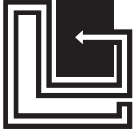


ACCOUNT OPENING KIT INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.	
			From	To
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES				
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list.	1	8
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list	9	10
		C. Central KYC Registry	11	14
		D. KYC Information + FATCA	15	16
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, Authorised Person and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading)	17	20
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	21	24
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	25	26
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	27	30
6.	Tariff Schedule	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	31	31
7.	Declaration by sole proprietor/partnership firm	Authorisation to link demat account with trading account.	32	32
8.	HUF Declaration & Board Resolution.	Declaration of list of family members & format of Board Resolution for Corporate.	33	33
9.	Mobile/Email ID Declaration	Declaration for Mobile number/Email ID for Demat and Trading accounts	34	34
	Annexure - Applicable for family members	Applicable for family member having existing accounts with LCPL (for Common Mobile/Email Id)	34	34
10.	Information on Prevention of Money Laundering Act, 2002 (PMLA)	Information on PMLA	35	35
11.	Nomination Form	Nomination Form	36	37
12.	Investor Charter	Investor Charter - In line with SEBI Advisory	38	42
13.	Consent to use Aadhaar as proof of Address (POA) and proof of Identity (POI)	Consent to use Aadhaar as proof of Address (POA) and proof of Identity (POI)	43	43
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER				
14.	Voluntary Clauses	This contains the clauses which are not mandatory & are voluntary in nature.	44	45
15.	Running Account Authorisation	To maintain fund, securities on running account basis	46	46
16.	Authorisation for Deposit of Shares/ Securities as Collateral	Retain excess securities given as collateral towards margin for any exchange/segment	47	47
17.	Letter of Authority / Undertaking	Declaration / Undertaking for smooth operations	48	48
18.	Letter of Authority / Undertaking	Authority from client for further submission of securities to Exchange/Clearing House / Clearing Corporation	49	50
19.	Declaration if client is connected or not connected to any stock exchange	Declaration that the client is not connected to any Exchange nor a registered Sub-broker	51	52
20.	Letter of Standing Instruction		53	53



INSTRUCTIONS / CHECKLIST FOR FILLING KYC FORM

A. IMPORTANTPOINTS:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

1. Passport / Voters Identity Card / Ration Card /

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

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

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy / Consulate General in the country where the client resides are permitted to attest the documents.



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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). ● Photograph, POI, POA, PAN and D/N numbers of whole time directors / two directors in charge of day to day Operations ● Photograph, POI, POA, PAN of individual promoters holding control- either directly or indirectly. ● Copies of the Memorandum and Articles of Association and certificate of incorporation. ● Copy of Board Resolution for investment in securities market. ● Authorised signatories list with specimen signatures. Partnership firm ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered partnership firms only). ● Copy of Partnership Deed. ● Authorised signatories list with specimen signatures. ● Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered Trust only). ● Copy of Trust deed. ● List of trustees certified by managing trustees/CA. ● Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> ● PAN of HUF. ● Deed of Declaration of HUF/ List of coparceners. ● Bank pass-book/bank statement in the name of HUF. ● Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> ● Proof of Existence/Constitution document. ● Resolution of the managing body & Power of Attorney granted to transact business on its behalf. ● Authorised signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> ● Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. ● Authorised signatories list with specimen signatures.
Foreign Institutional Instruction (F11)	<ul style="list-style-type: none"> ● Copy of SEBI registration Certificate. ● Authorised signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> ● Self-certification on letterhead. ● Authorised signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> ● Copy of Registration Certificate under Societies Registration Act. ● List of Managing Committee members. ● Committee resolution for persons authorised to act as authorised signatories with specimen signatures. ● True copy of Society Rules and Bye Laws certified by the Chairman/ Secretary.

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

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

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

H. Copy of cancelled cheque leaf/pass book/bank statement specifying name of the constituent, MICR Code or/ land IFSC Code of the bank should be submitted.

I. Demat master or recent holding statement issued by DP bearing name of the client.

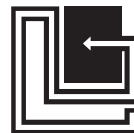


- J. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / Authorised Person office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy/ Consulate General in the country where the client resides may be permitted.
- K. For Non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letter head naming the persons authorized to dealin securities on behalf of company / firm / others and their specimen signatures.

MANDATORY



Moti Sagar Building, Junction of Zaver Road & Ganesh Gawade, Road, Mulund (W), Mumbai - 400 080.
Tel. (Trading) : 022-2591 1234 / 022-2567 4869 (Accounts) : 916725 9505 CIN : U7410MH1992PTC065728
SEBI Regd. No.: INZ000212036 Capital Market, Derivative Segment, Crrney Derivatives Segment



KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR INDIVIDUAL

Please fill this form in **English** and in **Block Letters**

Please affix your recent passport size photograph and sign across it.

1/53

A. IDENTITY DETAILS

Name of the Applicant										
First	Middle Name	Last Name								
Father's/ Spouse Name										
First	Middle Name	Last Name								
Gender : <input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status : <input type="checkbox"/> Married <input type="checkbox"/> Single	Date of Birth	D	D	M	M	Y	Y	Y	Y
Nationality: <input type="checkbox"/> Indian <input type="checkbox"/> Other	Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National									
PAN	Unique ID No./Aadhaar	X	X	X	X	X	X	X	X	X
Specify the proof of identity submitted: <input type="checkbox"/> UID (Adhar) <input type="checkbox"/> Passport <input type="checkbox"/> Voters ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> Other...										

B. ADDRESS DETAILS

Correspondance Address :					Permanent Address : If different from Correspondence or overseas address mandatory for Non-Resident Applicant				
City		PIN			City		PIN		
State		Country			State		Country		
Specify the proof submitted for Residence Address					Specify the proof submitted for Permanent Address				

STD Code - Tel. Resi.		STD Code - Tel. Off.		Fax	
Mobile		Email			

DECLARATION

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

I/We hereby consent to receiving information from CVL KRA through SMS/ Email on the above registered number/ Email address.

2/53
Signature of the Applicant

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received.

(A)

(Name)

(Signature of the Authorised Signatory)

Date _____

Seal/Stamp Lark Consultancy Pvt. Ltd.



KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON- INDIVIDUAL

Please fill this form in ENGLISH and in BLOCK LETTERS.

IDENTITY DETAILS

Name of the Applicant :			
Date of incorporation : <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		Place of incorporation :	
Date of commencement of business : <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		PAN	
Registration No. (e.g. CIN) :			
Status (please tick any one):	<input type="checkbox"/> Private Limited Co.	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Body Corporate
	<input type="checkbox"/> Partnership	<input type="checkbox"/> Trust	<input type="checkbox"/> Charities
	<input type="checkbox"/> FI	<input type="checkbox"/> NGO's	<input type="checkbox"/> HUF
	<input type="checkbox"/> Bank	<input type="checkbox"/> AOP.	<input type="checkbox"/> Government Body
	<input type="checkbox"/> BOI	<input type="checkbox"/> Non-Government Organization	<input type="checkbox"/> Society
	<input type="checkbox"/> LLP	<input type="checkbox"/> Defence Establishment	<input type="checkbox"/> Others (please specify) _____

ADDRESS DETAILS

Correspondence Address :				Registered Address : (If different from above):			
City		PIN					
State		Country		State		Country	
Specify the proof submitted for Correspondence Address				Specify the proof submitted for Registered Address			
Tel. Off.				Tel. Off.			
Mobile				Mobile			
Tel. Resi.				Tel. Resi.			
Fax				Fax			
Email				Email			

DECLARATION

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

1/53 _____

Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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MANDATORY**Lark** CONSULTANCY PVT. LTD.

Moti Sagar Building, Junction of Zaver Road & Ganesh Gawade, Road, Mulund (W), Mumbai - 400 080.
 Tel. (Trading) : 022-2591 1234 / 022-2567 4869 (Accounts) : 916725 9505 CIN : U7410MH1992PTC065728
 SEBI Regd. No.: INZ000212036 Capital Market, Derivative Segment, Crrney Derivatives Segment

**PROMOTERS/PARTNERS/KARTA/TRUSTEES/WHOLE TIME DIRECTORS**

Name	(First Name)			(Middle Name)			(Last Name)			
Designation										
Date of Birth	D	D	M	M	Y	Y	Y	Y	Sex : <input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status : <input type="checkbox"/> Single <input type="checkbox"/> Married
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other...			PAN						
Aadhar Number of Promoters / Partners / Karta				DIN/UID						
Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)										
Status <input type="checkbox"/> Resident Indian <input type="checkbox"/> Non-Resident Indian <input type="checkbox"/> Others (Specify)										
Home Address										
Pin No.										
State Country										
Tel. Mobile										
Fax Email										

(Please affix Photograph and Sign across)

2/A/48

MANDATORY**Lark** CONSULTANCY PVT. LTD.

