BSL. If a selling client who has sold shares of particular scrip on T day do not deliver shares latest by T+2 (i.e. by pay-in day) and such quantity of shares results in internal shortages, then such quantity of internal shortage will be purchased from the market on pay-in day or as and when available in the market in the "internal shortage account". On T+2 (i.e. pay-in day) provisional debit will be given in client account at T+1 day's closing rate + 20%, corresponding to internal shortage.

On payout day of securities purchased in the internal shortage account, provisional debit bill amount will be reversed and client account will be debited with the amount at which securities are purchased on T+2 day. Fines / penalties / charges may be levied on account of internal shortage to selling client.

Due to internal shortage on account of internal netting of trades, the buyer client shall receive late delivery of securities. Buyer shall have no claims / rights against BSL for delay in delivery of securities. It may also be possible that BSL may not be able to obtain the required securities due to market conditions, then in such cases the buyer clients account will be credited and seller clients account will be debited as per the close out rate provided by the exchange for the relevant Auction settlement. Provisional debit bill amount will be reversed in the sellers client account.

In case of securities having corporate actions, all cases of short delivery of cum transactions which can not be auctioned on cum basis or where the cum basis auctioned payout is after the book closure/record date, would be compulsory closed out at higher of the 20% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

Above procedure is subject to change from time to time according to change in settlement procedure of the Exchange.

g. Conditions under which a client may not be allowed to take further position or BSL may close the existing position of a client.

Under the following conditions BSL will not allow the client to take further positions or BSL may close the existing position of a client:-

1) Insufficient / inadequate margin(s) and / or insufficient / inadequate free credit balance available with BSL.
2) Scrips / stocks falling in Penny Stocks in clause (a) above.
3) Bogus / Manipulated / Non genuine scrips or securities.
4) Illiquid contracts / options.
5) Trades which apparently in the sole and absolute discretion of BSL seems to be Synchronized trades/ Circular trading/Artificial trading/manipulative in nature, etc.;Ban by Regulatory authorities.
6) Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges and other regulatory authorities (where the information available for the debarred entity (other than name) is not sufficient enough to establish that the client and such debarred entity are one and the same);
7) The client fails to furnish documents/information as may be called for by BSL from time to time as per regulatory requirement and/or as per its internal policy.
8) In the event of death or insolvency of the client or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which he has ordered to be bought or sold.

In addition to the above BSL can also close position of the client in case the client fails to pay his / her obligation before pay in schedule of the exchange and / or as demanded by BSL. Depending on the market circumstances if BSL is of the view that the positions of the clients are at risk then BSL may close the existing position without waiting for the pay in schedule of the exchange.

h. Temporarily suspending or closing a client's account at the client's request,

At the written request of the client, the trading account will be suspended / closed. In case client request for closing the account then the client's funds and securities due to / from client will have to be settled at the earliest. Also the client will give a confirmation of no dues (funds and securities) to BSL. Only after the settlement of funds and securities the clients account will be closed. If a client wishes to resume trading then client has to give a written request to BSL for the same. In case after closing of account client wishes to resume trading with BSL then fresh KYC formalities will be done.

i. Deregistering a client.

BSL may at its sole discretion deregister a client without giving any specific reason. Necessary communication will be done by BSL to client in writing or by email. On giving the intimation to de-register the client's funds and securities if any will be settled at the earliest. The client will be given necessary notice period as required by the SEBI/Exchanges from time to time.

Due to de-registration, BSL shall have the right to close out the existing open positions/contracts, sell/ liquidate the margin (in any form) to recover its dues, if any, before de-registering the client. Any action taken by BSL in terms of this policy shall not be challenged by the client, and BSL shall not be liable to the client for any loss or damage (actual/notional), which may be caused to the client as a result. Also while de-registering the client, BSL may retain certain amount/securities due/belonging to the client for meeting any future losses, liability, penalties, etc. arising out of dealing of the client with BSL. In case if any securities retained by BSL is sold/liquidated to recover any such losses, liability, penalties, etc., BSL shall have the sole authority to decide the mode, manner and the price at which to effect the sale of securities and the client can not raise any dispute as to the manner, mode and the price at which the securities are sold by BSL.

In any of the above circumstances, if the client is able to justify his innocence either by producing any record, document or otherwise to the full satisfaction of BSL, BSL may reconsider its decision of de-registering the client. However in no circumstances any action taken by BSL till the date of re-registration shall be challenged by the client and BSL shall not be liable to the client for any loss or damage (actual/ notional), which may be caused to the client as a result.

Policy for Inactive clients

Any client who has not traded for last 365 days or such period as may be decided in any segment of any exchange with BSL then that client code will be made Inactive and will be kept in dormant mode. If the client wants to activate his / her account he / she will have to request in writing to BSL for reactivating the same in the format prescribed by BSL along with necessary documents. After the client is made Inactive its funds and securities if any available with BSL will be settled at the end of the quarter in which its trading account is made Inactive.

TARIFF SHEET

		CASH		FUTURE		OPTION			CURRENCY FUTURE		CURRENCY OPTION		
Brokerage Slab		Slab %	Min Paisa	Slab %	Min Paisa	Slab %	Min Per Lot	Max Per Lot	Slab %	Min Paisa	Slab %	Min Per Lot	Max Per Lot
Delivery / Carry Forward													
Square up	First Leg												
	Second Leg												

Brokerage for Trading in mutual fund units		
Brokerage slab	%	Min
Redemption		
Subscription		

Other Charges (as applicable would be levied)
Service Tax
Stamp duty
Transaction Charges
SEBI Turnover Fee
Clearing Member Charges
Securities Transaction Tax (STT)
Expiry Charges in the derivative segment
Delay Payment Charges
Charges for providing Research Services
Demat Charges for pay-in /payout of securities from pool/margin account
Documentation and Service Charges for Trading Account Opening Upto Rs, 200/-
Franking & Stamping Charges for Power of Attorney Upto Rs, 150/-
Charges for any other services provided / cost incurred by Brics Securities Ltd from time to time

Dear Investor!!

Subject: Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden.

It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti-money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities & Exchange Board of India (SEBI), which includes a stockbroker, depository participant, portfolio manager, sub-broker and any other intermediary associated with securities market.

