



ALACRITY SECURITIES LTD.

Faith of the Investors

† BSE ††† NSE ††† DERIVATIVES

Regd. Office :

101, Hari Darshan, B-Wing, Bhogilal Fadia Road,
Kandivali (W), Mumbai - 400 067.

Tel. : 2807 6537 / 3819 / 28089469

Fax : 2807 3967

E- mail.:alacritysec@gmail.com , For grievances : ig@alacritysec.com

Website : www.alacritysec.com

INDIVIDUAL / NON INDIVIDUAL Client Registration Form

Client Code	Client Name

Mandatory Documents

Sr. No.	Particulars of Document Page	Significance of documents	Page No.
1.	Application Form	Form for providing details of the individual client or non individual client to the member	3 - 7
2	Client – Broker Agreement – BSE	To finalize the terms & conditions and rights and liabilities under Broking Services between Broker and Direct Client	8 - 15
3	Client – Broker Agreement – NSE	To finalize the terms & conditions and rights and liabilities under Broking Services between Broker and Direct Client	16- 19
4	Risk Disclosure Document & Investors Rights Obligations	Document informing the client of the risk associated in dealing in Equities & Derivatives	20 – 24
5	Policies & Procedure	To make Client aware about various management policy	25 – 27
6	Brief Literature Regarding Anti Money Laundering	To make Client aware about various management policy	28 – 29


Non – Mandatory Documents

7	Letter of Authority	} Voluntary Documents for Operational Convince of Business.	30-31
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PROPRIETARY TRADE DECLARATION

In terms of circular no. SEBI/MRD/SE/CIR-42/2003 date 19 Nov 2003 issued by Securities and Exchange Board of India the broker member is obliged to disclosed to it's clients/constituents whether the member is trading in his own account or not. Accordingly we hereby inform you that depending upon the market conditions, the members, its directors or its associates do invest / trade in capital / derivatives segment. The same may please be noted.

I/We have fully understood the distinction and details regarding the Mandatory/Non-Mandatory and do hereby enter and sign the same and agree not to call into question the validity, enforce ability and applicability of any voluntary agreements(s)/ documents(s) or clauses within any voluntary/optional agreement(s) document(s) under any circumstances what so ever.

Signature of Client 

GENERAL INSTRUCTIONS

- | Please fill the form in Capital Letters
- | Please Counter sign on any overwriting / corrections or cancellations made in the form
- | Please do not keep the fields blank, Strike off whichever is not applicable
- | Please ensure that signature are done by the client at  marked places

DOCUMENTS REQUIRED FOR OPENING ACCOUNT AS INDIVIDUAL / CORPORATE

Self Attested Clear Copy of the following Documents

- A.** Latest Passport Size Photograph
- B.** PAN Card
- C..** Bank Statement / Pass Book & Cancelled Cheque Leaf
(Not more than two months old)
- D.** Depository Statement / Client Master issued by the Depository
- E.** Copy of Balancesheet for the last 2 financial years and ITR Acknowledgement
- F.** Any one of the following Document for Address Proof
 - ☞ Ration Card
 - ☞ Passport
 - ☞ Voter ID
 - ☞ Telephone Bill
 - ☞ Driving License
 - ☞ Electricity Bill
 - ☞ Flat Maintenance Bill

FOR PROPRIETORSHIP FIRM

- ☞ All documents as mentioned above **(From A TO D , F)** in the name of Proprietor
- ☞ Address proof in the name of the Proprietorship Firm
- ☞ Verification from the Bank, stating the account is in the name of Proprietorship firm & the name of its Proprietor
- ☞ Declaration on the letter head of the firm (Format enclosed on Page (34)
- ☞ Proprietorship stamp affixed wherever proprietor signs

FOR N R I

- ☞ All documents as mentioned above **(From A TO D , F)**
- ☞ Copy of Passport
- ☞ Copy of Permission / Approval issued by RBI
- ☞ Foreign Address Proof
- ☞ Certified true copy of POA issued along with Proof of Identity & Address of the Person to whom POA is issued

FOR PARTNERSHIP ACCOUNT

- ☞ All Documents as mentioned above **From (B to E)**
- ☞ Latest Photograph, Proof of Identity & Proof Address of the Authorised Partners
- ☞ Registered Partnership Deed
- ☞ Undertaking & Declaration to be signed by all partners (format on Page 35 & 36)

FOR CORPORATE ACCOUNT

- ☞ All Documents as mentioned above **From (B to E)**
- ☞ Certified true copy of Memorandum & Articles of Association
- ☞ Board resolution (Format on Page 37)
- ☞ Copy of Latest Share holding pattern including list of all those holding more than 5% in the Share Capital of the Company duly certified by the Company secretary/ MD / Whole Time Director. (Copy of Share Holding Pattern to be submitted every year)
- ☞ Latest photograph, Proof of Identity & Proof of Address of the Directors / Persons authorized to deal in securities.

FOR TRUST ACCOUNT

- ☞ All Documents as mentioned above **From (B to E)**
- ☞ Latest Photograph, Proof of Identity & Proof Address of the Authorised trustees
- ☞ Certified true copy of Trust deed
- ☞ Board Resolution (format on Page 37)

FOR HUF ACCOUNT

- ☞ All Documents as mentioned above **From (B to E)**
- ☞ Latest Photograph, Proof of Identity & Proof Address of the Karta
- ☞ Declaration to be signed by all Members of HUF (format on Page 38)

(Rubber stamp of the entity to be affixed wherever the signature is made)

ADDITIONAL DOCUMENTS REQUIRED FOR TRADING IN DERIVATIVES SEGMENT

- ☞ Copy of ITR acknowledgement / Copy of Annual Account / Net worth Certificate **OR**
- ☞ Bank A/C statement for last 6 months / Copy of Demat Holding Statement **OR**
- ☞ Latest Salary Slip & Form 16 in case of Salaried person

For Office Purpose

Unique Constituent Code	Original Document Verified By	Authorised by
In - Person Verification Done By	Designation	Date & Signature



ALACRITY SECURITIES LTD.

MEMBER : Bombay Stock Exchange Ltd. / National Stock Exchange of India Ltd.

BSE Clearing No. 6361 SEBI Regn. No. INB 010909837 / INF 010909837

NSE Clearing No.09098 SEBI Regn. No. INB 230909834 / INF 230909834

NSE F&O TM: IL&FS SEBI Regn.No INF 231133630

Add.: IL&FS House, Raheja Vihar, Chandivali, Andheri (E), Mumbai-400 072

Regd. Office : 101, Hari Darshan, B-Wing, Bhogilal Fadia Road, Kandivali (W), Mumbai - 400 067.

Tel. : 2807 6537 / 3819 /2808 9469 , Fax : 2807 3967 • E mail :alacritysec@gmail.com

(This information is the sole property of the Trading Member / Brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients)

In case of minor also Affix the Photograph of the Guardian



Please Sign across the Photograph

Client Information - For Individuals

Name of the Client	Surname		Name		Middle Name	
	Name as Appearing on Pancard, Income Tax data Base					
PAN NO.						
Unique Identification No.					Marital Status	
Date of Birth					Sex	MALE FEMALE
Residence Address						
	City		Pin Code		Country	
	State		Contact No.		Nationality	
	E-mail Id				Residential Status	
Occupational Details <i>(If Employed, Name of the Employer & if self Employed Name of the Establishment)</i>	EMPLOYED	SELF EMPLOYED	BUSINESS	PROFESSIONAL	HOUSEWIFE	OTHERS
	Employer / Establishment Name					
OFFICE Address						
	City		Pin Code			
	State		Country			
	Office Contact No.		Fax / Telex No.			
	E-mail Id					
Details of any action taken by SEBI / Stock exchange any other authority for violation of securities Laws / other Economic offence :						