Moti Sagar Building, Junction of Zaver Road & Ganesh Gawade, Road, Mulund (W), Mumbai - 400 080.
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**PROMOTERS/PARTNERS/KARTA/TRUSTEES/WHOLE TIME DIRECTORS**

Name	(First Name)			(Middle Name)			(Last Name)			
Designation										
Date of Birth	D	D	M	M	Y	Y	Y	Y	Sex : <input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status : <input type="checkbox"/> Single <input type="checkbox"/> Married
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other...			PAN						
Aadhar Number of Promoters / Partners / Karta				DIN/UID						
Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)										
Status <input type="checkbox"/> Resident Indian <input type="checkbox"/> Non-Resident Indian <input type="checkbox"/> Others (Specify)										
Home Address										
Pin No.										
State Country										
Tel. Mobile										
Fax Email										

(Please affix Photograph and Sign across)

2/B/48



PROMOTERS/PARTNERS/KARTA/TRUSTEES/WHOLE TIME DIRECTORS	
Name	(First Name) (Middle Name) (Last Name)
Designation	
Date of Birth	D D M M Y Y Y Y Sex : <input type="checkbox"/> Male <input type="checkbox"/> Female Marital Status : <input type="checkbox"/> Single <input type="checkbox"/> Married
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other... PAN
Aadhar Number of Promoters / Partners / Karta	DIN/UID
Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
Status <input type="checkbox"/> Resident Indian <input type="checkbox"/> Non-Resident Indian <input type="checkbox"/> Others (Specify)	
Home Address	<div style="border: 2px solid black; padding: 5px; display: inline-block;"> (Please affix Photograph and Sign across) </div> 2/C/48
Pin No.	
State Country	
Tel. Mobile	
Fax Email	

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my / our knowledge 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 are aware that I / We may be held liable for it.

Name of the Authorised Signatory : _____ ^{2/}/₅₃ _____

Date : [D D M M Y Y Y Y] _____ Signature of Authorised Signatory

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received.

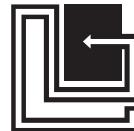
Name & Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Intermediary

MANDATORY**Lark****CONSULTANCY PVT. LTD.**

Moti Sagar Building, Junction of Zaver Road & Ganesh Gawade, Road, Mulund (W), Mumbai - 400 080.
 Tel. (Trading) : 022-2591 1234 / 022-2567 4869 (Accounts) : 916725 9505 CIN : U7410MH1992PTC065728
 SEBI Regd. No.: INZ000212036 Capital Market, Derivative Segment, Crenney Derivatives Segment

**C. OTHER DETAILS**

Gross Annual Income Details (please specify): Income Range per annum: (Rs. in lacs)				
<input type="checkbox"/> Below 1	<input type="checkbox"/> 1 to 5	<input type="checkbox"/> 5 to 10	<input type="checkbox"/> 10 to 25	<input type="checkbox"/> Above 25

OR

Net-worth as on date		Rs. as on (Net worth should not be older than 1 year)	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>						D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y									
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Business	<input type="checkbox"/> Student											
	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Others											
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP)		<input type="checkbox"/> Related to a Politically Exposed Person (PEP)													
Any other information :																

TRADING ACCOUNT RELATED DETAILS**D. BANK ACCOUNT(S) DETAILS**

Savings/Current / Others - in case of NRE/NRO

Bank Name															
Branch Address															
Bank Account No.															
Account Type	<input type="checkbox"/> Savings A/c <input type="checkbox"/> Current A/c <input type="checkbox"/> Others - in case of NRE/NRO					<input type="checkbox"/> Savings A/c <input type="checkbox"/> Current A/c <input type="checkbox"/> Others - in case of NRE/NRO									
MICR No.															
IFSC Code															
Please provide cancelled cheque leaf for MICR & IFSC Code															

E. DEPOSITORY ACCOUNT(S) DETAILS

DP Name															
DP ID															
Client ID															
Depository	<input type="checkbox"/> NSDL / CDSL <input type="checkbox"/>					<input type="checkbox"/> NSDL / CDSL <input type="checkbox"/>									
DP Address															
*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1															

F. TRADING PREFERENCE

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

Exchange Segment	Capital Market	F&O
BSE	<input checked="" type="checkbox"/> ³ / ₅₃	<input checked="" type="checkbox"/> ⁵ / ₅₃
NSE	<input checked="" type="checkbox"/> ⁴ / ₅₃	<input checked="" type="checkbox"/> ⁶ / ₅₃
If you do not wish to trade in any of segments / Mutual Fund, please mention here		

G. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange / any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:	
--	--



H. Dealings Through Authorised Person And Other Stock Exchanges

DEALINGS THROUGH AP AND OTHER STOCK BROKERS							
AP Name				BSE AP Reg. No.			
Registered Address				NSE AP Reg. No.			
Signature of AP X		Tel. No.		AP F&O / (NSE)			
		Email-ID		Mobile No.			
		Website					
Name of other Stock Broker				Client Code		Exchange	
In case dealing through multiple Stock Brokers / Authorised Persons provide details as above as separate Annexure							
Details of disputes/dues pending from/to such stock broker/Authorised Person:							

7/53 ⊗

Signature of the Applicant

I. ADDITIONAL DETAILS

• Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (Please specify):	<input type="checkbox"/> Electronic Contract Note <input type="checkbox"/> Physical
• Specify your Email Id, if applicable: Primary Email ID	
Secondary Email ID	
• Whether you wish to avail of the facility of internet trading/wireless technology (please specify):	<input type="checkbox"/> Yes <input type="checkbox"/> No
• Number of years of Investment/Trading Experience:	
• In case of non-individuals name, designation, PAN, UID, signature, residential or official address and photographs of persons authorised to deal in securities in behalf of company / firm / Others.	
• Any other information:	

J. INTRODUCER DETAILS (optional)

Name of the Introducer	
Status of the Introducer:	<input type="checkbox"/> Self Introduction <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify _____
Address and Tel No. of the Introducer	
Introducer's Signature	① _____

1. I/We hereby declare that the details furnished above are true and correct to the best of my 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 be held liable for it.

2. I/We confirm having read/seen explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Stock broker's designated website, if any.

Place : _____

Date : _____

8/53

Signature of the Applicant / Authorised Signatory

CENTRAL KYC REGISTRY L Know Your Customer (KYC) Application Form I Legal Entity / Other than Individuals

Important Instructions :

- A) Fields marked with an asterisk are mandatory fields.
B) Tick ✓ wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, please tick (3) in the box available before the section number and strike off the sections not required to be updated.



For office use only Application Type* New Update
KYC Number (Mandatory for KYC update request)

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

Name
Entity Constitution Type*
Date of Incorporation / Formation*
Date of Commencement of Business
Place of Incorporation / Formation*
Country of Incorporation / Formation
TIN or equivalent Issuing Country
PAN*
Form 60 furnished
TIN / GST Registration Number

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

Officially valid document(s) in respect of person authorised to transact
Certificate of Incorporation / Formation
Registration Certificate
Memorandum and Articles of Association
Partnership
Trust Deed
Resolution of Board / Managing Committee
Power of attorney granted to its manager, officers or employees to transact on its behalf
Activity Proof - 1 (For Sole Proprietorship Only)
Activity Proof - 2 (For Sole Proprietorship Only)

3. ADDRESS (Please see instruction C at the end)

3.1 Registered Office Address / Place of Business

Proof of Address
Certificate of Incorporation / Formation
Registration Certificate
Other Document
Line 1*
Line 2
Line 3
City / Town / Village*
District*
PIN / Post Code*
State / U.T. Code*
ISO 3166 Country Code*

3.2 Local Address In India (If different from Above)*

Proof of Address
Certificate of Incorporation / Formation
Registration Certificate
Other Document
Line 1*
Line 2
Line 3
City / Town / Village*
District*
PIN / Post Code*
State / U.T. Code*
ISO 3166 Country Code*

4. CONTACT DETAILS (all communications will be sent to mobile number/Email-ID provided* may be used) (Please refer instruction D at the End)

Tel (Off)
FAX
Mobile
Email ID
Mobile
Email ID

5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)



Supplementary KYC Information & FATCA-CRS Declaration - Individual

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

PAN*		Folio No. *If PAN is not available	
Name		Gender	<input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> O
Fathers Name			
Type of address given at KYC KRA	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Other
Other Address			
Landmark		City	
State		Pin Code	
Country			
Place of Birth			
Country of Birth			
Nationality			

Gross Annual Income Details In INR	<input type="checkbox"/> Below 1 Lakh	<input type="checkbox"/> 5 - 10 Lacs	<input type="checkbox"/> 25 Lacs - 1 Crore	Net Worth in INR in Lakhs	₹ _____		
	<input type="checkbox"/> 1 -5 Lacs	<input type="checkbox"/> 10 - 25 Lacs	<input type="checkbox"/> > 1 Crore		Net Worth as an	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y	

(Date should not be older than one year)

Occupation Details	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Housewife	<input type="checkbox"/> Retired	Others [Please specify]
	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Student	<input type="checkbox"/> Forex Dealer	

Politically Exposed Person (PEP)	<input type="checkbox"/> Yes	<input type="checkbox"/> Related to PEP	<input type="checkbox"/> Not Applicable
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Are you a tax resident of any country other than India? Yes No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Number below.