As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

For further details kindly visit our website: www.bricssecurities.com

NON MANDATORY DOCUMENTS

VOLUNTARY RIGHTS AND OBLIGATION OF STOCK BROKER, SUB-BROKERS AND CLIENTS

1. The Stock broker in its absolute discretion shall execute the orders of the client, after the margin amount is realized and credited to the Bank account of the Stock Broker. Further, Stock Broker reserves the right to refuse to execute any particular transactions.
2. Lien & Discretion: The client understands that all monies, securities or other property that may be held by the Stock broker on the client's account shall be held subject to a general lien for the discharge of the client's obligation to the Stock broker. The client authorizes the Stock broker to use his discretion to buy, sell or close out any part or all of the positions held by the clients with the Stock broker for the protection of the Stock broker for the risk management purpose. The client agrees to reimburse any or all such incidental expenses incurred by the Stock broker.
3. The Stock Broker may as a precautionary measure appoint from time to time any person(s)/ agency(s) at its sole and absolute discretion to undertake the verification of the Client identity and address for conducting the Client's due diligence. Unless otherwise specified by the Exchange/SEBI, Stock Broker may outsource various operational activities including but not limited to printing of various statements/reports relating to Clients and/or for carrying out the various acts in relation to the trading account of the Client. Client hereby further agree to disclose all his information to such person(s)/ agency(ies) appointed by the Stock Broker.
4. Excess Contracts: The client agree that they shall not, acting alone or in concert with others, directly or indirectly, hold and control excess number of shares/contracts as fixed from time to time by the Exchange(s) and/or SEBI.
5. Discretion: In case of purchase on behalf of client, the Client authorizes the Stock broker to close out his transactions by selling securities, in case the Client fails to make full payment to the Stock broker for the execution of the contract before payin date. The client shall be liable for any losses, costs and be entitled to any surplus, which may result therefrom. In case of sale on behalf of client, the client authorizes the Stock broker to close out the contract if the client fails to deliver the securities sold before pay-in date. The client shall be liable for any losses, costs and be entitled to any surplus, which may result therefrom. Without prejudice to a Stock broker's other rights including the right to refer a matter to arbitration, the Stock broker shall be entitled to liquidate / close out all or any of the client's positions for non-payment of margins or other margins or other amounts, outstanding etc.. The client shall be liable for any losses, costs and be entitled to any surplus, which may result therefrom.
6. The client agrees that in the event of Stock broker or any employee or official of Stock broker providing any information, recommendation or advice to the client, the client may act upon the same at their sole risk and cost, and Stock broker shall not be liable or responsible for the same. The client assumes full responsibility with respect to his investment decisions and transactions. The Stock broker, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the client.
7. It is hereby agreed between the client and the Stock broker that the ledger statements in respect of transactions entered into at all segments of various Exchange(s) may be combined for the purpose of convenience of the Stock broker and the client and the payments received and paid by the Stock broker will be appropriated on a First-in-first-out basis
8. It is hereby specifically agreed that the client will call the Broker and take confirmation from the Broker or access the same on his / its email ID. Any discrepancies in the trades for the day must be pointed out at the time of confirmation or latest before the opening of the market the next day failing which the Stock broker will not be liable for the resultant financial loss, if any
9. The client agrees that the Stock broker will not be responsible for partial execution of orders placed by the client. The client also agrees that all orders placed by him shall be treated as

orders for that particular session only. In case the client wants the orders to be carried forward or extended for the day he shall communicate the same to the Stock broker.

10. The client agrees that any notice served on the client either by actual delivery thereof or in any one or more of all the ways (by post, registered post, courier, telegram, oral communication, electronic mail and such other mode of communication) at the last known address and contact details of the client would be deemed to have been duly served.

11. Settlement: All payment for securities bought / margins payable shall be made out by way of Cheque/DD in favour of "Brics Securities Ltd." At the time of settlement of dues of the Client, the Stock broker shall draw an account payee cheque in favour of the Client which may be payable to a specified bank account of the Client

12. In case of delay of payment by the client to the Stock broker on its due date, the Stock broker in respect of such delayed payment will be entitled to recover delay payment charges. The said delayed payment shall include amounts payable by the client to the Stock broker in respect of daily margin and mark to market and other related margins and pay-in obligations. Delay payment charges will be levied at 2% per month or a part of month on delayed payment for the delayed period or such other percentage as decided by the stock broker. The client hereby authorizes Stock Broker to debit the amount of penal interest to the brokerage account of the client held with the Stock Broker at such interval as may be decided by the Stock Broker. The client further authorizes Stock Broker to offset any amounts due from the client against the dues owed by Stock Broker.

13. The client hereby agrees to ensure that before selling any shares, he has the same in hand. Any loss arising of auction / closeout on account of shares not cleared in Stock brokers account will be borne by the client. The client also agrees to bear any loss arising out of auctions due to incomplete instructions, illegible instructions, unclear instructions and instructions not received on time.

14. The client hereby authorizes the Stock broker to transfer shares lying in the Stock brokers pool account for pay-in purposes for shares purchased by the client in previous settlements. In case the client does not want the Stock broker to transfer these shares towards inter settlement from the Stock brokers pool account for payin purposes, he shall inform the Stock broker in writing 48 hours before payin date. In case the Stock broker does not receive the same in writing or for a wrong settlement, the Stock broker shall not be responsible for loss, if any.

15. The Stock broker will not be liable to the client for loss arising due to fire, theft or loss due to human error in case of dematerialised shares, or any other unforeseen circumstances if the shares are in the custody of the Stock broker beyond the stipulated time. In case of dematerialized shares, the Stock broker will be entitled to recover the custody charges and inter settlement charges in case of subsequent sales as mentioned above from the client, if the deliveries are not transferred out of the Stock broker's depository account within the stipulated time. The Stock broker will not be responsible in case pay-in is not done in the proper settlement.

16. The Stock broker will not be liable for losses accruing to the Clients caused directly or indirectly by government restriction, Exchange or market rulings, fires, acts of God, commotion, insurrection, breakdown, acts or regulations of any governmental or supranational bodies or authorities, embargo, industrial disputes, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions.

17. The client hereby authorizes the Stock Broker to keep the unutilized margin deposit / credit balance lying with the Stock Broker in bank deposit and/or in such other mode/instrument as may be permitted by the Exchanges/SEBI from time to time. The client hereby further agrees and confirms that any benefit including interest arising out of the above will be solely of Stock Broker and client shall not have any right, share or claim in such benefit including interest earned

from the unutilized margin deposit / credit balance kept in bank deposit and in such other mode/ instrument as may be permitted by the Exchanges/SEBI from time to time.

18. It is hereby specifically agreed by and between the stock broker and the client that the liability/ responsibility for the payment of stamp duty (whether under relevant State Act or under Indian Stamp Act or under any other law for the time being in force) and/or other statutory levies on the contract notes and / or on the trades done by the stock broker for and on behalf of the client shall be solely and fully of the client only. However, it is agreed that only for administrative convenience the stock broker may collect the same from the client and deposit the same with the concerned stamp duty authority and/or to other respective authorities acting only as pure agent of the client with out incurring/assuming any liability on it's (i.e. stock broker's) part.
19. The member will be entitled to collect/recover any fine /penalties/charges or any other amount levied on the member by Exchange/SEBI/any other authority due to any transaction/trade/act/ omission (including non furnishing of the required detail of/by the client) from the client.
20. The Client shall indemnify and shall always keep indemnified the Stock broker harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges and / or expenses that are occasioned or may be occasioned to the Stock broker directly or indirectly, owing to bad delivery (as defined by the Exchange Rules/Regulations/Bye-Laws) of shares / securities and / or as a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealings / operations on the Stock Exchange(s). The client hereby agrees to indemnify the Stock broker against all claims including legal costs incurred to defend any claims made by the client.
21. The client hereby unconditionally, absolutely and irrevocably undertakes to pay immediately any amount due and payable under this agreement on being called to do so without any demur merely on a demand in writing from Stock broker stating that the amount claimed is due pursuant to this agreement and any such demand made on the client shall be conclusive as regards the amount due and payable by the client under this agreement.
22. Tape Recording of client conversation: The client is aware that the Stock broker may tape-record the conversation between the client or the client's representative and Stock broker, either personally or over phone, and the client specifically permits the Stock broker to use the said recording to resolve the dispute in connection with the transaction, as and when required.
23. The Client hereby agrees that he shall not deposit post dated cheques, excess payment cheques, if any, received from the Stock broker for any reason whatsoever and bring it to the notice of the Stock broker. The client also agrees that he will not initiate legal proceedings against the the Stock broker in such cases.
24. The Client authorizes to debit his account for the various charges due to the Depository section of the Stock broker for the depository services which he is availing. Further, the Client authorizes to debit his account for any additional facilities (apart from statutory requirements) availd from the Stock Broker.
25. It is hereby mutually agreed between client and Stock Broker that client can give order to the Stock Broker for buy or sell of a security / derivative contract through various means of communication including but not limited to
    - Written
    - Email
    - Fax
    - Short Messaging Service (SMS)
    - Messanger Chat
    - Other Electronic Communication
    - Oral Communication over telephone, mobile, personal visit at dealing office of the Stock Broker
    - Any other acceptable mode of communication

◆

26. It is hereby agreed by the Client that Client shall verify/confirm the trading/settlement cycles, delivery/payment schedule with the Stock Broker/at the website of the Exchange(s) /newspaper etc. Besides this as an additional facility Stock Broker may inform the trading/settlement cycles, delivery/payment schedule to the client through contract notes or via any other mode of communication.