For NRI Clients Foreign Address						
RBI / PIS Scheme Details						
Bank Details (through which transaction will generally be routed)	Bank A/c. No.			Bank Name		
	Branch & Bank Address			Account Type Savings / Current / NRI / Others		
	ISFC Code			MICR Code		
Depository Account Details (through which transaction will generally be routed)	DP Name & Address					
	Client ID BO ID			DP ID		
Financial Details (Income Range Per Annum)	Please Tick	<input type="checkbox"/> Below Rs. One Lakh	<input type="checkbox"/> Rs. 1 to 5 Lakhs	<input type="checkbox"/> Rs. 5 to 10 Lakhs	<input type="checkbox"/> Rs. 10 to 25 Lakhs	<input type="checkbox"/> Above 25 Lakhs
Investment / Trading Expedience	No Prior Experience	____ Years in Stocks	____ Years in Derivatives	____ Years in Other Investment related fields		
Trading Preference Stock exchange & Market Segments you Wish to Trade	BSE	Cash /Capital Segment	<input type="radio"/>	Futures & Options		<input type="radio"/>
	NSE	Cash /Capital Segment	<input type="radio"/>	Futures & Options		<input type="radio"/>
Whether Registered with Any other Broker Member (if Registered with Mutiple Members, Provide details of all)	Name of the Exchange	Client Code		Name of the Broker		
Reference (Name Address & Contact No. of Introducer)	Name					
	Address					
	PAN No.				Signature	
	Contact No.					

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

Signature of the Individual constituent		Place	
		Date	



ALACRITY SECURITIES LTD.

MEMBER : Bombay Stock Exchange Ltd. / National Stock Exchange of India Ltd.

BSE Clearing No. 6361 SEBI Regn. No. INB 010909837 / INF 010909837

NSE Clearing No.09098 SEBI Regn. No. INB 230909834 / INF 230909834

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Add.: IL&FS House, Raheja Vihar, Chandivali, Andheri (E), Mumbai-400 072

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(This information is the sole property of the Trading Member / Brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients)

Client Information For Non Individuals

Name of the Company / Firm			
PAN No.			
Registered Office Address			
	City		Pin Code
	State		Country
	Contact No.		Fax No.
		Web Site	
Address for Correspondence			
	City		Pin Code
	State		Country
	Contact No.		Fax No.
		Web Site	
Unique Identification No. (Where Obtained)		Date of Commencement of Business	
Nature of Business		Date of Incorporation / Formation	
Regn. No. (With ROC, SEBI or any Govt. Authority)			
Names of Promoters / Partners / Karta / Trustees and their Residential Address			Annexure A (on page7)
Names of Whole time Directors / Managing Partners / Trustees and their Residential Address			
Name and Designation of persons authorised to deal in Securities on behalf of the Company / Firm / Others and their Residential Address			
Details of any action taken by SEBI / Stock Exchange / any other authority against the Constituent or its partners / promoters / whole time Directors / Authorised persons in charge of dealing in securities Laws / other economic offences.			

Bank Details (through which transaction will generally be routed)	Bank A/c. No.		Bank Name	
	Branch & Bank Address			
	ISFC Code		MICR Code	

Depository Account Details (through which transaction will generally be routed)	DP Name & Address			
	Client ID BO ID		DP ID	

Financial Details /				
Net Worth				

Income Range Per Annum	Please Tick	<input type="checkbox"/> Below Rs. 5 Lakh	<input type="checkbox"/> Rs. 5 to 10 Lakhs	<input type="checkbox"/> Rs. 10 to 25 Lakhs	<input type="checkbox"/> Above 25 Lakhs
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Investment / Trading Experience		No Prior Experience	____ Years in Stocks	____ Years in Derivatives	____ Years in Other Investment related fields	
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Trading Preference <i>Stock exchange & Market Segments you Wish to Trade</i>	BSE	Cash /Capital Segment	<input type="radio"/>	Futures & Options	<input type="radio"/>
	NSE	Cash /Capital Segment	<input type="radio"/>	Futures & Options	<input type="radio"/>

Whether Registered with Any other Broker Member (if Registered with Multiple Members, Provide details of all)	Name of the Exchange	Client Code	Name of the Broker

Reference (Name Address & Contact No. of Introducer)	Name			
	Address			
	PAN No.			Signature
	Contact No.			

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 charges 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.

Authorised Signatory with Company Seal	<input type="radio"/>	Place	
		Date	

Annexure - A**Names of Promoters / Partners / Trustees / Karta along with their Residential Address & Photographs**

Name		Please Affix Passport size Photograph and sign across
Address		
Designation		
Name		Please Affix Passport size Photograph and sign across
Address		
Designation		

Names of Promoters / Partners / Trustees / Karta along with their Residential Address & Photographs

Name		Please Affix Passport size Photograph and sign across
Address		
Name		Please Affix Passport size Photograph and sign across
Address		

Names and Designation of persons Authorised to deal in Securities on behalf of the company / firm / others and their residential Address along with Photographs

Name		Please Affix Passport size Photograph and sign across
Address		
Designation		
Name		Please Affix Passport size Photograph and sign across
Address		
Designation		

Please use additional sheet for each category if required

AGREEMENT BETWEEN STOCK BROKER AND CLIENT - BSE

This agreement is made and executed at this day of 20 between **ALACRITY SECURITIES LTD.**, a body corporate, incorporated under the provisions of the companies Act, 1956. being a member of the Bombay Stock Exchange Limited (hereinafter called 'the Exchange'), and having its registered office at 101, Hari Darshan, B-Wing, Bhogilal Fadia Road, Kandivali (W), Mumbai - 400 067. (hereinafter called "the stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/its successors, as the case may be, of the one part; **AND**

Mr/Ms/ Ms.....
an individual/ a sole proprietary concern/a partnership firm / HUF / a body corporate or any other legal entity registered / incorporated, under the provisions of the Indian Partnership Act 1932 / the Companies Act. 1956 having his / her residence / registered office at.....



.....
(hereinafter called 'the client') which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his / her heirs, executors, administrators and legal representatives the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives / its successor, as the case may be, of the other Part;

Witnesseth:

Whereas the stock broker is registered as the stock broker of the Exchange with **SEBI Registration No. INB 010909837** in the Capital Market Segment and **SEBI Registration No INF 010909837** for Futures & Options / Derivatives Segment

Whereas the client is desirous of investing /trading in those securities / contracts / other instruments admitted to dealing on the Exchange as defined in the Rules, Bye-laws and Regulation of the exchange and circulars issued thereunder from time to time.

Whereas the client has satisfied 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.

Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and Whereas the stock broker has taken steps and 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.

WHEREAS the stock broker and the client agree to be bound by all the Rules. Bye-laws and Regulations of the Exchange and circulars issued thereunder and Rule's and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms & conditions,"

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker at the time of opening of the account or at any time thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the Significance of the said document. The client agrees that:
 - a. He had read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his investment decisions and trades.

- c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client choose to trade.
 - d. He is liable to pay applicable initial margins, withholding margins special margins or such other margin. As are considered necessary by the stock broker or the Exchange or as may he directed by SEBI from time to time as applicable to the segment(s) in which the " client trades". The stock broker is permitted in its sole and absolute discretion to collect additional margins(even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e. Payment of margins by client does not necessary imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/ require.)
3. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the client account, transactions and to the services that stock broker renders to the Client The Stock broker agrees that it shall not charge brokerage., more than the maximum brokerage Permissible as per the rules, regulations and bye-laws of the relevant stock exchange / SEBI.
 4. The client s agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
 5. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amount. Outstanding debts. Etc, and adjust the proceeds of such liquidation / close out. If any, against the client's liabilities / obligations. Any and all losses and financial charge on account of such liquidation/ closing-out shall be charged to and borne by the client.
 6. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself /it self or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars / guidelines/ Exchanges Rules / Regulations / Bye-laws and circulars.
 7. The client agrees to immediately furnish information to the stock broker in writing. If any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or If any litigation which may have material bearing on his capacity has been filed against him.
 8. The stock broker agrees to inform the client and keep him apprised about trading/settlement cycles, delivery / payment schedules, any change herein form 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.
 9. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall entitled to any surplus which may result there from.
 10. The Stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transaction routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc, in respect of shares and security delivered / to be delivered of received/to be received by the client.
 11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable. "Good & bad delivery norms' even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
 12. 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 it may have had transaction in securities.
 13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
 14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
 15. Information about default in payment/ delivery and related aspects by a client shall be brought to the notice of the relevant stock ' exchange(s). 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 to the relevant stock exchange(s).

16. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where pay-outs have been declared during the quarter.
 17. The stock broker and the client agree to abide by any award passed by the ombudsman under the SEBI (Ombudsman) Regulations, 2003.
 18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Bye-laws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
 19. The instructions issued by an authorized representative, if only, of the clients shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
 20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
 21. This agreement shall forthwith terminate; 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 issued by the Board is cancelled.
 22. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination to this agreement shall continue to subsist and vest in / be binding' on the respective parties or his / its respective heirs, executors, administrator, legal representatives or successors, as the case may be.
 23. In addition to the specific rights set out in this Agreement, 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 Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
 24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder.
 25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and rules Regulations and Bye laws of relevant stock exchange that may be in force from time to time,
 26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration' form or any other information pertaining to the client in confidence and that it 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 its his client to any person or authority with the express permission of the client.'
- This agreement can be altered, amended and / or modified by the parties mutually in writing without derogating from the contents of this Agreement, Provided however, if the rights and obligations of the parties hereto are altered by virtue of changes in Rules and Regulation of SEBI or Bye-laws. Rules and Regulations of the relevant stock exchange, such change shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

THE BELOW MENTIONED CLAUSES OF MEMBER-CLIENT AGREEMENT APPLICABLE TO CLIENTS AVAILING INTERNET TRADING FACILITY FOR TRADING ON BSE. THE CLIENTS NOT AVAILING THIS FACILITY MAY STRIKE THIS DOCUMENT.

The Stock Broker offers and/or proposes to offer the Internet based Trading through Order Routing System (ITORS) Service to its clients; and the Client desires to avail of the Stock Broker's ITORS service for purchasing, selling or otherwise dealing in securities.

With Respect to ITORS Services, It is Hereby Agreed Between the Stock Broker and Client as follows

1. Definitions:

1.1 In this Agreement (including the Recitals above), unless the context otherwise requires the following words shall have the following meaning :-

- (i) "**the Exchange**" means the Bombay Stock Exchange Ltd., Mumbai and includes a segment of the Exchange.
- (ii) "**Exchange Provision**" means Rules, Bye-laws, Regulations, Business Requirement, Specifications, handbooks, notices, circulars and resolutions of the Exchange or any segment of the Exchange in force from time to time and includes the Minimum Requirements Handbook for ITORS prescribed by the Exchange, as amended from time to time.

- (iii) **"ITORS"** means Internet based Trading through Order Routing System, being a system approved by the Exchange for enabling clients to route their orders to their Trading Member/s over the internet.
- (iv) **"ITORS Account Application"** means the application submitted by the Client to the Member to permit the Client to avail of Member's ITORS Service.
- (v) **"ITORS Service"** or **"Service"** means the service offered by Member to its clients through ITORS whereunder the clients can route their orders for purchase, sale and other dealings in securities through Member's ITORS System.
- (vi) **"Trading Member's ITORS System"** or **"Trading Member's ITORS WebSite"** means the web site hosted by the Trading Member on the internet through which Member offers the ITORS Service and includes the hardware and software used for hosting and supporting the WebSite.
- (vii) **"Password"** means an alphanumeric code used by the Client to validate his/her username and accesses the Service.
- (viii) **"SEBI"** means the Securities & Exchange Board of India.
- (ix) **"Username"** means an alphanumeric login identification used by the Client for accessing the Services.

- 1.2** In this Agreement, headings are used for convenience and ease of reference only and shall not affect the construction or interpretation of any provision of this Agreement.
- 1.3** In this Agreement, unless the context otherwise requires, reference to the singular includes a reference to the plural and vice-versa, and reference to any gender includes a reference to all other genders.
- 1.4** In this Agreement, unless the context otherwise requires, references to Recitals and Clauses shall be deemed to be a reference to the recitals and clauses of this Agreement.
- 1.5** References to any enactment are to be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order or other provision made under it.

2. AGREEMENT TO PROVIDE AND AVAIL OF THE ITORS SERVICE:

The Member agrees to provide Member's ITORS Service to the Client, and the Client agrees to avail of Member's ITORS Service, on and subject to the terms and conditions of this Agreement, the Exchange Provisions and the terms of Member's ITORS Web Site.

3. USER NAME AND PASSWORD:

- 3.1 The Client will be entitled to a username and password, which will enable him to access Member's ITORS System for availing of the Service.
- 3.2 The Client is aware that Member's ITORS System itself generates the initial password and that Member is aware of the same. The Client agrees and undertakes to immediately change his initial password upon receipt thereof. The Client is aware that subsequent passwords are not known or available to Member.
- 3.3 The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Trading Member's ITORS System using the Client's Username and/or Password whether or not such person was authorised to do so.
- 3.4 The Client shall immediately inform Member of any unauthorized use of the Client's Username or Password with full details of such unauthorized use including the date of such unauthorised use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorised use, etc.
- 3.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorised use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on Member's ITORS System and unauthorisedly routing orders on behalf of the Client through the System. The Client agrees that he shall be fully liable and responsible for any and all unauthorised use and misuse of his Password and/or Username and also for any and all acts done by any person through Member's ITORS System on the Client's Username in any manner whatsoever.
- 3.6 The Client shall log off from the ITORS Service at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall borne solely by the Client.
- 3.7 Without prejudice to the provisions of Clause 3.5, the Client shall immediately notify Member in writing with full details if:
 - (i) he discovers or suspects unauthorised access through his Username, Password or account,
 - (ii) he notices discrepancies that might be attributable to unauthorised access,
 - (iii) he forgets his password or
 - (iv) he discovers a security flaw in Member's ITORS System.

3.8 In any of the above events specified in Clause 3.7, the Client shall immediately change his Password. However, if the Client is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request Member in writing to discontinue his old password; and thereupon the Trading Member shall cause the Trading Member's ITORS System to discontinue the use of the Client's old Password and Member's ITORS System shall generate a new Password for the Client which shall be communicated to the Client. At no point in time shall Member be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the Password.

4. TRANSACTIONS AND SETTLEMENTS:

- 4.1 All orders for purchase, sale or other dealings in securities and other instructions routed through Member's ITORS System via the Client's Username shall be deemed to have been given by the Client.
- 4.2 The orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions.
- 4.3 The Member may from time to time impose and vary limits on the orders which the Client can place through the Trading Member's ITORS System (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). The Client is aware and agrees that Member may need to vary or reduce the limits or impose new limits urgently on the basis of the Trading Member's risk perception and other factors considered relevant by the Trading Member, and Member may be unable to inform the Client of such variation, reduction or imposition in advance. The Client agrees that Member shall not be responsible for such variation, reduction or imposition or the Client's inability to route any order through Member's ITORS System on account of any such variation, reduction or imposition of limits. The Client understands and agrees that Member may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities through Member.
- 4.4 Though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by the Client on Member's ITORS System, Member shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.
- 4.5 The Client agrees that the Trading Member may, at its sole discretion, subject any order placed by a Client to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.
- 4.6 In case of a market order, the Client agrees that he will receive the price at which his order is executed by the exchange's computer system; and such price may be different from the price at which the security is trading when his order is entered into Member's ITORS System.