Country#	Tax Identification Number%	Identification Type (TIN or other, Please Specify)

to include all countries other than India, Where investor is Citizen / Resident/Green card Holder/Tax Resident in those respective countries especially of USA
%In case Tax Identification Number is not available, kindly provide its functions equivalent\$

Certification
I/We have understood the information requirements of this Form (Read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

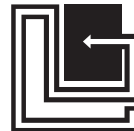
Signature
<input type="text" value="12/53"/>
Date <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y
Place <input type="text"/>



Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Banks to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e. within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.



RIGHTS AND OBLIGATIONS OF STOCK BROKERS AND CLIENTS AUTHORISED PERSONS

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, Authorised Person 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 Authorised Person shall provide necessary assistance and cooperate 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 Authorised Person 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

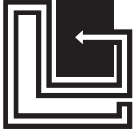
any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, with holding 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 (event 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 there in 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 him self/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, Bye laws and Regulations and circulars/notices issued the reunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such courts 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 there under.



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/ closeout, 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 other wise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stockbroker 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 there under 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, Authorised Person 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. Not with standing 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 Authorised Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorised Person by the stock exchange and/or termination of the agreement with the Authorised Person by the stockbroker, 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, Authorised Person 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, ByeLaws, 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 pay out from the relevant Exchange where the trade is executed unless other wise 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 in to 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-mails shall be digitally signed, encrypted, non-tamperable 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, 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 with 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 there to in the Rules, Byelaws and Regulations and circulars/notices issued there under 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 here in in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges / SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities

associated with securities trading through wireless technology/internet / smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges / SEBI.
5. The Client shall be responsible for keeping the User name and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies unauthorized access through his user name /password / account with full details of such unauthorized use, the date, the manner and the transaction 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 User name / 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 disclosures document n or 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 your 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 & 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 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 changes 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 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 liquidates 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 system 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 the yare traded in your own or an other 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 acurrency 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 worth less 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 there by 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 OR DER 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 stockbroker, 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.exchange.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.
8. 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.
9. 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 obligations 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 30 (Thirty) working days from the deposited and from which bank/demat account.

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 Authorised Person. Don't issue cheques in the name of Authorised Person. 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



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 Grievances 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 give 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 email ID of the grievance redressal division / compliance officer exclusively for the purpose of registering complaints.



POLICIES AND PROCEDURES

The document outlines various policies and procedures framed and followed by **LARK Consultancy Pvt. Ltd.**, (hereinafter refer edisas LCPL) with respect to its dealing with its clients as a stock broker on **BSE Ltd. (BSE)**, and on **National Stock Exchange of India Ltd.** (collectively hereinafter refer red 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 **Lark Consultancy Pvt. Ltd.**, depending upon regulatory changes, its risk management frame work, 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 **LARK Consultancy Pvt. 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. Scrips whose average daily volume is less than 15000 shares (collectively for all Exchanges) in last seven days.
7. Any Securities which in the opinion of **LARK Consultancy Pvt. Ltd.** is likely to be a Penny Stock.

Trading in Penny stocks may be allowed to clients at the sole discretion of **LCPL**. Also **LCPL** 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 **LCPL** may insist upto 100% advance payment / sufficient clear ledger credit balance and similarly if client wishes to sell Penny stock then **LCPL** may insist that shares should be delivered under Block Mechanism. Under no circumstances, **LCPL** shall be held 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 **LCPL** valued after hair cut.

- Exposure based limit may be given to the client in certain multiples (multiples times may be decided by **LCPL** at its sole discretion from time to time) on the available credit balance and/or on the collateral / securities of the client available with **LCPL** valued after hair cut. However, on case to case basis the excess limits may be allowed.
- Margin based limit may be given to the client on the applicable VaR as may be decided by **LCPL** from time to time on the available credit balance and/or on the collateral / securities of the client available with **LCPL** valued after hair cut. However on case to case basis the excess limits may bellowed.
- Securities shall be valued after appropriate hair cut based on the types of scrips, nature of scrip, liquidity, volatility of scrip, etc. from time to time.

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 **LCPL** valued after hair cut.
- Securities shall be valued after appropriate hair cut based on the type of scrips, nature of script, 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.

LCPL may from time to time depending on market conditions, profile and history of client, type and nature of scrip, etc., may change the rate of haircut applicable on the securities / collaterals, number of time the limits to be given in Cash and/or Derivatives segments and take such steps as **LCPL** may deem necessary, as per the notifications and guidelines issued by NSEIL / NSCCL from time to time.

c. Applicable Brokerage Rate

The brokerage rate applicable on clients trades will be as per agreed rates as mentioned in the Tariff Schedule at the time of opening the client trading account. Any higher brokerage will be levied only if agreed in writing between **LCPL** and the client or by advance notice of 15 days by **LCPL** to the client. If the client has any grievances' regarding the rate of brokerage charged then he should intimate the same to **LCPL** within four hours 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 levies / charges as mentioned in the Tariff Sheet.

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

In case of delay in payment by the client to **LCPL** on its due date, **LCPL** in respect of such delayed payment will be entitled to recover late / delayed payment charges from due date. The said delayed payment shall include amounts payable by the client to **LCPL** in respect of 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 2.5% per month or a part of month on delayed payment for the delayed period. The trade of the client may not be executed by **LCPL** if the client does not clear dues along with delayed payment charges. The client will not be entitled to any interest on the credit balance / excess margin available / kept with **LCPL**.

A delayed payment charge is applied to act only as a deterrent measure. The client should not construe it as funding arrangement. The client cannot demand continuation of service on a continued basis citing levy of delay payment charges.

LCPL may impose fines/ penalties for any order trades / deals / actions of the client which are contrary to this agreement / rules / regulations / byelaws of the exchange or any other law for the time to being in force at such rates and in such form as it may deem fit. Further where the **LCPL** has to pay any fine or bear any punishment from any authority in connection with / as a consequences of / in relation to any of the order / trades/ deal / actions of the client, the same will be borne by the client. excepting for penalty levied for shortfall in Initial Margin.

e. The right to sell clients' securities or close client's positions on account of non-payment of client's dues.

The client is required to pay adequate margin/ pay-in obligations in full and that it shall be the clients responsibility to ascertain in advance the margin / pay-in obligations requirements for its order / trades/ deals and to ensure that the required margin / pay-in obligations is made available to **LCPL** in such form and such manner as may be required by **LCPL** from time to time. The client shall fulfill all its obligations / liabilities / dues to **LCPL**, failing which **LCPL** 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 **LCPL** without giving any notice to the client. **LCPL** may also square up all or

any outstanding position and / or sell the securities / collateral available with **LCPL** 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 **LCPL** may also square up all or any outstanding position and / or sell the securities / collateral available with **LCPL** as a part of risk close out its transactions by selling securities, in case the Client fails to make full payment to **LCPL** for the same before the time intimated by **LCPL**. In case of sale on behalf of client, the **LCPL** 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. Shortage in obligations arising out of internal netting of trades.

If a selling client who has sold shares of particular scrip on Tday does not deliver shares by T + 1 (i.e. by pay-in day deadline) and such quantity of internal shortage will be purchased from the market on pay-in day/or reported for self auction if provided by the exchange. On T+1 (i.e. pay-in day) provisional debit will be given in client account at T + 1 day's closing rate + adhoc margin from time to time.

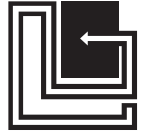
On payout day of securities purchased in the internal shortage account, provisional debit bill amount will be reversed and client account will be debited with the amount at which securities are purchased on T + 1 day. Fines / Penalties / charges may be levied on account of internal shortage to selling 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 **LCPL** for delay in delivery of securities. It may also be possible that **LCPL** 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.