27. The client hereby authorizes the Stock Broker to debit the courier/postage and such other similar charges for sending various communications to the client as may be required by the regulatory authorities such as contract notes, margin statement, bills, quarterly statement etc. unless otherwise specified by the Exchange/SEBI.

28. In case Client has requested or request for an Internet & wireless Technology based trading through Order Routing System (ITORS) in the future, further rights and obligation of Stock Broker, Sub-broker and Client are as follows:

28.1 The Client will be entitled to a username and password, which will enable him to access the Stock Broker's ITORS System for availing of the Service. The Client is aware that the Stock Broker's ITORS System itself generates the initial password and the Client agrees and undertakes to immediately change his initial password upon receipt thereof. The Client is aware that subsequent passwords are not known or available to the Stock Broker.

28.2 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 ITORS System using the Client's Username and/or Password whether or not such person was authorised to do so.

28.3 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorised use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on the Stock Broker's ITORS System and unauthorisedly routing orders on behalf of the Client through the System. The Client agrees that he shall be fully liable and responsible for any and all unauthorised use and misuse of his Password and/or Username and also for any and all acts done by any person through the Stock Broker's ITORS System on the Client's Username in any manner whatsoever. The Client shall immediately notify the Stock Broker in writing with full details if:

(i) he discovers or suspects unauthorised access through his Username, Password or account,

(ii) he notices discrepancies that might be attributable to unauthorised access,

(iii) he forgets his password or

(iv) he discovers a security flaw in the Stock Broker's ITORS System.

28.4 In any of the above events, the Client shall immediately change his Password. However, if the Client is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request the Stock Broker in writing to discontinue his old Password; and thereupon the Stock Broker shall cause the Stock Broker's ITORS System to discontinue the use of the Client's old Password and the Stock Broker's ITORS System shall generate a new Password for the Client which shall be communicated to the Client. At no point in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the Password.

28.5 The Client shall log off from the ITORS Service at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall borne solely by the Client.

28.6 The Client is aware that though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by the Client on the Stock

Broker's ITORS System, the Stock Broker shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.

28.7 The Client agrees that the Stock Broker may, at its sole discretion, subject any order placed by a Client to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.

28.8 The Client hereby agrees to execute all orders at around market prices. The Client agrees to ensure that there will be no attempt at price distortion and price rigging made through any means.

28.9 Client will notify Stock Broker when a sale order relates to securities, which Client does not own i.e., involves short selling. The Client authorizes the Stock Broker to square up all his outstanding positions, which are not marked for delivery 15 minutes before closing time on the normal market. Any profit / loss arising out of square off shall be at the risk of and borne by the Client

28.10 The Stock Broker, at his discretion, may execute trades on behalf on the Client at the request of the Client, in case of system failure at the Clients end. Any profit / loss arising out of such trades shall be at the risk of and borne by the Client.

28.11 If Client resides or gives any orders to Stock Broker from outside India, Client agrees to ensure and represent that such orders will have been given in compliance with any and all applicable law of the relevant jurisdiction from which Client orders are given, and Client further agrees that Client shall, when, in doubt, consult or obtain legal and professional advice in or of the relevant jurisdiction. Client accepts that there may be taxes, duties, impositions or charges payable to relevant authorities in respect of Client residing or the giving of any order from outside India and the execution of such order, and Client agrees to pay such taxes, duties, impositions or charges as are applicable. Client further agrees to indemnify Stock Broker on demand for any claims, demands, actions, costs and expenses Stock Broker may suffer or incur in connection with or arising from Client residing or giving of any such order from outside India.

28.12 When the Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the Client's request for cancellation is received and the order is successfully cancelled before it is executed. The Client shall not be entitled to presume an order as having been executed or canceled until a confirmation from the Stock Broker is received by the Client.

28.13 Online confirmation will be available to the Client upon execution or cancellation of an order placed by him through the Stock Broker's ITORS System. This shall be followed by a confirmation, which may be sent by postal mail, electronic mail or other electronic means. It is the responsibility of the Client to review upon first receipt, whether delivered to him online, by postal mail, by electronic mail, or other electronic means, all confirmations of transactions or cancellations. The client agrees that confirmation send via above means is valid delivery of such information by the Stock Broker.

28.14 The client agrees to open, maintain and operate a valid demat account with the depository participant

28.15 The client agrees that the Stock Broker may require the client, at any time during the subsistence of any arrangement relating to the subject matter of these presents , to open one or more demat accounts with the depository participant . The client agrees that the debit / credit for all the transactions are to be effected in this/ these accounts

28.16 The client agrees that the Stock Broker may, at any time during the subsistence of any arrangement relating to the subject matter of the presents, require the client to open one or more accounts with a designated bank. The client agrees that the debit/ credit for all the transactions may be effected in this / these accounts

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28.17 The client agrees that the Stock Broker shall have the right, at any time during the subsistence of this agreement, to give any instructions pursuant to transactions covered under this agreement to the banks with whom it has affiliations or any other arrangement, in respect of the account of the client maintained with such bank. The client agrees that he shall have no cause of action in respect of any instructions that may be given to the bank in respect of the accounts maintained with such bank in pursuance of the presents.

28.18 The client agrees that the Stock Broker may, without assigning any reason thereof, and without issuing any notice of the same to the client, reveal information available with the Stock Broker in the course of the arrangement with the client, to the bank with whom such client maintain bank accounts pursuant to these presents, and the client shall have no remedy therefrom.

28.19 The client agrees that in the event the designated bank terminates the agreement with the client in respect of the bank account, for any reason or informs the Stock Broker or any misdemeanor or transgression by the client in the operation of the account or in any other circumstance resulting in the closure or inoperation of the said bank account with the designated bank, the Stock Broker may, at its discretion terminate services and the client shall have no remedy there from

28.20 The Client is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the Client and/or his authorised representative are not revealed to any third party.

28.21 The Client agrees that the Stock Broker shall not be liable or responsible for non-execution of the orders of the Client due to any link/system failure at the Client/ Stock Brokers/Exchange end.

28.22 The Client shall not use the guest e-mail facility to send the Stock Broker time-sensitive instructions or to give personal credit information or an address change. The Stock Broker shall not be liable for any actions taken or any omissions to act as a result of any such e-mail message the Client sends to the Stock Broker.

DECLARATION

1. I/We confirm having read and understood the contents of the above 'Additional Rights and Obligations' document. I/We do hereby agree to be bound by such provisions as outlined in these documents.
2. I/We shall not effect any third party transactions.
3. I/We am/are not a Trading Member/Sub-Broker/Authorized Person affiliated to the main broker of the any of the Exchange.
4. I/We shall do all the trades as my/our own trades as your client and I/We will not do trades through you acting on behalf of my/our clients/ as Sub-Broker/Authorized Person or in any other manner.
5. I/We am/are not an employee of another Trading Member of any Exchange.
6. I/We am/are not expelled/suspended member/broker of any recongnized Stock Exchange.

Place ——————————-

S1

Date ——————————

Signature of the Client

◆

Date:

To
Brics Securities Limited
Mumbai - 400 018.

Sub: Request for trading in Interest Rate Futures Contracts

Dear Sir

I am / We are having trading account with you for trading in Currency Derivative Segment of NSE/BSE/ MCX-SX. I/We request you to allow me/us to trade in Interest Rate Futures Contracts offered by NSE/BSE/ MCX-SX.

Thanking You.

Yours Faithfully

S1

Signature of the Client

Name _____

Client Code _____

Mutual Fund Service System facility

Date:

Brics Securities Limited
Mumbai 400 018.

Dear Sir / Madam

Sub: Mutual Fund Service System (MFSS) /BSE StAR MF facility

I am / We are in the process of registering as your client and in process of executing the required documents for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (NSEIL)/ Bombay Stock Exchange Ltd. (BSE) (hereinafter referred to as "the Exchanges").

I/We am/are interested in availing the MFSS/BSE StAR MF facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS/BSE StAR MF of the Exchanges.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/ us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as may be specified by the Exchanges from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS/BSE StAR MF.