5. MARGIN:

The Client agrees and undertakes to immediately deposit with Member such cash, securities or other acceptable security, which Member may require as margin. The Client agrees that Member shall be entitled to require the Client to deposit with Member a higher margin than that prescribed by the Exchange. Member shall also be entitled to require the Client to keep permanently with Member a margin of a value specified by Member so long as the Client desires to avail of Member's ITORS Service.

6. CANCELLATION REQUESTS

- 6.1 When the Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the Client's request for cancellation is received and the order is successfully cancelled before it is executed.
- 6.2 The Client shall not be entitled to presume an order as having been executed or canceled until a confirmation from Member is received by the Client.
- 6.3 The Exchange may annul a trade suo-moto without giving a reason therefore. In the event of such annulment, Member shall be entitled to cancel the relative contract(s) with the Client.

7. BROKERAGE, COMMISSIONS AND FEES

- 7.1 The Client agrees to pay Member brokerage, commission, fees, service tax and other taxes and transaction expenses as they exist from time to time and as they apply to the Client's account and transactions, and the services that he receives from IDBI Capital.

7.2 A schedule of brokerage, fees and commissions, applicable service and other taxes and other transaction expenses shall be provided by Member to the Client from time to time upon request by the Client.

8. CONFIRMATIONS

Online confirmation will be available to the Client upon execution or cancellation of an order placed by him through Member's ITORS System. This shall be followed by a confirmation, which may be sent by postal mail, electronic mail or other electronic means. It is the responsibility of the Client to review upon first receipt, whether delivered to him online, by postal mail, by electronic mail, or other electronic means, all confirmations of transactions or cancellations.

9. INVESTMENT ADVICE

9.1 The Client acknowledges that Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.

9.2 The Client also acknowledges that Member's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from Member or any of its employees.

9.3 The Client agrees that in the event of the Trading Member or any employee or official of Member providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client and Member shall not be liable or responsible for the same.

9.4 The Client assumes full responsibility with respect to his investment decisions and transactions.

9.5 The Trading Member, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

10. SUPPLEMENTAL TO MAIN TRADING MEMBER - CLIENT AGREEMENT:

This Agreement is supplemental to, and does not supersede, the Main Trading Member-Client Agreement. Save and except as modified expressly or by implication by this Agreement the Exchange Provisions or the terms of the Trading Member's ITORS WebSite, the provisions of the Main Trading Member- Client Agreement shall apply mutatis mutandis to the extent applicable to dealings between Member and the Client pursuant to or otherwise relating to Member's ITORS Service.

11. REPRESENTATIONS AND WARRANTIES OF CLIENT

The Client represents and warrants to Member that:

11.1 All the information provided and statements made in the Client's ITORS Account Application are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and the Client is aware that Member has agreed to provide Member's ITORS Service to the Client on the basis, inter alia, of the statements made in the Client's ITORS Account Application.

11.2 The Client is aware and acknowledges that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and Member's ITORS Service may at any time be unavailable without further notice. Member and the Exchange do not make any representation or warranty that Member's ITORS Service will be available to the Client at all times without any interruption. The Client agrees that he shall not have any claim against the Exchange or Member on account of any suspension, interruption, non-availability or malfunctioning of Member's ITORS System or Service or the Exchange's service or systems for any reason whatsoever.

11.3 The Client has the required legal capacity to, and is authorised to, enter into this Agreement and is capable of performing his obligations and undertakings hereunder.

11.4 All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into pursuant to this Agreement with all applicable laws, shall be completed by the Client prior to such transaction being entered into.

11.5 The Client shall abide by the Exchange Provisions and the terms of Member's ITORS WebSite in force from time to time.

11.6 Any instructions given by an authorised representative of the Client to Member (or to Member's representative) shall be binding on the Client.

12. REPRESENTATIONS AND WARRANTIES OF THE MEMBER:

Member represents and warrants to the Client that :-

The Member's ITORS System has been approved by the Exchange. Where the ITORS system has not been approved by the Exchange, Member has applied/proposes to apply to the Exchange to approve the said ITORS System and Alacrity Securities Ltd. will commence Alacrity Securities' ITORS Service only after the Exchange has approved Alacrity Securities' ITORS System.

13. MARKET DATA

13.1 The Client understands that the Exchange asserts a proprietary interest in all of the market data it furnishes, directly or through the Member or otherwise. The Client understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market data or any other market information, or any messages disseminated by it. Neither The Member nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information and, if the Client acts on the basis of the same, he shall do so at his own risk and cost.

13.2 The Client shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the Client uses such information he shall do so at his own risk and cost.

14. NOTICES

Any notice or other communication to be given by any party to the other in connection with this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by facsimile transmission or by prepaid registered post or by e-mail to the addressee at the address or (as the case may be), the e-mail or facsimile number (if any), of that party set opposite its below :

To the Member at :

Name of the person concerned : _____

Address : 101, Hari Darshan, B-Wing, Bhogilal

Fadia Road, Kandivali (W), Mumbai – 400 067.

Phone : 2807 6537 / 3819 / 2808 9469

Email : alacritysec@gmail.com

or at such other address, facsimile number or e-mail address as the party to be served may have notified the other in accordance with the provisions of this Clause.\

To the Client at :

Name of the person concerned : _____

Address: _____

Phone : _____

Email : _____

Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between Member and the Client may be communicated orally.

15. EXTRAORDINARY EVENTS

Member and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond Member's control.

16. AMENDMENT TO AGREEMENT

The Client understands and agrees that Member may discontinue his ITORS Service in part or in its entirety and change the terms of the Service (including the terms on Member's ITORS WebSite) at any time and from time to time, without prior notice.

17. TERMINATION OF AGREEMENT:

17.1 The Client agrees that the Member may at any time terminate this Agreement. The Client is aware and accepts that in view of the nature of the transactions and dealings involved in providing the Service it may not be possible for the Member to give advance notice of such termination or suspension to the Client.

17.2 The Client may at any time terminate this Agreement by not less than seven days notice to the Member, provided that unless the Member otherwise permits, the Client shall not be entitled to terminate this Agreement so long as any amount is payable or securities are deliverable by the Client to the Member.

17.3 The termination of this Agreement shall not affect any rights or obligations of either party which have accrued prior to the termination or which may arise out of or in connection with acts done or omitted prior to the termination.

17.4 The provisions of Clauses 14, 20 and 21 of this Agreement shall survive the termination of this Agreement.

18. SEVERABILITY

In the event of any provisions of this Agreement being held to be or becoming invalid, unenforceable or illegal for any reason, this Agreement shall remain otherwise in full force apart from the said provision which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.

19. WAIVER

No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of this Agreement shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provision of this Agreement or be considered to be a waiver of any right, unless specifically agreed in writing.

20. LAW AND JURISDICTION

20.1 This Agreement shall be governed by and construed in all respects in accordance with the laws of the Republic of India and, subject to the provisions of Clause 21, the courts at Mumbai, India shall have jurisdiction over this agreement and the arbitration proceedings in relation to the Agreement.

20.2 This Agreement and all contracts and transactions between the Member and the Client pursuant here to shall be subject to the Exchange Provisions, the Rules, Bye-Laws, Regulations and other provisions of its clearing house, if any, the provisions of the Securities and Exchange Board of India Act, 1992, the Securities Contracts (Regulation) Act of 1956 and the rules and regulations made thereunder and as amended from time to time.

21. DISPUTE RESOLUTION

Any claim, dispute or difference arising between the Parties hereto in respect of this Agreement or any contracts, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Agreement or the interpretation or construction of this Agreement shall be subject to the grievance redressal procedure of the Exchange and shall be subject to the arbitration procedure as prescribed by the Exchange Provisions.

IN WITNESS THEREOF, the parties to the agreement have executed these presents and the date of execution shall be deemed to be the latter of the dates on which this agreement has been executed and at the place at which it has been executed.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

Name of the Client



Signature _____

Signed by : _____

Title / Designation _____

Witness : 1 _____

For ALACRITY SECURITIES LTD.