Not with standing the above, the selling client who has failed to deliver the shares by due date and time shall be solely responsible for all cost, charges, penalties, damages etc. arising out of such non delivery of shares. 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 LCPL may close the existing position of a client.

Under the following conditions **LCPL** will not allow



the client to take further positions or **LCPL** may close the existing positions of a client:-

1. Insufficient / inadequate margin(s) and/or insufficient / inadequate free credit balance available with **LCPL**.
2. Scrips / stocks falling in Penny Stocks in clause (a) above.
3. Illiquid contracts/ options.
4. Trades which apparently in the sole and absolute discretion of **LCPL** seems to be Synchronized trades / Circular trading / Artificial trading / manipulative in nature, etc.
5. Scrips banned 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.
7. The client fails to furnish documents / information as may be called for by **LCPL** 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 **LCPL** can also close position of the client in case the client fails to pay his/her obligation / dues before pay in schedule of the exchange and / or as demanded by **LCPL**. Depending on the market circumstances if **LCPL** is of the view that the positions of the clients are/will be at risk then **LCPL** 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 **LCPL**. 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 **LCPL** for the same.

i. Deregistering a client

LCPL may at its discretion deregister a client without giving any specific reason. Necessary communication will be done by **LCPL** to client in writing or by email. On giving the intimation to deregister, 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, **LCPL** 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 **LCPL** in terms of this policy shall not be challenged by 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, **LCPL** 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 **LCPL**. In case if any securities retained by **LCPL** is sold / liquidated to recover any such losses, liability, penalties etc. **LCPL** shall have the sole authority to decide the scrip, the mode, manner and the price at which to effect the sale of securities and the client cannot raise any dispute as to the manner, mode and the price at which the securities are sold by **LCPL**.

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

j. Policy for inactive client

Any client who have not traded for last 365 days or such period as may be decided in any segment of any exchange with **LCPL** then that client code will be made inactive and will be kept in dormant mode. If client wishes to activate his account then he may have to complete such documentations as decided by **LCPL** from time to time. After the client is made in active funds and securities lying in trading account if any available with **LCPL** will be settled at the end of the quarter in which trading account is made inactive.



are sold by **LCPL**.

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

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Any client who have not traded for last 365 days or such period as may be decided in any segment of any exchange with **LCPL** then that client code will be made inactive and will be kept in dormant mode. If client wishes to activate his account then he may have to complete such documentations as decided by **LCPL** from time to time. After the client is made in active funds and securities lying in trading account if any available with **LCPL** will be settled at the end of the quarter in which trading account is made inactive.

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TARIFF SHEET

BROKERAGE DETAILS						
Segment	Sq. Off (%)		Sq. Off Min. (Rs.)		Delivery (%)	Delivery Min. (Rs.)
	One Side	Reversal Side	One Side	Reversal Side		
BSE CASH						
BSE F&O						
NSE CASH						
NSE F&O						
MINIMUM BROKERAGE	Rs. _____ /- Per contract note.					
Option Rate Rs.	Rs. _____ /- Per Lot / Per contract.					

OTHER LEVIES AS PREVALENT FROM TIME TO TIME (To be charged on actual basis in additional to Brokerage) :

Tariff charges \ Levies			
Transaction Charges (Exchange)	As Applicable	Any Other Levies	As Applicable
Stamp Duty	As Applicable	Delayed Payment Charges	2.5% per month
SEBI Fees	As Applicable	Auction Charges	As Applicable
Securities Transaction Tax (STT)	As Applicable	Bank Charges Towards Returned/Bounced Cheques	As Applicable
GST	As Applicable	Exchange Penalties	At Actuals

Note: The above charges/levies are subject to change as per Government authorities/ SEBI/ Exchange/ Clearing

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Signature

DECLARATION BY FIRM (SOLE PROP.)

MANDATORY

Date :

Client Name: _____

Address : _____

To,

Lark Consultancy Pvt. Ltd.

Moti Sagar Building, Junction of Zaver Road &
Ganesh Gawade Road, Mulund (W), Mumbai - 400 080

Dear Sirs,

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

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

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

²⁸/₅₃

Signature (Please sign with Stamp of the firm)

DECLARATION T BE GIVEN BY PARTNERSHIP FIRM

MANDATORY

Date :

Client Name: _____

Address : _____

To,

Lark Consultancy Pvt. Ltd.

Moti Sagar Building, Junction of Zaver Road &
Ganesh Gawade Road, Mulund (W), Mumbai - 400 080

Dear Sirs,

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

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations. I authorize you to recognize the beneficiary account no.: _____ with depository _____ opened in the name the undersigned who is the sole proprietor of the firm.

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

²⁹/₅₃

Signature (Please sign with Stamp of the firm)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS/TRUSTEES OF _____ LTD. / TRUST AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY OF _____ 2023 AT _____ A.M./P.M.

MANDATORY
(ON LETTERHEAD)

"RESOLVED THAT the Company / Trust be registered as Client with **Lark Consultancy Pvt. Ltd.** Member of BSE Ltd. and National Stock Exchange of India Ltd (NSE), at Cash and Derivatives Segments, for the purpose of dealing in equities, derivatives, debentures, debits and other products and the said Member be and is hereby authorised to honour instructions oral or written, given on behalf of the Company / Trust by any of the following authorised signatories.

Sr.No.	Name	Designation	Specimen Signatures
1.			
2.			
3.			

Who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with / Through **Lark Consultancy Pvt. Ltd.**, on behalf of the Company / Trust.

RESOLVED FURTHER THAT Mr. _____ and / or Mr. _____ Directors / Trustees of the Company / Trust be here by authorised to sign execute and submit such application undertaking and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to be and hereby authorised to sign, and submit such applications undertaking and this resolution.

RESOLVED FURTHER THAT all the Directors would have authority to act on behalf of the Company and actions of any directors will be binding on the Company.

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of any one / two Directors of the Company and Company Secretary who shall sign the same in token of their presence."

Certified true copy

For ³⁰/₅₃ _____

Chairman / All Trustees

Date.: _____

HUF DECLARATION

To,
Lark Consultancy Pvt. Ltd.

Moti Sagar Building, Junction of Zaver Road & Ganesh Gawade Road, Mulund (W), Mumbai - 400 080

Dear Sir,

I hereby request you to open our trading account with you, for our HUF.

Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. _____

Sr.No.	NAME OF FAMILY MEMBERS	RELATIONS	DATE OF BIRTH
1.			
2.			
3.			
4.			
5.			
6.			

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false / misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,

³¹/₅₃ _____

Karta
(Affix Stamp of HUF)

To
LARK CONSULTANCY PVT. LTD.
Moti Sagar Buildingg,
Junction of Zaver Road & Ganesh Gaawade Road,
Mulund (West), Mumbai - 400 080.

MANDATORY

Sub: Declaration for Mobile Number and Email Id

Dear Sir,

I _____ having PAN: _____ do _____ hereby declare that Mobile number _____ & Email Id _____ provided in Know Your Client (KYC) form belongs to me or in the name of my family member**, my _____ (mention relationship) and said mobile number and email id does not belong to anyone else i.e., Relationship Manager, Branch Manager, Introducer, Sub-Broker (SB), Authorised Person (AP), any employee of AP or any employee of the Company.

In case of change in above mobile number and email id, I shall be informing to the Company by submitting duly filled- in Modification Form from time to time.

** Family Member in this regard would mean self, spouse, dependent children and dependent parents.

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Signature of the Applicant

Name of the Applicant

Note: In case Mobile Number and Email Id belongs to Family Member and Family member is already having account with the Company, kindly provide Annexure provided in KYC on page no.

MANDATORY

To
Lark Consultancy Private Limited
Moti Sagar, Junction of Ganesh Gawade road & zaver road,
Mulund west, Mumbai-400080

Sub : Common Mobile number / Email ID For Demat and Trading accounts. (Applicable for family members having account with Lark Consultancy Pvt Ltd.)

Dear Sir,

I, Mr/Mrs _____ would like to confirm that the Mobile number/ E-mail ID _____ is registered in my name. I am enclosing self attested copy of latest ID Proof or your information and record. I am your registered client having trading codeas _____ and demat account number _____

All these below clients also do not have any objection to the same, in consent they have also signed:

Sr.No.	Client Name	Trading Code	Demat A/c	Relation	Signature

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Signature of the Mobile / Email ID Holder

Dear Investors!!

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 organization 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.

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, your 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.

The clients are required to note that the below mentioned clauses are not Mandatory as per the Exchange/SEBI. The clients may revoke any or all the clauses of this document by communicating in writing and in such an event the broker reserves a right to terminate some or all the services permitted to the clients.