I/We also hold Depository Account with your CDSL Depository division, having BO ID 1201680_____ . I/We request you to update the Know Your Client details in MFSS/BSE StAR MF platform on the basis of details recorded in my/our depository account as mentioned above. I/We further confirm that the details contained in the above said depository account remains unchanged as on date and any change in the details will be intimated to you well in advance. S1

Thanking you.

Yours faithfully,
Client Name: _____

Client Signature: S1 _____

Details of terms & conditions for the Investor / Client for using New MFSS facility/ BSE StAR MF Platform

1. Pre-requisites for becoming Investor / Client for the New MFSS facility

1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS/ BSE StAR MF.

1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS/ BSE StAR MF.

1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.

1.4. The Client has approached to the Participant with the application for availing the New MFSS facility/ BSE StAR MF.

1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants.

2. Terms and Conditions

2.1. The client shall be bound by circulars issued by BSE, NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.

2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.

2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.

2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.

2.5. The client shall be wholly responsible for all his investment decisions and instruction.

2.6. The client shall ensure continuous compliance with the requirements of the BSE, NSEIL, SEBI, AMFI and other regulatory authority.

2.7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.

2.8. The client will furnish information to the Participant in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE, NSEIL or NSCCL or ICCL.

2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, BSE, NSEIL and / or NSCCL, ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Client Signature: S1 _____

Date:

Date:

Brics Securities Limited
Mumbai- 400 018

Dear Sir / Madam

Sub: Letter of Authority/Request to Brics Securities Limited

I/We have opened the client/constituent account with Brics Securities Limited (herein referred to as "BSL") for trading/dealing in securities on Bombay Stock Exchange Ltd. (BSE) and/or National Stock Exchange of India Limited (NSE) and/or MCX Stock Exchange Ltd. (MCX-SX) (hereinafter referred to as "the Exchanges").

In respect of my/our dealing/account with you, I/we hereby request/instruct and authorise BSL to do the following:

1. To maintain running account instead of settlement of my/our dues and/or delivery of securities on a Bill to Bill basis.
2. To retain the securities received by BSL from me/us or on my/our behalf from the Exchange(s) on pay-out or otherwise for my/our debit balance/dues/exposure/ trading limits/open interest/various margin or for any other purpose as and when required by BSL or as per any regulations of the Exchange(s). Such retaining/ holding of securities shall be construed as due compliance of the requirement of the Exchange(s) and SEBI. Further, BSL has the sole discretion and authority (i) to use/ transfer the above securities to the clearing corporation/clearing member/ exchange(s)/banks or other entities for the purpose of early pay-in/margin/additional base capital/raising of finance against these securities or otherwise; (ii) to dispose/sell the above securities to meet any monetary/other dues/obligation(s) not fulfilled by me/us towards BSL/the Exchange(s).
3. To use/adjust the credit balance available from time to time in my/our account(s) for my/our exposure/trading limits/Margin requirements/other dues.
4. To debit/credit/transfer the amounts, either on the same Exchange and/or between the various segment of the same exchange and/or between the Exchanges to meet my/our debit balance and/or exposure/margin requirement or other dues payable to BSL/Exchange(s).
5. To do actual settlement of funds and securities at least once in a calendar quarter/ month. S1
6. To retain the requisite funds/ securities towards any outstanding obligation on the settlement date and also retain the funds/securities for margin obligation in such manner and for such period and for such amount as may be prescribed by Exchanges from time to time.
7. To bring any dispute arising from the settlement of account or statement so made to the notice of BSL within 7 working days from the date of receipt of funds/securities or statement as the case may be.
8. This authorization shall continue to be in force and effect until revoked by me/us in writing and duly communicated to BSL.

I/we the constituent of the BSL have affixed our signature below consenting to the above.

Yours faithfully

Client Code	Name of Client	Client Signature
		S1

Date:

Brics Securities Limited
Mumbai- 400 018

Sub: Request for sending Contract notes/Documents etc. on my email id

Dear Sir / Madam,

I/We have opened the client/constituent account with Brics Securities Limited (herein referred to as "BSL") for trading/dealing in securities on Bombay Stock Exchange Ltd. (BSE) and/or National Stock Exchange of India Limited (NSE) and/or MCX Stock Exchange Ltd. (MCX-SX) (hereinafter referred to as "the Exchanges").

I am/We are aware that contract notes, bills, ledgers, transaction statement (statement of funds/ securities), margin and other statement, report, letter, circulars, Client registration form & copy of executed KYC Documents etc. can be received through electronic mode i.e. email. In this regards I/we agree for the following:

1. To receive contract notes, bills, ledgers, transaction statement (statement of funds/ securities), margin and other statement, report, letter, circulars, Client registration form & copy of executed KYC Documents etc. in electronic form through email id_____ S1
   and_____
   and_____

   provided by me/us to BSL in relation to trades/transaction done on the exchanges through BSL.
2. To complete the necessary formalities those are required under the provisions of the Information Technology Act, 2000 for getting the above facility. I/We shall initially download the specified software (Signature Verifier utility) or any other software as may be advised by Stock broker from time to time on the our computer and the same shall be used for receiving, viewing, storing the contract notes, bills, ledgers, transaction statement (statement of funds/securities), margin and other statement, report, letter, circulars, Client registration Form & copy of executed KYC Documents etc. that shall be sent by the BSL from time to time in respect of the trades/transactions that have been executed by me/ us through the terminal of the Stock broker.
3. Contract notes, bills, ledgers, transaction statement (statement of funds/securities), margin and other statement, report, letter, circulars, Client registration form & copy of executed KYC Documents etc. sent by BSL from time to time to my/our email id shall be deemed to have been delivered to me and it shall be presumed that the same is in order unless any discrepancies are given in writing to BSL within 24 hours of the receipt of the same. I/we confirm that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note & other documents at the above mentioned e-mail ID.
4. In case of my/our written request for physical contract notes, bills, ledgers, transaction statement (statement of funds/securities), margin and other statement, report, letter, circulars, Client registration form & copy of executed KYC Documents etc., I/we shall personally collect or may be sent to my/our updated address registered in your record.
5. I/ We hereby state that the handing over of the said contract(s) / bill(s) / confirmation notes, margin and other statement, Client registration form & copy of executed KYC Documents etc. or any communication in respect of my / our transactions relating to my / our trading account with Brics Securities Limited to above said address shall be treated as due discharge of obligation of the Trading Member under the Rules and Regulations and bye-laws of SEBI and the stock exchange(s).
6. Contract notes, bills, ledgers, transaction statement (statement of funds/securities), margin and other statement, may also be kept for seven days on the webserver of BSL i.e. on www.bricssecurities.com which can be downloaded by me/us through the login id and password provided by BSL to me/us.
7. The above service may require to use password/digital signature and I/we will be responsible for confidentiality and proper use at all time of password/digital signature for all transactions initiated through the service.
8. Any change in the email-id shall be communicated through a physical letter by me/us

Yours faithfully,

Name and Signature of the client: S1_____**Client code:** _____

TO BE USED ONLY FOR DEPOSITORY ACCOUNT

Instructions to the Applicants (BOs) for account opening:

1. 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.
2. Signatures should be preferably in black ink.
3. 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.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.
8. It is mandatory to register for SMART facility of CDSL if BO has given Power of Attorney (POA) (Page No. 53).
9. PAN Card is to be obtained for all the holders. For first holder proof of correspondence address as well as permanent address is to be obtained. For Joint holders proof for only permanent address is to be obtained.

To be used only for Depository Account

I / We authorize you to receive credits in my / our account without any instruction from me/us.	(Automatic Credit) ☐ Yes ☐ No
Account Statement Requirement	☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly

Do you wish to receive dividend / interest directly in to your bank account given above through ECS? ☐ Yes ☐ No

Clearing Members Details (To be filled by CMs only)

Name of the Stock Exchange	
Name of the CC / CH	
Trading ID	
Clearing Member ID	

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 Firms, Association of Persons (AOP), partnership Firm, Unregistered Trust etc. should be mentioned above.	