Signature _____

Signed by : _____

Title / Designation _____

Witness : 2 _____

AGREEMENT BETWEEN STOCK BROKER AND CLIENT - NSE

This agreement is made and executed at this day of 20 between **ALACRITY SECURITIES LTD.**, a body corporate, incorporated under the provisions of the companies Act, 1956. being a member of the National Stock Exchange Limited (hereinafter called 'the Exchange'), and having its registered office at 101, Hari Darshan, B-Wing, Bhogilal Fadia Road, Kandivali (W), Mumbai - 400 067. (hereinafter called "the stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivors or survivors of them and their respective heirs executors, administrators and legal representatives / its successors, as the case may be, of the one part; **AND**

Mr/Ms Ms
an individual/ a sole proprietary concern/a partnership firm / HUF / a body corporate or any other legal entity registered / incorporated, under the provisions of the Indian Partnership Act 1932 / the Companies Act. 1956 having his / her residence / registered office at.....



.....
(thereinafter called 'the client') which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his / her heirs, executors, administrators and legal representatives the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives / its successor, as the case may be, of the other Part;

Witnesseth:

Whereas the stock broker is registered as the stock broker of the Exchange with **SEBI Registration No. INB 230909834** in the Capital Market Segment and **SEBI Registration No INF 230909834** for Futures & Options / Derivatives Segment.

Whereas the client is desirous of investing /trading in those securities / contracts / other instruments admitted to dealing on the Exchange as defined in the Rules, Bye-laws and Regulation of the exchange and circulars issued thereunder from time to time.

Whereas the client has satisfied 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.

Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and Whereas the stock broker has taken steps and 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.

WHEREAS the stock broker and the client agree to be bound by all the Rules. Bye-laws and Regulations of the Exchange and circulars issued thereunder and Rule's and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms & conditions,"

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker at the time of opening of the account or at any time thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the Significance of the said document. The client agrees that:
 - a. He had read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his investment decisions and trades.

- c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client choose to trade.
 - d. He is liable to pay applicable initial margins, withholding margins special margins or such other margin. As are considered necessary by the stock broker or the Exchange or as may he directed by SEBI from time to time as applicable to the segment(s) in which the " client trades". The stock broker is permitted in its sole and absolute discretion to collect additional margins(even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e. Payment of margins by client does not necessary imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/ require.)
3. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the client account, transactions and to the services that stock broker renders to the Client The Stock broker agrees that it shall not charge brokerage., more than the maximum brokerage Permissible as per the rules, regulations and bye-laws of the relevant stock exchange / SEBI.
 4. The clients agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
 5. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amount. Outstanding debts. Etc, and adjust the proceeds of such liquidation / close out. If any, against the client's liabilities / obligations. Any and all losses and financial charge on account of such liquidation/ closing-out shall be charged to and borne by the client.
 6. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself /it self or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars / guidelines/ Exchanges Rules / Regulations / Bye-laws and circulars.
 7. The client agrees to immediately furnish information to the stock broker in writing. If any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or If any litigation which may have material bearing on his capacity has been filed against him.
 8. The stock broker agrees to inform the client and keep him apprised about trading/settlement cycles, delivery / payment schedules, any change herein form 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.
 9. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall entitled to any surplus which may result there from.
 10. The Stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transaction routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc, in respect of shares and security delivered / to be delivered of received/to be received by the client.
 11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable. "Good & bad delivery norms' even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
 12. 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 it may have had transaction in securities.
 13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
 14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
 15. Information about default in payment/ delivery and related aspects by a client shall be brought to the notice of the relevant stock ' exchange(s). 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 to the relevant stock exchange(s).

16. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where pay-outs have been declared during the quarter.
 17. The stock broker and the client agree to abide by any award passed by the ombudsman under the SEBI (Ombudsman) Regulations, 2003.
 18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Bye-laws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
 19. The instructions issued by an authorized representative, if only, of the clients shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
 20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.'
 21. This agreement shall forthwith terminate; 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 issued by the Board is cancelled.
 22. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination to this agreement shall continue to subsist and vest in / be binding' on the respective parties or his / its respective heirs, executors, administrator, legal representatives or successors, as the case may be.
 23. In addition to the specific rights set out in this Agreement, 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 Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
 24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder.
 25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and rules Regulations and Bye laws of relevant stock exchange that may be in force from time to time,
 26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration' form or any other information pertaining to the client in confidence and that it 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 its his client to any person or authority with the express permission of the client.'
- This agreement can be altered, amended and / or modified by the parties mutually in writing without derogating from the contents of this Agreement, Provided however, if the rights and obligations of the parties hereto are altered by virtue of changes in Rules and Regulation of SEBI or Bye-laws. Rules and Regulations of the relevant stock exchange, such change shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

THE BELOW MENTIONED CLAUSES OF MEMBER-CLIENT AGREEMENT APPLICABLE TO CLIENTS AVAILING INTERNET TRADING FACILITY FOR TRADING ON NSE. THE CLIENTS NOT AVAILING THIS FACILITY MAY STRICK THIS DOCUMENT

With Respect to Internet based Trading Services, It is Hereby Agreed between the Stock Broker and Client as follows:

In consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations and guidelines issued by SEBI and Stock Exchange rules, regulations and Bye-laws that may be in force from time to time.
2. In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result there from.

3. The agreement entered into between IDBI Capital and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one month written notice. Such cancellation or termination shall not have any effect on transaction executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have same obligations in respect of such transactions.
4. The instructions issued by an authorized representative of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the client.
5. The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party.
6. The CLIENT agrees that IDBI Capital shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/ MEMBERS/EXCHANGE end.
7. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.
8. IDBI Capital shall also send the Order/Trade confirmation slip through E-mail to the CLIENT at his request, within time period as specified by the Client from the time of execution of order/trade on the NEAT system, as the case may be. The CLINET agrees that the information sent by MEMBER by E-mail is deemed to be a valid delivery of such information by IDBI Capital.
9. The CLIENT is aware that IDBI Capital has provided on the web site a facility for reconfirmation of orders, which are larger than that specified by IDBI Capital's risk management, by IDBI Capital and is also aware that IDBI Capital has the discretion to reject the execution of such orders based on his risk perception.
10. IDBI Capital and the Client are aware of the provisions of Bye-Laws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
11. All trades, transactions and contracts are subject to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

IN WITNESS THEREOF, the parties to the agreement have executed these presents and the date of execution shall be deemed to be the latter of the dates on which this agreement has been executed and at the place at which it has been executed.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

Name of the Client



Signature _____

Signed by : _____

Title / Designation _____

Witness : 1 _____

For ALACRITY SECURITIES LTD.

Signature _____

Signed by : _____

Title / Designation _____

Witness : 2 _____

**COMBINED RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET /CASH SEGMENT
AND FUTURES & OPTIONS SEGMENT (TO BE GIVEN BY THE BROKER TO THE CLIENT)**

This document is issued by the member of the National Stock Exchange of India Ltd. (hereinafter referred to as "NSE") /The Stock Exchange, Mumbai (hereinafter referred to as "BSE") which has been formulated by the Exchanges in coordination with the Securities and Exchange Board of India (hereinafter referred to as "SEBI") and contains important information on trading in Equities and F&O Segments of NSE / BSE. All prospective constituents should read this document before trading on Capital Market/Cash Segment or F&O segment of the Exchanges.

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

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

You must know and appreciate that investment in Equity shares, derivative or other instruments traded on the Stock Exchange(s), 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 NSE/BSE and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE/BSE, its Clearing Corporation/Clearing House 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 member. 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 security or derivative being traded on NSE/BSE.

It must be clearly understood by you that your dealings on NSE/BSE through a member shall be subject to your fulfilling certain formalities set out by the member, which may interalia include your filling the know your client form, client registration form, execution of an agreement, etc., and are subject to the Rules, Byelaws and Regulations of NSE/BSE and its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE/BSE or its Clearing Corporation/Clearing House and in force from time to time.