X ³⁴/₅₃ _____

Risk Assessment of Client in terms of PMLA 2002

						CSC (Client Special Category)	PEP (Politically Exposed Person)
--	--	--	--	--	--	-------------------------------------	--

At the time of account opening

Categorization of client would be changed only if there is change based on risk assessment of the client during his dealings with **Lark Consultancy Pvt. Ltd.**

For **Lark Consultancy Pvt. Ltd.**,

Director / Authorised Signatory.

Lark Consultancy Private LIMITED

Moti Sagar, Junction Of Ganesh Gawade Road & Zaver Road,
Mulund- West, Mumbai 400080
Tel.: 022 25911234

SEBI REG. NO. : INZ000212036

MANDATORY

A.Nomination Form

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

Lark Consultancy Pvt LTD. Moti Sagar, Junction Of Ganesh Gawade Road & Zaver Road, Mulund- West, Mumbai 400080		FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>														
		UCC CODE														
DATE						DP ID					CLIENT ID					
I/We wish to make a nomination. [As per details given below]																
Nomination Details																
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																
Nomination can be made upto three nominees in the account.			Details of 1st Nominee				Details of 2nd Nominee				Details of 3rd Nominee					
1	Name of the nominee(s) (Mr./Ms.)															
2	Share of each Nominee Equally	Equally	<input type="checkbox"/>													
		If not equally, please specify percentage	%				%				%					
Any odd lot after division shall be transferred to the first nominee mentioned in the form.																
3	Relationship With the Applicant (If Any)															
4	Address of Nominee(s)															
	City / Place:															
	State & Country:															
	Pin Code															
5	Mobile / Telephone No. of nominee(s) #															
6	Email ID of nominee(s) #															
7	Nominee Identification details # [Please tick any one of following and provide details of same]															
	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID															

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:			
8	Date of Birth {in case of minor nominee(s)}		
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}		
10	Address of Guardian(s) City / Place: State & Country:		
	Pin Code		
11	Mobile / Telephone No. of guardian(s) #		
12	Email ID of guardian(s) #		
13	Relationship of Guardian with nominee		
14	Guardian Identification details# [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		
Name(s) of holder(s)			Signature(s) of holder*
Sole / First Holder (Mr./Ms.)			35 / 53 _____
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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

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

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

The Trading Member shall provide acknowledgement of the nomination form to the account holder(S)

B. Declaration Form for opting out of nomination

To	Date <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td></tr></table>							D	D	M	M	Y	Y	Y
D	D	M	M	Y	Y	Y								
Trading Member/ Participant's Na														
Trading Member / Participant's Address														
UCC/DP ID														
Client ID (only for Demat account)														
Sole/First Holder Name														
Second Holder Name														
Third Holder Name														
I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my /our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court of other such competent authority, based on the value of assets held in the trading / demat account.														
Name and Signature of Holder (s)*														
1. ³⁶ / ₄₇ _____	2. _____	3. _____												

Investor Charter - Stock Brokers (Inline with SEBI Advisory)

VISION

To be an Institution fully focused and committed to set ethical standards in every level of operation. Compliance and transparency be the guiding post. End result shall be facilitating ultimate aim of every Investor. Wealth Creation : Legally and Ethically !

MISSION

- i) To strive to be the best destination for Common Investor.
- ii) To offer quality and dependable service through innovation, capacity enhancement and use of cutting-edge technology.
- iii) To win and retain trust of Investors.
- iv) To be known as compliance friendly organization.
- v) To keep Common Investor as Centre of Gravity ..Protect their Interest.

Investor Charter - Stock Brokers (Inline with SEBI Advisory)

Services provided to Investors

- Execution of Orders for and on behalf of Clients.
- Issuance of Contract Notes.
- Issuance of Intimations regarding Margin Call.
- Facilitate Execution of Electronic Delivery Instruction Slips (EDIS).
- Settlement of Client's Funds.
- Quarterly Settlement of Funds, for Clients who have opted for Running Account Option of Settlement.
- Issue Retention Statement whenever Client Funds are retained as per SEBI Guidelines.
- Intimation of Securities held in Client Unpaid Securities Pledgee Account (CUPSA) Account.
- Risk Management Systems to mitigate operational and market risk.
- Facilitate Client profile changes in the system as instructed by the Client.
- Information sharing with the Client w.r.t Exchange circulars.
- Redressal of Investor's grievances.

Rights of Investors

- **Ask** for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- **Receive** complete information about the risks, obligations, and costs of any investment before investing.
- **Receive** recommendations consistent with your financial needs and investment objectives.
- **Receive** a copy of all completed account forms and agreements.
- **Receive** account statements that are accurate and understandable.
- **Understand** the terms and conditions of transactions you undertake.
- **Access** your funds in a timely manner and receive information about any restrictions or limitations on access.
- **Receive** complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- **Discuss** your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

Investor Charter - Stock Brokers (Inline with SEBI Advisory)**Timelines for various activities**

S.No.	Activities	Expected Timelines
1.	Client on Boarding	Immediate, but not later than one week.
2.	KYC entered into KRA System and CKYCR	10 days of account opening.
3.	Allocation of Unique Client Code	Before Trading
4.	Copy of duly completed Client Registration Documents to clients	Within 7 days from the date of upload of Unique Client Code to the Exchange by the Trading Member
5.	Order execution	Immediate on receipt of order, but not later than the same day.
6.	Collection of upfront margin from client	Before initiation of Trade
7.	Issuance of intimations regarding other margin due payments.	At the end of the T day
8.	Issuance of Contract Notes	24 hours of execution of trades
9.	Settlement of Client funds	If consent not given for RAS - within 24 hours of Pay-out. On 6th day of the subsequent month if 30 days / 90 days for Running Account Settlement (RAS) as per the preference of client.
10.	Issuance of Retention Funds Statement	5 days from the date of settlement.
11.	Issuance of Annual Global Statement	30 days from the end of the financial year.
12.	Investor grievances redressal	30 days from the receipt of the complaint.

Investor Charter - Stock Brokers - (Inline with SEBI Advisory)

Dos and DON'Ts for Investors

Dos	DON'Ts
1. Read all documents and conditions before signing the account opening form.	1. Do not deal with unregistered stock broker.
2. Receive a copy of KYC, copy of account opening documents and Unique Client Code	2. Do not forget to strike off blanks in your account opening and KYC.
3. Read the product/ operational framework / timelines related to various Trading and Clearing & Settlement processes.	3. Do not submit an incomplete account opening and KYC form
4. Receive all information about brokerage, fees and other charges levied.	4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system.
5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions.	5. Do not transfer funds, for the purposes of trading to anyone other than a stockbroker. No payment should be made in name of employee of stock broker.
6. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of Powers being granted.	6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchanges and raise a concern, if discrepancy is observed.
7. Receive contract Notes for Trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades.	7. Do not opt for Electronic Contracts Notes, if not familiar with computers.
8. Receive funds and securities on time within 24 hours from pay-out.	8. Do not share trading Password.
9. Verify details of Trades, Contract Notes and Statement of Account and approach relevant authority for any discrepancies. Verify Trade details on the Exchange websites from the trade verification facility provided by the Exchanges.	9. Do not fall prey to fixed/ guaranteed returns schemes.
10. Receive statement of Accounts periodically. If opted for Running Account periodically. If has to be settled by the Stock Broker as per the option given by the Client (30 to 90 days).	10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.
11. In case of any grievances, approach Stock Broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.	11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.