Additional Details

SMS Alert Facility	☐ Yes Moblie No.+91_____ (Refer to Terms and Conditions given as Annexure A	☐ No
easi	☐ Yes. If yes, please contact your DP for details (Facility through CDSL's website:www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.)	☐ No

I/We request you to send electronic transaction cum holding statement at sole holders E-mail id stated in the Account opening form or at_____ _____	☐ Yes ☐ No

To be used for opening of Demat Account in case of Partnership Firm, AOP and Private Trust

Status	**Sub - Status** To be filled by BSL
☐ Individual	☐ Individual Resident

Sole / First Holder's Details (Partner/Trustee)

Name (as mentioned in PAN card)	_____ First		_____ Middle		_____ Last
Date of Birth DD/MM/YYYY		Sex	Male/Female/ Corporate	Title/Suffix	☐Mr. ☐Mrs. ☐Ms. ☐others
Father's /Spouse Name	_____ First		_____ Middle		_____ Last
Nationality	☐ Indian			☐ others (Specify)	
Marital Status	Married /Unmarried				

Address for Correspondence			
City and State / Union Territory			
PIN Code		Country	
Phone No. (with STD/ISD code)/Fax		Mobile	
E-mail ID			

Residential/permanent Address (if different from Correspondence address)			
City and State / Union Territory			
PIN Code		Country	
Phone No. (with STD/ISD code)/Fax		Mobile	
E-mail ID			

Income Tax PAN No.						
Annual Income Range (Tick which is applicable)	Below ₹ 1 lac	₹ 1 lac to 2 lacs	₹ 2 lac to 5 lacs	₹ 5 lacs to 10 lacs	₹ 10 lacs to 25 lacs	Above ₹ 25 Lacs
Educational Qualifications						

ANNUAL INCOME IN THE LAST 3 YEARS

20…-200..:	₹	20…-200..:	₹	20…-200..:	₹

OCCUPATION DETAILS

Occupation: ☐ Employed ☐ Self Employed ☐ Business ☐ Professional ☐ House-wife ☐ Retired ☐ Student ☐ Others (specify)

If Employed: ☐ Central Govt. ☐ State Govt. ☐ Public/Private Sector ☐ NGO ☐ Statutory Board

Name of your Employer			
Office Address			
City and State / Union Territory			
PIN Code		Country	
Phone (with STD/ISD code)/Fax		Mobile	
E-mail ID			
Employer nature of business/ profession (Product/Services provided)			
Designation			
Period in Service/business	…….. years …….months		

If Self Employed/ Business/ Professional/ Others

Name of the Establishment								
Nature of Bussiness/Profession (Product /Services provided)								
Office Address								
City and State / Union Territory								
PIN Code							Country	
Phone (with STD/ISD code)/Fax							Mobile	
E-mail ID								
Designation								

Other Holders- Second Holder's Details

Name (as mentioned in PAN card)	First		Middle		Last
Date of Birth DD/MM/YYYY		Sex	Male/Female	Title/Suffix	☐ Mr. ☐ Mrs. ☐ Ms. ☐ others
Father's /Spouse Name	First		Middle		Last
Nationality	☐ Indian			☐ others (Specify)	
Marital Status	Married /Unmarried				

Residential/permanent Address								
City and State / Union Territory								
PIN Code							Country	
Phone No. (with STD/ISD code)/Fax							Mobile	
E-mail ID								

Income Tax PAN No.										

OCCUPATION DETAILS

Occupation: ☐ Employed ☐ Self Employed ☐ Business ☐ Professional ☐ House-wife ☐ Retired ☐ Student ☐ Others (specify)

If Employed: ☐Central Govt. ☐ State Govt. ☐ Public/Private Sector ☐ NGO ☐Statutory Board

If Self Employed/ Business/ Professional/ Others:

Nature of Business/Profession (Product /Services provided)	

Other Holders- Third Holder's Details

Name (as mentioned in PAN card)	First		Middle		Last
Date of Birth DD/MM/YYYY		Sex	Male/Female	Title/Suffix	☐ Mr. ☐ Mrs. ☐ Ms. ☐ others
Father's /Spouse Name	First		Middle		Last
Nationality	☐ Indian		☐ others (Specify)		
Marital Status	Married /Unmarried				

Residential/permanent Address								
City and State / Union Territory								
PIN Code							Country	
Phone No. (with STD/ISD code)/Fax							Mobile	
E-mail ID								

Income Tax PAN No.										

OCCUPATION DETAILS

Occupation: ☐ Employed ☐ Self Employed ☐ Business ☐ Professional ☐ House-wife ☐ Retired ☐ Student ☐ Others (specify)

If Employed: ☐Central Govt. ☐ State Govt. ☐ Public/Private Sector ☐ NGO ☐Statutory Board

If Self Employed/ Business/ Professional/ Others:

Nature of Business/Profession (Product /Services provided)	

I/We have read the DP-BO agreement (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms and 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.

	First/Sole Authorized Signatory	Second Authorized Signatory	Third Authorized Signatory
Name			
Designation			
Signatures	S1	S2	S3
S1 Passport size Photograph	(Please sign across the photograph)	(Please sign across the photograph)	(Please sign across the photograph)

(Signatures should be preferably in black ink)

FOR OFFICE USE ONLY

IN-PERSON VERIFICATION (First / Second / Third Holder)

This is to certify that I have carried out in-person verification in respect of the client(s) mentioned in the KYC forms submitted for opening of account

Name of employee:_____ Employee Code:_____

Designation:_____ Branch:_____

Date of verification:_____ Place of verification: _____

Signature of employee:_____ Stamp of Brics Securities Limited

Brics Securities Limited

DP ID NO.16800/16801) (SEBI Regn. No. IN - DP - CDSL - 76 - 2000)

NOMINATION FORM

Dear Sir/ Madam,

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

❑ **I/We do not wish to nominate any one for this demat account.**
[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].

☐ I/We **nominate** the following person who is entitled to receive security balances lying in my / our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details	DP ID	1	2	0	1	6	8	0	0	Client ID								
Name of the Sole / First Holder																		
Name of Second Holder																		
Name of Third Holder																		

Nominee Details			
Nominee Name	First Name	Middle Name	Last Name
Address			
City		State	
Country		PIN	
Telephone No.		Fax No.	
E-mail ID			
Relationship with BO (If any)		Date of birth (If nominee is a minor)	

As the nominee is a minor as on date, I/We appoint following person to act as **Guardian**:

Guardian Name			
	First Name	Middle Name	Last Name
Address			
City		State	
Country		PIN	
Age			

To receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Place: _____ Date: _____

	First/Sole Holder	**Second Holder**	**Third Holder**
Name			
Specimen Signature	S1	S2	S3

Details of the Witness *Note: Two witnesses shall attest signature(s) / Thumb impression(s).*

	First Witness	**Second Witness**
Name & Address of Witness		
Signature of Witness	SW	SW

(To be filled by DP) Nomination Form accepted and registered wide Registration No._____

Dated_____ *For Depository Participant (Authorised Signatory)*

Mandatory (for HUF)

Date:

To,
Brics Securities Limited.

Sub: - Declaration as **" Karta "**

This is to certify that I, _____ is the Karta of _____ HUF. The member comprising of the HUF are as follows:

No.	Name of member	Sex	Relation with Karta	Date of Birth
1.				
2.				
4.				
5.				
6.				
7.				
8.				

Further in case of any change due to Death/ Marriage /Birth etc. in the list of above member, the same shall be intimated to **Brics Securities Limited.**

Yours Truly;

Mr._____-HUF,
Karta

S1 _____
(Signature with Stamp)

Annexure - A

Brics Securities Limited

(DP ID NO.16800/16801) (SEBI Regn. No. IN - DP - CDSL - 76 - 2000)

Regd. Off.:Sadhana House, 1st Floor, 570, P.B. Marg, Worli,
Mumbai - 400 018. Tel.: 66360000 Fax 66360159 / 24994023

Terms And Conditions-cum-Registration / Modification Form for receiving **SMS Alerts from CDSL**

Definitions:

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.