NSE/BSE 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 trading member and/or sub-broker of NSE/BSE 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/investment 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 INVOLVED IN TRADING ON THE STOCK EXCHANGE (EQUITY AND OTHER INSTRUMENTS)

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

1.2.1 Buying/selling without intention of giving and/or taking delivery of a security, as part of a day trading strategy, may also result into losses, because in such a situation, stocks may have to be sold/purchased at a low/high prices, compared to the expected price levels, so as not to have any obligation to deliver/receive a security.

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 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/contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

Most Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc. The placing of such 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.

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 / contract, and such order gets activated if and when the stock / 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 stock reaches the -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 stock / contract might penetrate the predetermined 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:

Issuers make news announcements that may impact the price of the securities / contracts. These announcements 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 Rumours:

Rumours about companies 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 rumours.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes

may also occur at any point in the day. These may cause delays in order execution or confirmation.

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

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

1.8 System/Network Congestion:

Trading on NSE/BSE is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of 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 Futures and Options segment is concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing"

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 principal investment amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives trading 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 equivalent to the principal investment amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

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

B. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the

broker/member 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.

Outstanding debt occurs in your account, the broker/member 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 the derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2. Risk of Option holders

- 1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
- 2. The Exchange may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.3 Risks of Option Writers

- 1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
- 2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
- 3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are

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

3. GENERAL

3.1 Commission and other charges

Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

3.2 Deposited cash and property

You should familiarise yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which has been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the member, the same shall be subject to arbitration as per the byelaws/ regulations of the Exchange.

3.3 For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.

3.4 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of securities through the mechanism provided by NSE/BSE.

3.5 The term 'member' shall mean and include a trading member, a broker or a stock broker, who has been admitted as such by NSE/BSE and who holds a registration certificate as a stock broker from SEBI.

I hereby acknowledge that I have received and understood this risk disclosure statement and Annexure-1 containing my rights and obligations.

Date: _____



Client Signature: _____

(If Partner, Corporate, or other signatory, then attest with company seal)

ANNEXURE-1
INVESTORS RIGHTS AND OBLIGATIONS :

- | | |
|--|--|
| <p>1.1. You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the stock market or the broking firm's insolvency or bankruptcy.</p> <p>1.1.1. Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.</p> <p>1.1.2 Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE/BSE and the scheme of the Investors' Protection Fund in force from time to time.</p> <p>1.1.3. Any dispute with the member with respect to deposits, margin, money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Bye Laws/ Regulations of NSE/BSE or its Clearing Corporation / Clearing House.</p> <p>1.2 Before you being to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.</p> <p>1.3. You should exercise due diligence and comply with the following requirements of the NSE/BSE and/or SEBI:</p> <p>1.3.1. Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE/BSE and whether they are enabled to trade may be verified from NSE/BSE website : (www.nseindia.com / www.bseindia.com).</p> <p>1.3.2. Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials</p> <p>1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving Licence or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by SEBI / NSE / BSE at any time, as is available with the investor.</p> | <p>1.3.4 Executes broker - client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE / BSE or its Clearing Corporation / Clearing House from time to time, because this may be useful as a proof of your dealing arrangements with the member.</p> <p>1.3.5 Give any order for buy or sell of a security in writing or in such form or manner, as may be mutually agreed, Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.</p> <p>1.3.6 Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order no., trade number, trade time, trade price, trade quantity, name of security, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE/BSE, without delaying.</p> <p>1.3.7 Facility of Trade Verification is available on NSE/BSE website (www.nseindia.com/www.bseindia.com), where details of trade as mentioned in the contract note may be verified from the trade date upto five trading days, 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 NSE/BSE.</p> <p>1.3.8 Ensure that payment / delivery of securities against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE/BSE or its Clearing Corporation / Clearing House. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgment towards what such payment is made be obtained from the member. Delivery of securities is made to the pool account of the member rather than to the beneficiary account of the member.</p> <p>1.3.9 In case pay-out of money and / or a securities is not received on the next working day after date of pay-out announced by NSE/BSE or its Clearing Corporation / Clearing House, please follow-up with the concerned member for its release. In case pay out is not released as</p> |
|--|--|

above from the member within five working days, ensure that you lodge a complaint immediately with the investor's Grievance Cell of NSE/BSE.

- 1.3.10 Every member is required to send a complete 'Statement of Accounts' for both funds and securities settlement to each of its constituents, at such periodicity as may be prescribed by time to time. You should report errors, if any in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute ensure that you refer such matter to the Investors Grievance Cell of NSE/BSE without delaying.
- 1.3.11 In case of complaint against a member / registered sub-broker, you should address the complaint to the Office as may be specified by NSE/BSE from time to time.
- 1.4 In case where a member surrenders his membership, NSE/ BSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE/BSE, ensure that you lodge a claim with NSE/BSE/NSCCL/Clearing House within the stipulated period and with the supporting documents.
- 1.5 In case where a member is expelled from trading membership or declared a defaulter, NSE/BSE gives a public notice inviting claims, if any, from investors, In case of claim, relating to "transactions executed on the trading system" of NSE/BSE, ensure that you lodge a claim with NSE/BSE within the stipulated period and with the supporting documents.
- 1.6 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye-laws and the scheme under the Investor' Protection Fund' (IPF) may be payable first out of the amount vested in the Committee for Settlement of Claims against Defaulters, on pro-rata basis if the amount is inadequate. The balance amount of claims, if any, to a maximum amount of Rs.10 lakhs per investor claim, per defaulter / expelled member may be payable subject to such claims being found payable under the scheme of the IPF.

Notes:

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE/BSE for the purpose of acquiring and or selling of securities through the mechanism provided by NSE/BSE.

2. The term 'member' shall mean and include a member or a broker or a stock broker, who has been admitted as such by NSE/BSE and who holds a registration certificate as a stock broker from SEBI.
3. NSE/BSE may be substituted with names of the relevant exchanges, wherever applicable.
4. The term Contract refers to Currency Derivatives Contract and the terms "underlying" refers to the underlying Currency of such Currency Derivatives Contracts.

Date: _____



Client Signature: _____

(If Partner, Corporate, or other signatory, then attest with company seal)

POLICIES & PROCEDURE

a) Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are ! generally considered to be highly speculative and high ! risk because of their lack of liquidity, large bid-ask ! • spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client Only.

b) Setting up client's exposure limits

The stock broke may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.) The client is aware 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 broker including but not limited to limits on account of exchange/SEBI directions / limits (such as broker level/market level limits in security specific/volume • specific exposures etc.), 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 clients' inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further 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 orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception.

Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

c) **Applicable brokerage rate :-** Brokerage will be charged within the limits prescribed by SEBI/Exchange.

d) Imposition of penalty / delayed payment charges

Clients will be liable to pay late pay-in / delayed payment charges for not making payment of their pay-in/margin obligation on time as per the exchange requirement / schedule @ 2 % per month. Similarly the stock broker will also be liable to pay delayed payment charges to the client for not making payment to their obligation on time as per the exchange requirement / schedule at the rate of 2 % per month. EXCEPT in cases covered by the running account authorisation given by the client to the stock broker.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of/ in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

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

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations.

The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for

securities, Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to given the benefit / credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security & /or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all the any penalties and charges levied by the exchange(s).

f) Shortages in obligations arising out of internal netting of trades

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

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

- a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Paying/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase

consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.

- b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

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

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability / shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/non making of payment for their payin obligation/outstanding debts.

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

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

- i) **Deregistering a client:-** Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- (I) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (v) If the Clients suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
- (Viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client has taken or suffered to be taken any action for its reorganization, liquidation or dis solution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertakings;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

Inactive Client account: - Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive The client has to make written request for reactivation of their account.

Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/we shall be fully liable and responsible for any such problem/fault.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses of this document under any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

Date: _____



Client Signature: _____

(If Partner, Corporate, or other signatory, then attest with company seal)

A MUST READ FOR ALL CLIENTS

BRIEF LITERATURE REGARDING ANTI-MONEY LAUNDERING

As per the requirements of SEBI, implementation of Anti Money Laundering (AML) /Combating Financing of Terrorism requires trading members as intermediaries to demand certain information from investors which may be of personal nature or has hitherto never been called for. Such information can include documents evidencing source of funds/income tax returns/bank records etc. This can sometimes lead to raising of questions with regard to the motive and purpose of collecting such information.

The Financial Action Task Force (FATF), and inter-governmental body promotes and develops policies. To combat money laundering and terrorist financing both at national and international levels. Please Visit the websites <http://www.fatf-gafi.org/> and <http://fiuindia.gov.in> for more information on the subject.

Money laundering is the processing of criminal proceeds to disguise their illegal origin, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money order, etc.) that are then collected and deposited into accounts at another location. After the funds have entered the financial system, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channelled through the purchase and sales of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not co-operate in anti money laundering investigation. In some instances, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance. Having successfully processed his criminal profits the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets, or business ventures.

Due to Tightened Security increased Vigilance in the wake of threats emanating from increased terrorism, any failure on our part to discharge our duties cast on us under the applicable laws or we becoming an instrument or part of chain in certain transaction, even if unknowingly or ignorantly may land us in trouble.

Fighting money laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.

The integrity of the banking and financial services marketplace depends heavily on the perception that it functions within a framework of high legal, professional and ethical standards. If funds from criminal activity can be easily processed through a particular institution the institution could be drawn into active complicity with criminals and become part of the criminal network itself.

The Act Prevention of Money Laundering Act 2002. (PMLA) is applicable to all SEBI Registered brokers / sub-brokers and other financial institution who are dealing in any kind of financial assets.

It is an obligation of the entities to whom this Act is applicable, to report certain kind of transactions routed through them to FINANCIAL INTELLIGENCE UNIT, a department specially set up to administer this Act under the Ministry of Finance.

The transactions which are supposed to be reported are cash transactions above rupees ten lakhs or series of cash transactions below ten lakhs but aggregating to above ten lakhs in a month or its equivalent in any foreign currency and the transactions which may not be in cash but suspicious in nature.

Any such above types of transaction, though not executed by, attempted any failed are also required to be reported.

The suspicious transaction can be related to the transaction under the circumstances such as;

- Clients whose identity verification seems difficult or clients that appear not to cooperate
- Asset management services for clients where the source of the funds is not clear or not in keeping with clients apparent standing/business activity;

- Clients transferring large sums of money to or from overseas locations with instructions for payment in cash;
- Attempted transfer of investment proceeds to apparently unrelated third parties;
- Businesses undertaken by offshore banks/financial services,
- Businesses reported to be in the nature of export/import of small items,
- Unusual transactions by Clients of Special Categories (CSCs).

Clients of Special Categories may include;

- NRI/HNI/Trust/Charities/NGO/Organizations receiving donations
- Companies having close family shareholdings or beneficial ownership
- Politically Exposed Persons
- Companies offering foreign exchange offerings
- Clients in high risk countries
- Non face to face clients
- Clients with dubious reputation as per public information available

No trading or demat account can be opened in the name of entity whose name is listed on the banned entity list being maintained at United Nation's website

While opening the new accounts all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under this act.

All the records of transactions and client identifications must be preserved in a manner which can be promptly retrieved and reported to the authorities in the specified format.

This is the highlights of the requirements under the Act.

Subbrokers / Authorised Persons / Remissers are advised to go through the SEBI's master circular _____ at [Http://www.sebi.gov.in/circulars/2010/mastercircular/MasterCircular.pdf](http://www.sebi.gov.in/circulars/2010/mastercircular/MasterCircular.pdf) detailed information and understanding and also to visit the website of FIUIND at <http://fiuindia.gov.in>

The end clients are advised to co-operate with us by providing the additional information / documents, if asked for during the course of your dealings with us to ensure the compliance requirements under this Act.

As a responsible citizen, it is our statutory as well as moral duty to be vigilant, and refrain from supporting the people who are involved in the activities which are endangering our freedom and causing damage to the nation and to us as well.

VOLUNTARY

LETTER OF AUTHORITY

To,
ALACRITY SECURITIES LTD.,
101, Hari Darshan, B-Wing,
Bhogilal Fadia Road,
Kandivali (W), Mumbai - 400 067.

Client Name : _____

Client Code : _____

Date : _____

Dear Sir,

Sub : Letter of Authority - CAPITAL MARKET / F&O Segment of NSE / BSE.

I/We are dealing in securities with you at NSE/BSE in Cash, Derivative and in order to facilitate ease of operations, I/We authorise you as under:

1. I/We authorise you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and / or against the value of cash margin or collateral shares provided to you by us.
2. I/We hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner.
4. I/We request you to retain credit balance in any or my / our account and to use the idle funds towards our margin / future obligations at any or both the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficiary account on my / our behalf.
5. I/We request you to retain Securities in you Demat account for my / our margin / future obligations at all Exchanges, unless I/We instruct you to transfer the same to my / our account.
6. 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.
7. I/We request that you may send / despatch me/us contract notes other documents through E-mail : on my/our designated e-mail address of
8. I/We will inform you the change my/our my e-mail, if any, in future either by regd. post or through a digitally signed e-mail.
9. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. I/We agree that I/We shall be fully liable and responsible for any such problems/fault.
10. I/We shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes/to anyone else for the trade on the BSE/NSE on being registered as client with you.
11. I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
12. All charges / fines & penalties levied upon you due to my transactions / acts or deeds may be recovered by you from my account.
13. I/we are agreeable to receive the contract notes/ statement of accounts for funds, securities and margins and such other statements / documents accounting or otherwise, notices etc. in digital format instead of physical documents on our email address _____ or alternatively on _____. Further, I/We have been informed by the trading member does not receive any bounce mail or delivery failure notice from my/our side , it would tantamount to successful delivery of the contract notes and other documents. Further , I/We do hereby give my/our Mandate to stock broker to issue contracts and Statements of Funds and Securities in Digital format :

- (A) I/We hereby agree and give consent to accept the contract notes for transactions carried on by me/us with /through Alacrity Securities Ltd. in Digital form.
- (B) I/We further agree to and give consent, to send the Statement of Funds and Securities and such other documents / correspondence if any, on the aforesaid email id.
- (C) I also authorize Alacrity Securities Ltd. to send any other important notices and communications including changes in the terms and conditions to the email id mentioned in this mandate letter.
- (D) I/We undertake to check the contract note and other statements / documents and bring the discrepancies to Alacrity Securities Ltd. notice within 24hours of issuance of the same. My/our non-verification or non-accessing the contract notes, any statements/circular/notice issued and sent to the above mentioned email id by Alacrity Securities Ltd., shall subject to the following further terms and condition specified below :
- (i) The Digital Contract notes will be issued in digital form in compliance with the guidelines issued by SEBI/Exchange from time to time.
- (ii) Digital Contract notes will be mailed to the E-mail address provided to us in the format as may be prescribed by the Exchanges from time to time.
- (iii) Digital Contract notes will also be available at website of Alacrity Securities Ltd at www.alacritysec.com or such other website of the group, if any.
- (iv) Clients can view the Digital Contract notes on URL by using the username & password.
- (v) The digital contract notes will be archived at an interval of 15 days. If the client intends to view the digital contracts note for a period prior to 15 days client may request for the same in writing.
- (vi) In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
- (vii) Discrepancies, if any, should be brought to the notice of Alacrity Securities Ltd in writing within 24 hours of issuance a digital contract notes.
- (viii) Other Communications (Such as statement of Funds and Securities/ Important announcement and notices) and all other communication shall be e-mailed to client at the email id given by the client. In case of statement of Funds and Securities, client will have time to report the discrepancies within 30 days of the issuance of the statement.
- (ix) In case of Important Announcement and Notices, the client will have to raise the query within the time specified respective communication. If the client is not able to respond with in the time specified, it shall be assumed that client has taken the note of the communication and he does not have any objection and/or query on the said communication.
- (x) Feedback or objections may be raised by sending an intimation in writing to Alacrity Securities Ltd.
- (xi) Non bouncing of email shall be considered as a valid delivery to the client and stock broker shall not be responsible for the consequences thereof.
- (xii) I / we hereby authorize you to debit charges for Depository Services, or other advisory services, to my /our trading account.