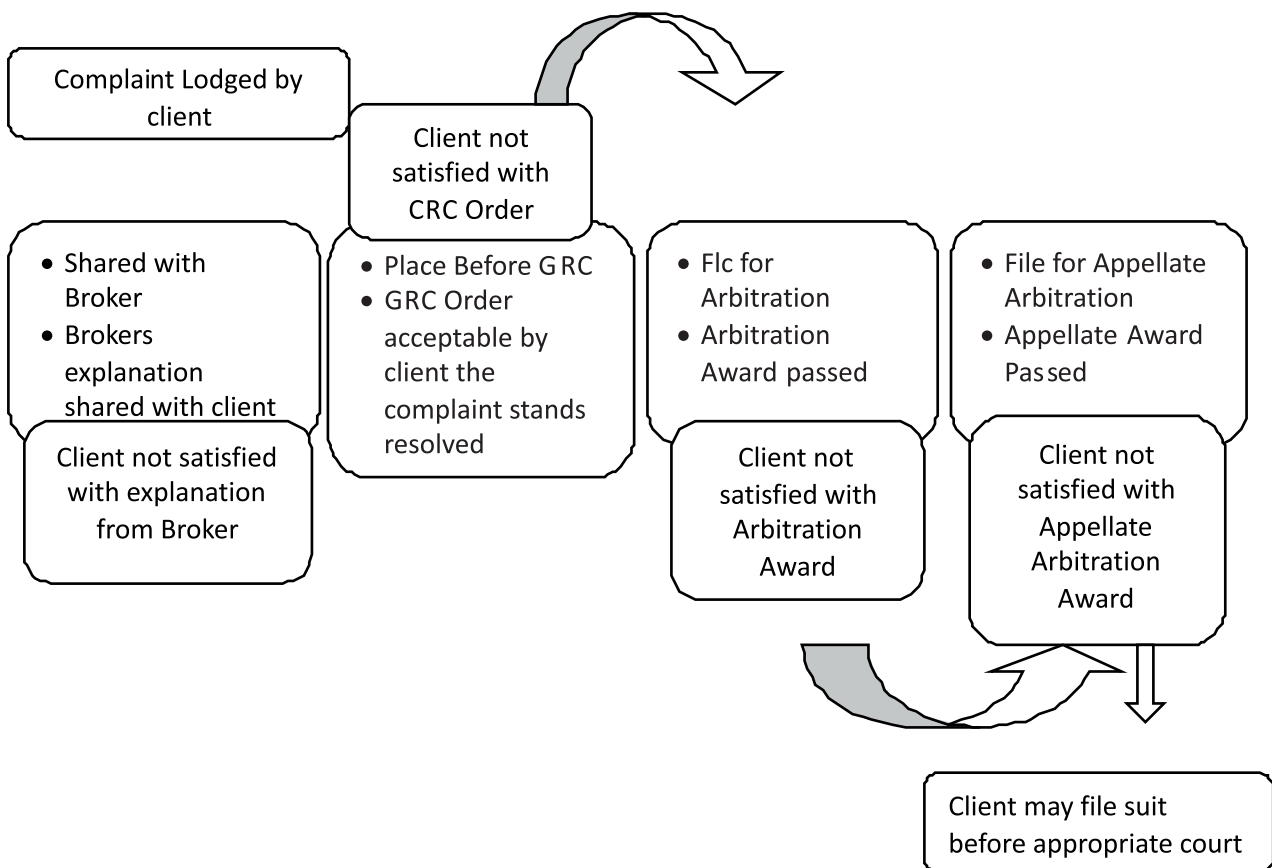
Investor Charter - Stock Brokers - (Inline with SEBI Advisory)

Grievance Redressal Mechanism

Level 1 - Approach the Stock Broker at the designated Investor Grievances e-mail ID of the Stock Broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

Level 2 - Approach the Stock Exchange using the grievance redressal mechanism mentioned at the website of the respective Exchange.

Complaints Resolution Process at Stock Exchange explained graphically:



Investor Charter - Stock Brokers (Inline with SEBI Advisory)

Timelines for complaint resolution process at Stock Exchanges against stock brokers.

S.No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day)
2.	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days
3.	Registration of the complaint and forwarding to the stock broker.	C + 8 Working days i.e. T day
4.	Amicable Resolution	T + 15 Working Days
5.	Refer to Grievance Redressal Committee (GRC) in case of no amicable resolution.	T + 16 Working Days
6.	Complete resolution process post GRC	T + 30 Working Days
7.	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days
8.	Implementation of GRC order	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration.	Within 7 days from receipt of order.
10.	If intention from stock broker is received and the GRC order amount is upto Rs. 20 Lakhs.	Investor is eligible for interim relief from Investor Protection Fund (IPF). The interim relief will be 50% of the GRC order or Rs. 2 Lakh whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation.
12.	In case the stock broker does not file for arbitration within 6 months.	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM).

Default of TM/CM.

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

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

Investor Charter - Stock Brokers (Inline with SEBI Advisory)

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

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

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

CONSENT TO USE AADHAAR AS PROOF OF ADDRESS (POA) AND PROOF OF IDENTITY (PI)

Date:

Client Name / UCC:

Address:

To,
Lrk Consultancy Pvt. Ltd.
Moti Sagar, Junction of Zaver and
Ganesh Gawde Road, Mulund (West)
Mumbai - 400 080.

Dear Sir

Sub: Aadhar Informed Consent

1. I voluntarily offer adhaar as Officially Valid Document in KYC process with you
2. I am informed by you that there are alternative options of KYC and for establishing proof of address and proof of identity.
3. I authorize you to use adhar for KYC and periodic KYC process as per the PML Act 2002 and rules there under and as per SEBI guideline, or for establishing my identity, carrying out my identification, offline verification and such other verification under relevant law, exiting and future.
4. I authorized you collecting, sharing, storing, preserving Information, maintaining records and using the information/ verification / identification of records (a) for informed purposes as above (b) as well as for regulatory and legal reporting and filing and/or (c) where required under applicable law.
5. I authorize you to use Aadhar for enabling my account for Aadhaar enabled Payment Services (AEPS);
6. I authorize you producing records and logs of consent, information or of authentication, identification, verification etc. for evidentiary purpose, including before a court of law, my authority or in arbitration.
7. I understand that the Aadhar number and core biometrics will not be stored/shared except as per law.
8. I will not hold you responsible in the event this document is not found to be in order or in case of any incorrect information provided by me.
9. Above consent and purpose of collecting information has been explained to me in my local language.

Signature :

⁴²/₅₃ _____

VOLUNTARY CLAUSES

VOLUNTARY

The client and the Stock Broker, in addition (the agreement between Stock Broker and Client) to ensure smooth functioning of the operations, also agree to the terms and conditions stated herein below:

1. The Client has agreed to sign, execute and be bound by all forms, agreements, documents as may be considered necessary for opening the account with the Stock broker.
2. The client has the required legal capacity to, and is authorized to, enter into this agreement and is capable of performing her/its obligations and undertakings here under.
3. Excess Contracts: The client agrees that he shall not acting alone or in concert with others, directly or indirectly, hold and control excess number of permitted futures/options contracts and shares as fixed from time to time by the said Exchanges.
4. Long or short position: the client agrees that he shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly that it shall have exercised in excess of the number of permitted futures/options contracts and shares as fixed from time to time by the said Exchanges.
5. Lien: The client agrees that all monies, securities or other property that may be held by the stockbroker 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 under this agreement.
6. The client authorizes the stock broker to use his discretion to buy, sell or close out any part or all the contracts held in the client's account with the stock broker for the protection of the stock broker, in case of any default by the client. The client agrees to reimburse any or all such incidental expenses incurred by the stock broker.
7. Provisions in case of Default (for F&O segment / Currency Derivatives segment only): In the event of failure of the Client to fulfill his obligations to the Stock Broker pertaining to F&O Segment, Currency Derivatives Segment or the Clearing House/Clearing Corporation(s), the Client's position may be closed out and the money, if any, of the Client available with the Stock Broker pertaining to Derivatives Segment, Currency Derivatives Segment or the Clearing House/Clearing Corporation(s) may be adjusted against the Client's liabilities / obligations.
8. The client hereby agrees and understands that in case of any non-compliance and or default by the client such as cheque bouncing, F&O/Currency Derivatives short margin, price rigging or for any other matters as may be decided by stock broker from time to time, without prejudice to the stock broker's other rights, the stock broker may levy charges/penalty (ies) on the client and debit such charges/ penalty in the client's account.
9. Force Majeure: The stock broker and/or its agents will not be liable for losses/costs damages caused directly or indirectly from:
 - a) any action, omission, suspension of trading, decision on ruling of any Exchange or Regulatory, Governmental or other body or of any other person which is beyond the Stock Broker's control; or
 - b) by acts of God including earth quakes, flood, accident; or
 - c) any commotion, insurrection, embargo, industrial dispute computer, communication, telephone or system failure, war, power failure, equipment or software malfunction, strikes, etc. or
 - d) any other conditions, beyond the control of the Stock Broker.The above Force Majeure events do not exempt the Client to fulfill the obligations in his account with the Stock Broker.
10. The stock broker and client agree 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 order to be carried forward or extended for the day he shall communicate the same to the stock broker.
11. The stock broker shall not take any responsibility for unexecuted orders. All online Best-Market Orders would not be presumed as executed unless confirmed as a trade by the respective exchange trading system.
12. The client agrees that any notice or communication served on the client under this agreement shall be valid and binding on him and shall be deemed to be duly served, if conveyed in writing through letter, fax or telegram or by personal delivery duly acknowledged by the other party/courier at the registered post office address of the client mentioned here in above or the last known address, or if electronically delivered at any one of the email IDs intimated by the client or created by the stock broker at the request of the client, or by publishing the same in the prominent daily news paper where the registered/last known business/residential address of the Client is situated or if conveyed over telephone / fax on the last known number or on the recording machine of such number or if a notice is passed at the door of the registered address or the last known address of the client.
13. The Client agrees that any notice or communication or correspondence served on the Client under this shall

be valid and binding on him and shall be deemed to be duly served, if conveyed in writing through letter, fax or telegram or by personal delivery or any other mode duly acknowledged by the other party/ courier at the registered post to the address of the Client mentioned in KYC form or the last known address, or if electronically delivered date mail mentioned in KYC form or the last known email or if conveyed over telephone/fax on the number mentioned in KYC form or last known number. The Client here by agree to in form to the Stock broker in case there has been any change in correspondence, residential address, email id, mobile number and/or any other information from time to time. Other wise, last information available with the Stock broker shall be deemed to be correct and updated communication details of the Client.