S1	S2	S3
Sole / First Holder	Second Holder	Third Holder

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

S1	S2	S3
Sole / First Holder	Second Holder	Third Holder

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	1	6	8	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:

S1	S2	S3
Sole / First Holder Name	Second Holder Name	Third Holder Name

Date:_____ Place: _____

Tariff Sheet for Demat Account

(Select any one scheme out of the following)

***Scheme A (CORPN00)**

(Amt. in ₹)

1	Statutory Charges at the time of Account Opening (Upfront)	150.00
2	Advance / Deposit	1200.00
3	**Account Maintenance Charges (p.a.) (to be charged on pro-rata basis) (₹ 1000 + 10.30% Service Tax)**	**1103.00**
4	Demat Per Certificate (Subject to a min of ₹ 50 per demat request)	4.00
5	Remat (Per Certificate)	20.00
6	Transaction Debit (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.02%
7	Pledge Creation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
8	Pledge Creation Confirmation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
9	Pledge Closure (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
10	Pledge Closure Confirmation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
11	Pledge Invocation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%

* **No charges will be levied on transfer of shares to Demat Account of Brics Securities Ltd.**

Important Notes

1	All Payments shall be made by cheque in favour of " Brics Securities Ltd"
2	All charges are subject to changes made by CDSL, SEBI or any other regulatory bodies.
3	Tariffs are subject to periodical review by Brics Securities Ltd.
4	All the percentages in the above structure would be applied on the value of the transactions as computed by CDSL.
5	The schedule for dispatching the Holding Statement to the beneficiary Owner (BO) is as follows.
	On a monthly basis, if there are transactions and on a quartely basis if there are no transactions.
6	Dispatching the holding statement for any period , other than the above schedule shall be charged extra.
7	All Statutory Taxes (Eg. Service Tax) as applicable would be levied.
8	Any service not quoted above will be charged separately.
9	Courier charges for NRI clients will be levied at actual.

S1	S2	S3
Sole / First Holder Name	Second Holder Name	Third Holder Name

Tariff Sheet for Demat account of Partnership Firm / Unregistered Trust / HUF

(Select any one scheme out of the following)

***Scheme A (N500)**

(Amt. in ₹)

1	Statutory Charges at the time of Account Opening (Upfront)	150.00
2	Advance / Deposit	600.00
3	**Account Maintenance Charges (p.a.) (Calculated on the basis of Account Opening Date) (₹ 500 + 10.30% Service Tax)**	**551.50**
4	Demat Per Certificate (Subject to a min of ₹ 50 per demat request)	4.00
5	Remat (Per Certificate)	20.00
6	Transaction Debit (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.02%
7	Pledge Creation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
8	Pledge Creation Confirmation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
9	Pledge Closure (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
10	Pledge Closure Confirmation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
11	Pledge Invocation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%

*** No charges will be levied on transfer of shares to Demat Account of Brics Securities Ltd.**

Scheme B (N200)

(Amt. in ₹)

1	Statutory Charges at the time of Account Opening (Upfront)	150.00
2	Advance / Deposit	500.00
3	**Account Maintenance Charges (p.a.) (Calculated on the basis of Account Opening Date) (₹ 200 + 10.30% Service Tax)**	**220.60**
4	Demat Per Certificate (Subject to a min of ₹ 30 per demat request)	4.00
5	Remat (Per Certificate)	20.00
6	Transaction Debit (Subject to min. of ₹ 10 & max. of ₹ 1000/- per transaction)	0.02%
7	Pledge Creation (Subject to min. of ₹ 20 & max. of ₹ 1000/- per transaction)	0.02%
8	Pledge Creation Confirmation (Subject to min. of ₹ 20 & max. of ₹ 1000/- per transaction)	0.02%
9	Pledge Closure (Subject to min. of ₹ 20 & max. of ₹ 1000/- per transaction)	0.02%
10	Pledge Closure Confirmation (Subject to min. of ₹ 20 & max. of ₹ 1000/- per transaction)	0.02%
11	Pledge Invocation (Subject to min. of ₹ 20 & max. of ₹ 1000/- per transaction)	0.02%

S1 _____

Sole / First Holder Name

S2 _____

Second Holder Name

S3 _____

Third Holder Name

Scheme C (LT1250)

1	Documentation Charges at the time of Account Opening (Upfront)	150.00
2.	Advance / Deposit	1,500.00
3.	***One time Maintenance Charge (₹ 1250 + 10.3% Service Tax)**	**1378.75**
4.	Demat Per Certificate (Subject to a min of ₹ 50 per demat request)	4.00
5.	Remat (Per Certificate)	20.00
6.	Transaction Debit (Subject of min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.02%
7.	Pledge Creation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
8.	Pledge Creation Confirmation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
9.	Pledge Closure (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
10.	Pledge Closure Confirmation (Subject to min. of ₹ 50 & max. of ₹ 1000/- per transaction)	0.04%
11.	Pledge Invocation (Subject to min. of Rs. 50 & max. of Rs. 1000/- per transaction)	0.04%

Important Notes for Scheme C

1.	**No charges will be levied on transfer of shares to Demat Account of Brics Securities Ltd.**
2.	***One time Maintenance charge is applicable only if client is opting for E-statement.**
3	**Physical copy of statement would be charged minimum of ₹ 25/- per statement for first page. for additional pages ₹ 2/- per page will be charged.**

Important Notes (Same for Scheme A, B and Scheme C)

1	All Payments shall be made by cheque in favour of " Brics Securities Ltd"
2	All charges are subject to changes made by CDSL, SEBI or any other regulatory bodies.
3	Tariffs are subject to periodical review by Brics Securities Ltd.
4	All the percentages in the above structure would be applied on the value of the transactions as computed by CDSL.
5	The schedule for dispatching the Holding Statement to the beneficiary Owner (BO) is as follows.
	On a monthly basis, if there are transactions and on a quarterly basis if there are no transactions.
6	Dispatching the holding statement for any period, other than the above schedule shall be charged extra.
7	All Statutory Taxes (Eg. Service Tax) as applicable would be levied.
8	Any service not quoted above will be charged separately.
9	Courier charges for NRI clients will be levied at actual.

S1 _____
Sole / First Holder Name

S2 _____
Second Holder Name

S3 _____
Third Holder Name

AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKINGTO OPEN A BENEFICIAL OWNER'S ACCOUNT

This Agreement made and entered into at _____ this _____day of _____ , between Brics Securities Limited having its registered office at Sadhana House, 1st Floor, 570, P.B.Marg, Behind Mahindra Tower, Worli, Mumbai - 400 018, hereinafter called "the Participant" of the One Part; AND_____

_____ S1

_____

description of the legal entity) having his/ its office/ registered office/ address at S2

_____

_____ S3

hereinafter called "the Beneficial Owner" of the Other Part.

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded herein below:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:

1. **General Clause**
   The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

2. **Fees, Charges and deposits**
   The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid [not exceeding 18%] per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

3. **Statement of Account**

3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each 1 [quarter]. The statement of accounts to be provided to the Beneficial Owner under

S1	S2	S3
Sole / First Holder	Second Holder	Third Holder

this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.

3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

4. Beneficial Owner shall intimate change of particulars

The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

5. Depository not liable for claims against Beneficial Owner

CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

6. Authorised Representative

Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, 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.

7. Closure of Account

The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

8. Stamp Duty

Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

9. Force Majeure

Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection,

embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

10. Service of Notice

Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posing. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

11. Arbitration

The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

12. Jurisdiction

The parties hereto agree to submit to the exclusive jurisdiction of the courts in _____.