14. The stock broker may from time to time impose and vary limits on the orders which the client can place through IT ISBL's Trading System (including exposure limits, turnover limits, limits as to the number and/or value and/or kind of securities in respect of which order can be placed. The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker, and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker Internet Trading System on account of any such variation, reduction or imposition of limits. The client understands and agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place or order or trade in securities through the stock broker.
15. All payment for securities bought shall be made out by way of cheque/demand draft/fund transfer in favour of **Lark Consultancy Pvt. Ltd.** At the time of settlement of dues of the client, the stock broker shall draw an account payee cheque/fund transfer in favour of the client which may be payable to a specified bank account of the client.
16. For the purpose of this agreement, the term 'Dues of Client' shall include the amount of monies payable by the Client including, but not limited to the purchase price of the Securities, Brokerage, Margin money, Service Tax, Turnover Tax, Auction Debit and Charges, Service Charge, Securities Transaction Tax and other amounts agreed to and payable by the Client to the Stock Broker.
17. The client agrees to keep the member updated on his financial status and provide such details as regards financial position, assets, liabilities etc., including net worth details, etc., once in a year and also as and when required by the stock broker. The client here by permits the Stock Broker to provide such information any time to any statutory / regulatory / authorities as may be required.
18. The client here by agrees to ensure that before selling any shares, he has these same in hand. Any loss arising of auction/close out on account of shares not cleared in stock broker's 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.
19. The client here by authorizes the stock broker to transfer shares, lying in the Stock Broker's 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 to wards inter settlement from the stock broker's pool account for pay in purposes, he shall inform the stock broker in writing 24 hours before pay in 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.
20. Voice recording of Client conversation: The Client is aware that the stock broker may Voice record the conversation between the Client or the client's representative and the stock broker, either personally or over the telephone, and the client hereby specifically permits the stock broker to do so. Such electronic recordings may be relied upon by the stock broker as and when required to resolve disputes in connection with the trading transactions.
21. For all internal positions between two or more clients of the stock broker, the client accepts the internal policy and guidelines as framed by the management of the company from time to time.
22. The stock broker shall maintain all the details of the clients as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the client confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
23. Severance: In case any one or more of the provisions contained in the agreement becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained here in shall not in any way be affected or impaired there to.

44/
53

Signature of the Applicant

Name of the Applicant



RUNNING ACCOUNT AUTHORISATION

To
LARK CONSULTANCY PVT. LTD.
Moti Sagar Buildingg,
Junction of Zaver Road & Ganesh Gaawade Road,
Mulund (West), Mumbai - 400 080.

I/We have been dealing through you as a client, here by authorize you to effect release of funds due to me/ us in our account arising out of the transaction executed by me/us and have been settling the same through you on a running account basis instead of on a settlement-to-settlement basis.

No amount by way of interest or otherwise shall be payable by you to me/us in respect of the funds so held by you on a running account basis. The funds held by you on running basis and due to me, shall be released to me as and when I requestforthereleaseofthesame.

However, my/our preference for compulsory periodic settlement of funds is as follows:

<input type="checkbox"/>	Monthly
<input type="checkbox"/>	Quarterly

(if no check box is selected, settlement will be done on Quarterly basis)

I/We request you to maintain running balance in my/our account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) in any segment(s) of any or all the Exchange(s) Clearing corporations and to meet margin obligations calculated in the manner specified by the Exchanges. This is to facilitate ease of operations and up from trequirement of margin for trade.

I/We agree to settle and / or request you to settle of my fund account as stated above, except collaterals/ margin in form of and /or Fixed Deposit Receipt.

In case, I/We have an outstanding obligation on the settlement date, a part from margin liability you may retain additional margins (maximum up to 125% or as permissible as per regulatory norms of margin requirement on the day of settlement) to take care of any margin obligation in all the segment s across exchanges.

I/We further agree and confirm that the powers and authorities conferred by this authority shall be inforce/ continuous and the same can be revoked by me/us any time by giving adequate intimation in writing to Lark Consultancy Private Limited.

The authorization shall be signed by me/us only and not by any Power of Attorney Holder or by any autho- rized person.

Yours faithfully,

⁴⁵/₅₃

Signature of the Applicant

Name of the Applicant

UCC No.

The client are required to note that the above mentioned clauses are not Mandatory as per the Exchage/ SEBI any requirements. The client may revoke any or all the clauses of this document by communicating in writing and in such as event the broker reserves a right to terminated some or all the services premitted to the clients

Authorisation for Deposit of Shares/ Securities as Collateral

To
Lark Consultancy Private Limited
Moti Sagar, Junction of Ganesh Gawade road &
zaver road, Mulund west Mumbai-400080

Sub: Authorisation for deposit of Shares/Securities under margins pledge / Repledge mechanism with Exchange(s)/Clearing Corporation(s)/ Clearing Member(s) for any/all segment(s) towards Margin Requirement

Dear Sir/Madam,

In respect of the Securities owned by me/us, I/we declare and assure that the Said Securities (shall mean all the securities lying in my/our Depository Account No.(hereinafter referred to as "Account") with the custodian/depository participant under margins pledg / Repledge mechanism and shall include all securities given in addition, substitution or replacement of the securities in the said Account) are given by me/us to the Clearing Member/Trading Member for deposit of the same with Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) as collateral for which I/ we hereby authorise you to deposit the said Share(s)! under pledge / repledge mechanism Securities with Exchange(s)/Clearing Corporation(s)/Clearing Member(s) for any / all Segment (s) as collateral.

I/We hereby confirm that:

- i) the Said Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- ii) the Said Securities will be subject to the creation of pledge under pledge / repledge mechanism in favour of Exchange(s)/Clearing Corporation(s)! Clearing Member(s) for any / all Segment(s) and under margins Repledge mechanism further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that my/our said Securities to be given in future as security would likewise be unencumbered, absolute and disposable property.
- iii) the Trading member/Clearing Member is authorized to do all such acts and things, sign documents and pay and incur any applicable cost, debts and expenses as may be necessary under margins pledg / Repledge mechanism and the same shall be subject to terms and conditions as contained therein.
- iv) the Said Securities shall be subject to the first priority and under margins pledg / Repledge mechanism lien in favour of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) to secure obligations and that the rights or interests with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Exchange(s)/ Clearing Corporation(s) / Clearing Member(s) for any/all Segment (s) in respect of the Said Securities.
- v) Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) in which said securities are pledged, may invoke the pledge without any reference to me/us or my/our permission and upon receipt of the Said Securities may utilize the proceeds in meeting obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against the Clearing Member and me/us.
- vi) I/We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities from Exchange(s) / Clearing Corporation(s)/ Clearing Member (s) for any / all Segment (s)

⁴⁶/₅₃

Signature of the Applicant

Name of the Applicant

LETTER OF AUTHORITY LETTER / UNDERTATING

To
LARK CONSULTANCY PVT. LTD.
Moti Sagar Buildingg,
Junction of Zaver Road & Ganesh Gaawade Road,
Mulund (West), Mumbai - 400 080.

Dear Sir / Madam,

1. I here by authorise you not to provide me Order Confirmation / Modification Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I shall get the required details from contract notes issued by you.
2. I request you to consider my telephonic instructions for order placing / order modification/ order cancellation as a written instruction and give me all the confirmation on telephone unless instructed other wise in writing. I am getting required details from contracts issued by you.
3. I here by request you to issue me order wise contractnote in NSE and BSE cash segment as and when required. Please also provide me details as annexure.
4. Adjustment in different segments & Exchanges

I hereby inform you that I wish to trade with Lark Consultancy Private Limited on the National Stock Exchange of India Limited (NSE) in cash and Futures & Options Segment & BSE Limited (BSE) in cash, Futures & Options Segment. I here by request you and here by authorize you any surplus funds in any of my account/(s) maintained with you against the outstanding dues payable if any, by me in any of my account/(s). You have right of lien on the credit balance in any of my accounts. Any entries passed by you in accordance with this authorization shall be binding on me.