13 Governing Law

The Agreement shall be governed by and construed in accordance with the laws in force in India

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/ seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

Signed & delivered by

S1 _____	S2 _____	S3 _____
Sole / First Holder	Second Holder	Third Holder
_____	_____	_____
Name of First Holder	Name of Second Holder	Name of Third Holder

Signature of Witness : SW _____

Name of Witness : _____

Address of Witness : _____

Signed & Delivered by

For **Brics Securities Limited**

Authorised Signatory

Signature of Witness: _____

Name of Witness: _____

Address of Witness: **Brics Securitie**s Ltd
Sadhana House, 1st Floor,
570, P.B.Marg,
Behind Mahindra Tower,
Worli, Mumbai - 400 018.

THIS SPACE IS INTENTIONALLY LEFT BLANK

Date:

To,
Brics Securities Ltd

Ref: Authority to Debit the Trading Account for the Depository Charges

I/We _____ having my/our Demat Account No. 120168000_____ with Brics Securities Ltd., and address at _____ _____hereby request & authorize Brics Securities Ltd., as a Depository Participant to Debit my Trading A/c No. _____ with Brics Securities Ltd. For the Depository Charges.

My Details are as follows:

Client Name: 1._____ Signatures S1 _____

2._____ Signatures S2 _____

3._____ Signatures S3 _____

THIS SPACE IS INTENTIONALLY LEFT BLANK

Non Mandatory Document

POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME I / We_____

_____,

(name(s) of the BO), residing at/having his/its office/registered office at_____

_____ S1 54/57

_____ S2

SEND GREETINGS. S3

Whereas I/We hold a Beneficiary account no. 1201680_____ (BO-ID) with Brics Securities Limited bearing DP-ID 12016800 / 12016801, depository participant of Central Depository Services (India) Ltd.

And Whereas I/We am/are an investor engaged in dealing/desirous of dealing in securities through Brics Securities Limited (hereinafter referred to as "BSL") , a member of Bombay Stock Exchange Limited and National Stock Exchange of India Limited and MCX Stock Exchange Limited (hereinafter referred to as the "Stock Exchanges").

And Whereas I/We am/are desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my /our behalf for a limited purpose 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 BRICS SECURITIES LIMITED, member of Stock Exchanges having its registered office at Sadhana House, 1st Floor, 570, P.B.Marg, Behind Mahindra Towers, Worli, Mumbai – 400 018, 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 acts, deeds, matters and things namely:

1. To instruct the aforesaid Depository Participant and to execute following acts, deeds, matters and things namely to debit the aforesaid beneficiary account and/or to transfer/pledge any securities from my/our aforesaid beneficiary account to the Attorney or any account of the Attorney as specified in the Annexure A in accordance with the instruction of the Attorney for my/our obligations/dues including for pay-in/early pay-in and/or for margin in cash and/or Derivative segment and/or any other segment of any Exchange(s) in respect of dealing through the Attorney;

2. Transfer units of mutual fund to demat account of National Securities Clearing Corporation Ltd (CM BPID: IN565576 or demat account no. 1100001100017837) and/or to demat account(s) of Indian Clearing Corporation Ltd (CM BPID: IN640016 or demat account no 1100001000020972) for the purpose of meeting my/our margin requirement, pay-in obligations arising out of trades/transactions executed by BSL on behalf of me/us on the Stock Exchanges in the Mutual Fund segment;

3. To do any other acts, deeds, matters and things on my/our behalf as mentioned below by executing the necessary deeds, documents, applications, declarations, etc. pursuant to my/our written and/or verbal instructions to;

S1	S2	S3
Sole / First Holder	Second Holder	Third Holder

- subscribe and/or apply for various products/Securities like shares, debentures, units of mutual funds, units of venture capital funds and investment in private equity funds, through public/follow on issues/ rights issues, preferential issues, etc.;
- renounce the rights offer in Securities in favour of any person as may be instructed by me/us;
- tender the Securities in open offers/buy back/redemption, etc. on my/our behalf;
- give instructions to redeem the units of Mutual Funds on my/our behalf and/or mark a lien on units of mutual fund held by me/us in favor of BSL to meet my/our margin requirement

I/we authorize BSL to return to me/us the securities that it might have received erroneously from me/us i.e., those securities that BSL was not entitled to receive.

I/We authorize BSL to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

This Power of Attorney shall continue to be in full force and effect until revoked by me/us in writing and duly communicated to BSL. This Power of Attorney shall also be revoked in the event of my death/ insolvency and upon receipt of the notification of my death/insolvency from my legal heirs or from a joint holder in case the power is given jointly. Revocation of this Power of Attorney (whether by revocation in writing or by actual notice of death/ insolvency/winding up) shall in no way affect the validity of this Power of Attorney, with reference to any transaction initiated by my/our Attorney, prior to the actual receipt by BSL the fact of such revocation by me/us in writing or the notice of death/insolvency/winding up as above provided.

I/We hereby agree that anything which my/our attorney does in the exercise of the rights and powers granted by me/us under this Power of Attorney shall be solely/jointly binding on me/us.

SIGNED AND DELIVERED By the within named Beneficial Owner

Signature(s)

S1 _____	S2 _____	S3 _____
Sole / First Holder	Second Holder	Third Holder
_____	_____	_____
Name of First Holder	Name of Second Holder	Name of Third Holder

IN THE PRESENCE OF

Name of Witness _____ Signature of the Witness SW _____

I/We Accept Date: _____

For **Brics Securities Limited**

Authorized Signatory

Annexure A

Details of Beneficiary, Margin, Pool and Principal Account of BSL

1) NSDL Demat Account Details

DP ID	**Client ID**	**CMBP - ID**	**DP Name**
IN303296	10000046	IN654916	Brics Securities Ltd
IN303296	10000054	IN564004	Brics Securities Ltd
IN303296	10000005	-	Brics Securities Ltd
IN301348	20019522	-	ICICI Bank Ltd.

2) CDSL Demat Account Details

DP ID	Client ID	DP Name
12016800	1201680000049441	Brics Securities Ltd
12016800	1201680000049454	Brics Securities Ltd
12016800	1201680000049469	Brics Securities Ltd
12016800	1201680000049473	Brics Securities Ltd
12016800	1201680000049488	Brics Securities Ltd
12016800	1201680000047364	Brics Securities Ltd
12016800	1201680000034207	Brics Securities Ltd
12016800	1201680000049547	Brics Securities Ltd
12016800	1201680000065185	Brics Securities Ltd
12016800	1201680000065191	Brics Securities Ltd
12016801	1201680100001101	Brics Securities Ltd
12016800	1201680000049492	Brics Securities Ltd
12016800	1201680000049509	Brics Securities Ltd
12016800	1201680000049513	Brics Securities Ltd
12016800	1201680000049528	Brics Securities Ltd
12016800	1201680000049532	Brics Securities Ltd

Signature(s)

S1 _____ Sole / First Holder

S2 _____ Second Holder

S3 _____ Third Holder

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SPECIMEN FORMAT FOR TRADING & DEPOSITORY ACCOUNTS

For Trading Account

(ON LETTER HEAD)
(DECLARATION DULY FILLED TO BE GIVEN BY PARTNERSHIP FIRM/UNREGISTERED TRUST)

Dated:
To,
Brics Securities Limited

Dear Sir,

We refer to the application made for opening a trading account with you in the name of _____ and in this regards we declare and authorize you as under:. X

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a Partnership Firm/Trust as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. _____ with DP _____ and DP ID _____ opened in the names of the following partner(s)/trustee (s) of the firm/trust:- X

1.
2.
3.
4.

We agree that the obligations for shares purchased and/ or sold by the firm/trust will be handled and completed through transfer's to/ from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm/trust.

We hereby authorize partner/trustee Mr _____ to place orders with you, and we hereby declare that we all partners/trustee shall be jointly and severally liable to you for all trades done under instruction of the said authorized partner/trustee. We also authorize them to sign all necessary documents and agreements for the purpose of getting the firm/trust registered as Client with you. We also authorize them to sign the authority letter for adjustment of balances in family accounts. X

We undertake to inform you in writing of any change that takes place in the constitution of the firm/trust and we will be jointly and severally liable to you for all the obligations that the firm/trust may incur in the course of dealings with you and undertake to personally discharge such liabilities.