Thanking you,

Yours faithfully,

47/53

Signature of the Applicant

Name of the Applicant

The clients are required to note that the below mentioned clauses are not Mandatory as per the Exchange/ SEBI requirements. The clients may revoke any or all the clauses of this document by communicating in writing and in such an event the broker reserves a right to terminate some or all the services permitted to the clients.

1. We hereby declare that in addition to trading on behalf of client, Stock Broker also undertake / do proprietary / self trading on our "own account".
2. In case of Sale transactions, the securities shall be delivered by the Client to the Stock Broker before the pay-in, under block Mechanism.
3. All debits / charges incurred by the Stock Broker due to bad / short / delayed deliveries made by the Client shall be fully recovered by the Stock Broker from me/us.
4. The Stock Broker reserves the right to make such changes to this Agreement as may be considered necessary from time to time. Changes by the Stock Exchanges / other Regulators shall be with immediate effect, other changes shall be effective from the time the Client is notified thereof and authorised to that effect unless otherwise required by the Rules, Regulations & Bye-Laws of the Stock Exchange(s) or Rules & Regulations of SEBI.
5. The Client agrees to pay the member brokerage, commission fees, services tax, stamp duty, other taxes, levies, transaction expenses as applicable from time to time to the client account for transactions and the services that the receives from the member.
6. The Client shall deposit with the Stock Broker monies, securities under margins pledg / Re-pledge mechanism etc. and money in the running account of the Client with Stock Broker may be treated as margin received by the Stock Broker to meet margin The Client warrant that all or any securities deposited / transferred by him with the Stock Broker in respect or margin / deposit requirements or otherwise, are owned by him and that the title not be liable or responsible for non execution of orders through trading terminals / website or through any other mode due to the failure of any system or link or due to any other reason whatsoever. The Stock Broker also reserves the right of refusing to execute any particular transaction.
7. The Stock Broker shall not be responsible for delay or default in the performance of its obligations due to contingencies beyond his control, such as fire flood, civil commotion, earthquake, war, strikes, failure of the system, failure of the internet links or government / regulatory action, exchange or market rulings, suspension of trading.
8. Right of set off: The Stock Broker shall have the right to set off the balance of the Client with the Stock Broker in any account (s) in any Segment / exchange with respect to money and securities. All monies, securities or other property which the Stock Broker may hold on client's account shall be held subject to a general lien for the discharge of the Client's obligations to the Stock Broker.
9. The Client is responsible for all orders, including orders that may be execute without the required margin in the client's account. If the client's order is executed despite the shortfall in available margin, the Client shall whether or not the Stock Broker intimated such shortfall in margin to the Client instantaneously make up the shortfall either through delivery of shares in the event of sale or credit the required fund in the bank account via personal cheque, cashier's cheques or money order or account transfer or any other mode.
10. The client acknowledges that the Stock Broker shall not be liable to provide him with legal, tax investment or accounting advice or advice regarding the suitability or profitability of a security or advice regarding the suitability or profitability of a security or investment.
11. The Stock Broker shall send the trade confirmation to the client within 24 hours of the execution of the client's transaction, in the form of contract note or otherwise via mail,

e-mail, fax, courier, Registered A.D. oral communication or otherwise at the postal address, telephone / tax Nos. e-mail address intimated by the client to the Stock Broker. The Client understands that it is his /her / its responsibility to review the trade confirmations, the contract notes, the bills or statements of account immediately upon their receipt. Any error therein shall be communicated / reported in writing with

in twenty four hours of such intimation / confirmation by client. In all cases, the Stock Broker reserves the right to determine the validity of the client's objection to the transaction. The client agrees that the Stock Broker will not be responsible for the non- receipt of the trade confirmation due to any change in the correspondence address of the client not intimated to the Stock Broker in writing.

⁴⁹/₅₃

Signature

VOLUNTARY

DECLARATION TO BE SIGNED IF CLIENT IS CONNECTED TO ANY STOCK EXCHANGE

To
LARK CONSULTANCY PVT. LTD.
Moti Sagar Buildingg,
Junction of Zaver Road & Ganesh Gaawade Road,
Mulund (West), Mumbai - 400 080.

Dear Sir / Madam,

I hereby declare that I am a Member of the _____ (name of the stock exchange where client is a member) and in this regard pursuant to SEBI Circular SEBI/ MIRSD/CIR-06/2004 dated January 13, 2004 I here by confirm that

1. I have intimated the said Exchange of my intention to open a trading account with Lark Consultancy Pvt. Ltd. for the purposes for my proprietary trades (acknowledged copy of intimation letter is attached herewith).

Other than the above. I do here by declare that I am not in any capacity connected to any other recognized Stock Exchange.

I aslo hereby confirem that I am not an employee of any Trading Member or of a registered Authorised Person / Authhorised Person of any recognized Stock Exchange.

50/53

Signature of the Applicant

Name of the Applicant

VOLUNTARY

OR

DECLARATION TO BE SIGNED IF CLIENT IS CONNECTED TO ANY STOCK EXCHANGE

To
LARK CONSULTANCY PVT. LTD.
Moti Sagar Buildingg,
Junction of Zaver Road & Ganesh Gaawade Road,
Mulund (West), Mumbai - 400 080.

Dear Sir / Madam,

I hereby confirm that I am not a Member of any recognized Stock Exchange nor am I affiliated as a Authorised Person / Authorised Person or in any other apacity with any Member of any recognized Stock Exchange. I slao hereby confirm that I am not an employee of any Trading Member or of a registered Authorised Person / Authorised Person of nay recognized Stock Exchange.

51/53

Signature of the Applicant

Name of the Applicant

LETTER OF STANDING INSTRUCTIONS / UNDERSTANDING

I/We am/are aware that the below mentioned points are voluntary and I/We have an authority to set aside or revoke any of them whenever I/We want to, I /We am/are giving this authorization for my/our operational convenience.

To,
Lark Consultancy Pvt. Ltd.
Moti Sagar Building, Junction of Zaver Road &
Ganesh Gawade Road, Mulund (W), Mumbai - 400 080.

Respected Sir,

Sub.: Letter of Standing Instructions/Understanding.

I/We hereby will fully and unconditionally issue following standing instructions.

1. I/We are agreeable that the credit balance of funds be treated as margin for both cash and derivatives segment.
2. I/We am/are agreeable for transfer of credit balance in margin account/client account of cash segment towards adjustment of debit balance in margin account / client account of derivatives segment and vice versa.
3. I/We am/are agreeable for and authorize you to withhold funds pay-out towards all the applicable margins and debits.
4. As regards the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me/us in complying the same. I/We request you to consider my/our telephonic instructions for order placing / order modification / order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
5. I/We have noted that you trade on your PRO/OWN account.
6. I/We shall not indulge in any sub-broking activities nor issue bills / contracts / confirmation notes to anyone else for trades done in our client code.
7. All fines/ penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my accounts.
8. I/We give you consent for issuing me/us original contract Notes / Bills etc. to the Email ID provided in the Client Registration form as and when the system introduced.
9. I/We are aware of the fact that you share the brokerage levied on transactions executed for and my/our behalf with _____ who has introduced me/ us to you. / by your A.P.
10. I/We are aware of the fact that brokerage rate / terms as agreed between us, from time to time is exclusive of services Tax / Education Cess / Stamp Duty, transaction Charges, STT and such other levies at such rates as specified and revised from time to time by respective authorities.

⁵²/₅₃ _____
Signature of the Mobile / Email ID Holder



ACKNOWLEDGEMENT

Client Name : _____

Client Code : _____

To

LARK CONSULTANCY PVT. LTD.

Moti Sagar Buildingg,
Junction of Zaver Road & Ganesh Gaawade Road,
Mulund (West), Mumbai - 400 080.

Dear Sir,

This has reference to Know Your Client form containing basic information, additional information and other documents executed by me. I hereby acknowledge receipt and copies of following documents from you:

1. Copy of KYC
2. Copy of Trading Account related details.
3. Documents containing mandatory Rights & Obligations of stock broker, Authorised Person and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).
4. Risk Disclosure Documents.
5. Document detailing do's and dont's for trading on exchange, for the education of the investors
6. Policy and Procedures document.
7. Tariff Schedule.

I state that I have read and understood all above documents and these documents are binding upon me.

Thanking you.

⁵³/₅₃ _____

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