Yours truly,

Name & Signature of all partners/trustee

Name of the Partner/trustee	Signature with stamp
	X
	X
	X
	X
	X

For Trading Account

(ON LETTER HEAD)
Authority Letter (Partnership Firm/Unregistered Trust)

We the Partners/Trustee of _____ (name of firm/Trust) hereby authorise the firm/trust in terms of clause no._____of the partnership deed/trust deed dated _____ to registered as Client with Brics Securities Limited (BSL) Member of the Bombay Stock Exchange Ltd. (BSE), National Stock Exchange of India Ltd. (NSE) and MCX Stock Exchange Ltd.(MCX-SX)for the purpose of dealing in equities, derivatives, Currency Derivative, Government Securities, Bonds, debentures, Fixed Income products and any other securities and the said Member be and is authorised to honour instructions oral or written, given on behalf of the firm/trust by any one of the undermentioned partners/trustee:

X

Sr. No	Name
1	
2	
3	
4	

who are authorised to sell, purchase, transfer, endorse, negotiate and / or otherwise deal through Brics Securities Limited on behalf of the firm/trust.

Any one of the above persons are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this authority.

X _____	X _____	X _____
Sign:	Sign:	Sign:
Name:	Name:	Name:

Note: To be signed by all partners/trustee

For Trading Account

(ON LETTER HEAD OF CORPORATE- FOR TRADING ACCOUNT)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF …….....…..

HELD ON …….....

"RESOLVED THAT the Company be registered as Client with Brics Securities Limited (BSL) Member of the Bombay Stock Exchange Ltd. (BSE), National Stock Exchange of India Ltd. (NSE) and MCX Stock Exchange Ltd. (MCX-SX) for the purpose of dealing in equities, derivatives, Currency Derivatives, Government Securities, Bonds, debentures, Fixed Income products and any other securities and the said Member be and is authorised to honour instructions oral or written, given on behalf of the Company by any one of the undermentioned authorised signatories:

Sr. No	Name	Designation
1		
2		
3		

who are authorised to sell, purchase, transfer, endorse, negotiate and / or otherwise deal through Brics Securities Limited on behalf of the Company."

"**RESOLVED FURTHER THAT** any one of the above persons are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution."

"**RESOLVED FURTHER THAT** the common seal of the Company be affixed, wherever necessary, in the presence of any Directors or of any one Director and Company Secretary, who shall sign the same in token of their presence."

"**RESOLVED FURTHER THAT** any one of the Directors of the Company or the Company secretary of the Company be and are hereby authorised to give certified true copies of this resolution to Brics Securities Ltd."

CERTIFIED TRUE COPY

For …….....

Director/Company Secretary

For Depository Account (Partnership firm)

(ON LETTER HEAD)
(DECLARATION TO BE GIVEN BY A PARTNERSHIP FIRM/UNREGISTERED TRUST)

To
Depository Department
Brics Securities Ltd

Dear Sir

We have submitted an application for opening a single / joint Beneficial Owner [BO] account and in this regard we declare and authorize you as under:

1. The application has been submitted to open a Beneficial Owner [BO] account in the category "individual" for holding and carrying out transactions in respect of securities belonging to our firm/trust M/S_____, since as per the clarification issued by the Department of Company Affairs vide its Circular No. 5/75 (8/18/75-CL-V) dated March 31, 1975, Partnership Firm is not capable of being a member within the meaning of Section 41 of The Companies Act, 1956. X

2. We hereby authorize partner/trustee Mr. _____ and Mr. _____ and Mr. _____ to open and operate the Beneficial Owner [BO] account and we hereby declare that we all partners/trustee shall be jointly and severally liable to you for all acts done under instructions of the said authorized partners. X

3. In consideration of you having agreed to accept the Bank Details of the firm/trust, we acknowledge and undertake as under: -

   a. The acceptance of bank details of our firm/trust does not amount to you having taken notice of trust or recognize our firm/trust.

   b. We shall continue to be responsible for complying with the relevant provisions of The Companies Act, 1956 and the Rules made thereunder and other applicable Laws falling which we shall be responsible for the consequences thereof.

4. We undertake to inform you in writing of any change that takes place in the constitution of the firm.

Yours truly,

Name & Signature of all partners/trustees:

Name of the Partner/trustee	Signature with stamp
	X
	X
	X
	X
	X

For Depository Account

DRAFT OF THE RESOLUTION FOR DEMAT ACCOUNT (REQUIRED ON LETTER HEAD)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED BY THE BOARD OF DIRECTORS OF_____LIMITED AT THEIR MEETING HELD ON _____ AT_____A.M. /P.M. AT THE REGISTERED OFFICE OF THE COMPANY AT _____

"RESOLVED THAT depository / Demat account(s) in the name of Company styled as _____LIMITED" be opened with, Brics Securities Limited, the Depository Participant (DP) of Central Depository Services (India) Limited (CDSL) and any one of the following persons be and is hereby authorized to sign, execute all the necessary agreements and complete all account opening formalities, operate account(s) including issue/signing of receipts/ delivery instructions, demat/remat requests, inter-settlement transfers, account closure/shifting/freeze/ defreeze requests, pledge and unpledge instructions, and all other acts as may be necessary for operation of the said account."

Name of the Person Designation

"RESOLVED FURTHER THAT a copy of the aforesaid resolution or any abstract thereof, duly certified as true by any one of the above named person be furnished along with other documents as may be required from time to time for any or all of the aforesaid purposes and matters related thereto."

Certified True Copy

For_____Limited

Director

Voluntary

FORMAT OF LETTER TO BE OBTAINED FROM A BANK TO ESTABLISH SIGNATURE AND OPERATION OF BANK ACCOUNT.

Dated:

Brics Securities Limited

Dear Sir

This is certify that savings/current account No. _____

of Mr / Ms / M/s. _____ held jointly with

Mr / Ms /M/s_____ with our branch, has been

active since _____ years / months and the operation of the account has been satisfactory.

We further confirm that the photograph herein bears true likeness to the identity of the above mentioned person and operation of bank account of the person:

(bank stamp across photograph)

X

S1 _____

Signature of the client

Signed in my presence and Attested

Name, signature of the Branch Manager

Signature of Branch manager

Stamp of the Bank and the Branch

INTERNAL TRACK SHEET (FOR OFFICE USE)

Sr. No.	Particulars	Name	Employee Code	Sign.
1.	Introducer			
2.	Relitionship Manager			
3.	Dealer			
4.	Advisor			
5.	Approved / Assigned by			

List of Verification to be done before account opening.

Sr. No.	Particulars	Date	Signature of Employee	Remarks
1.	PAN Verification			
2.	Watchoutinvestor Verification (http://watchoutinvestor.com)			
3.	Verification of client from UN site (http://www.un.org/sc/committees/1267/consolist.shtml.)			
4.	SEBI Debarded List			
5.	Call Verification			
6.	Date of sending copy of KYC to client and proof attached			
7.	Date of sending welcome letter to client and proof attached			

Discrepancies:

Sr. No.	Nature	Whether rectified	Rectification Date
1.			
2.			
3.			
4.			
5.			
6.			
7.			

Date of receipt of the form to KYC activation team:

Date of sending Back KYC form to Branch _____

Verified by: _____ Signature: _____

BRICS SECURITIES LIMITED

Sadhana House, 1st Floor, 570 P.B. Marg
Behind Mahindra Towers, Worli Mumbai 400 018
Tel. No.: Board: 022 66360000 Fax No.: 022 66360159

DP ID: 12016800
Application/ DP Internal Ref No._____

Received the application from Mr./ Ms._____as the sole / first holder along with and as the second and third holders respectively for opening of a Demat Account. Your Client Id will be intimated to you shortly subject to all the documents being in order and the application is complete in all respects. Please quote the Client Id & DP Id allotted in all your future correspondence.

For Brics Securities Limited

Date :