Yours faithfully,

(Signature)



VOLUNTARY

RUNNING ACCOUNT AUTHORISATION

To,
ALACRITY SECURITIES LTD.,
101, Hari Darshan, B-Wing,
Bhogilal Fadia Road,
Kandivali (W), Mumbai - 400 067.

Client Name : _____

Client Code : _____

Date : _____

Dear Sir,

Sub : Running Account Authorisation for the Financial Year.

I/We are dealing through you as a client in Capital Market and / or Future & Option segment and / or in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you a under:

1. I/We request you to maintain running balance in my 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) at any segment(s) of any or all the Exchange(s) / Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my / our margin / pay-in/other-future obligation(s) at any segment(s) of any all the Exchange(s) / Clearing corporation, unless I/We instruct you to transfer the same to my / our account.
3. I/We request you to settle my fund and securities account Quarterly ,or monthly, Settlement basis,from time to time except the funds given towards collaterals /,margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities / funds towards such obligations and may also retain the funds expected to be required to meet margin obligations (to be calculated in the manner specified by the exchanges)
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds / securities or statement of account or statement related to it, as the case may be at your registered office. After that I/We shall have not right to dispute the transaction, funds and / or securities ever and agree that you shall not be liable for any incidental loss / damage caused due to retention of funds and / or securities.
6. I/We confirm you that I can revoke the above mentioned authority by giving in writing to you at any time.
7. This authorization is signed by me/us only and not by my/our authorized person /POA holder.
8. This authorization is required to be renewed at least in a year.

Thanking You,

Yours faithfully,



(Signature)

Client Name:

Client Code :

ADJUSTMENT OF BALANCES IN FAMILY ACCOUNTS

From,

Name of the Client :	
Client Code :	
Address :	
Date :	

To,

Alacrity Securities Ltd.

101, Hari Darshan, B-Wing, Bhogilal Fadia Road, Kandivali (W), Mumbai – 400 067.

Sr No.	Client Code of Family Members/Associates	Name of Family Members / Associates	Signature of Client
1			
2			
3			
4			
5			
6			
7			
8			

We the above mentioned family members have been regularly trading and investing with you on the Stock Exchanges, Both the BSE & NSE.

For the purpose of operations with you, we agree to be treated as a family account.

In order to facilitate operations we hereby authorise you to set off the outstanding in any of the above mentioned account against credits available or arising in any of the above accounts irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of any Exchange and/or against the value of cash margin or collateral shares provided to you by any member(s) of the family.

We agree to intimate you from time to time of any additions or deletions of CLIENTS to the family.

We agree that any deletion shall take effect only completion of settlement and adjustment of balances in all the accounts of the CLIENTS belonging to the family. In order to facilitate operations, we authorise the you to maintain a running account instead of settlement to settlement clearance of dues or delivery of securities to us and no interest shall be payable by the you on the same.

We affixed our signatures consenting to the above mentioned terms of adjustments.

FORMAT FOR DECLARATION BY SOLE PROPRIETOR OF THE FIRM ON ITS LETTER HEAD

Date : _____

To,
ALACRITY SECURITIES LTD.,
101, Hari Darshan, B-Wing,
Bhogilal Fadia Road,
Kandivali (W), Mumbai - 400 067.

Dear Sir / Madam, I

I refer to the trading account opened by me in the name of.....
..... having client code.....Alloted by **ALACRITY SECURITIES LTD.,**

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 operations of the above trading account with you and for the purpose of completing the share transfer obligation pursuant to the trading operations, I authorize you to recognize the Beneficiary Account No.

..... with..... having DP ID.....
opened in the name of..... who is also the SOLE Proprietor of the firm.

I request you to kindly accept the Cheques / DDs (Electronic / Physical) issued by me from my Individual Account in the name of..... and credit to my proprietorship Account as detailed above.

I hereby confirm that Mr./Mrs..... An individual and Proprietor of.....Mr/Mrs.....is one and the same person.

Further I shall advise you of any change that take place in the constitution of the firm and I will be personally liable to you for all the obligation that the firm may incur in the course of dealing with you and undertake to personally discharge such liabilities.

Thanking You,

FORMAT FOR DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM (ON PREPRINTED LETTER)

Date : _____

To,
ALACRITY SECURITIES LTD.,
101, Hari Darshan, B-Wing,
Bhogilal Fadia Road,
Kandivali (W), Mumbai - 400 067.

Dear sir /Madem,

We refer to the trading account opened by me in the name of. _____

_____ having client code _____ Alloted by

ALACRITY SECURITIES LTD.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per regulation. To facilitate the operations of the above trading account with you and for the purpose of completing the share transfer obligation pursuant to the trading operations, We authorize you to recognize the Beneficiary Account No.

_____ with _____ having DPID

_____ opened in the name of _____ who is also the

Partner of the firm as demat account of the firm.

Further we shall advise you of any change that take place in the constituion of the firm.

We all thepartners undertake to personally discharge (not limited to the partners profit sharing ratios) any and all liabilities that the firm may incur. in the course of dealing with Alacrity Securities Ltd.

Thanking You,

For M/s.

(Signed by All the Partners of the Firm)

FORMAT FOR AUTHORITY LETTER TO BE GIVEN BY PARTNERSHIP FIRM (ON PREPRINTED LETTER)

Date : _____

To,
ALACRITY SECURITIES LTD.,
101, Hari Darshan, B-Wing,
Bhogilal Fadia Road,
Kandivali (W), Mumbai - 400 067.

Dear Sir/Madam,

The Firm is empowered to deal in Capital Market Segment, Futures & Options Segment, Currency Derivatives Segment, retail debt or any other Segment that may be introduced by National Stock Exchange of India Limited (NSE) / Bombay Stock Exchange Limited (BSE) from time to time.

The firm be registered as Client and enter into agreement with **ALACRITY SECURITIES LTD.**, Member of NSE & BSE, and the said trading member be and is hereby authorized to honor instructions, oral or written, given on behalf of the Firm by any other under noted Partners who are also authorized to sign execute and submit such applications, undertakings agreements and other requisite documents writings and deeds as may be deemed necessary to open the account.

Sr. No.	Name of the Partner	Specimen Signature
1.		
2.		
3.		
4.		

We shall inform you of any change that may take place in the constitution of Firm

Thanking You,

For M/s.

(Signed by All the Partners of the Firm)

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE / TRUST
(To be obtained on pre-printed letterhead of the Company / Trust)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS /TRUSTEE
_____ LTD. AND HAVING ITS REGISTERED OFFICE

AT _____ HELD ON _____

DAY _____ OF 20 _____ AT _____

Resolved that the Company / Trust is empowered to deal on Capital Market segment, Futures and Options segment, Retail Debt segment or any other segment that may be introduced by NSE/BSE and in pursuance of the same The Company / Trust be registered as a Client and enter into agreement with **ALACRITY SECURITIES LIMITED**, Member of the National Stock Exchange of India Ltd. (NSE) / Bombay Stock Exchange Limited (BSE), the said Trading Member be and is hereby authorised to honor instructions, oral or written, given on behalf of the Company / Trust by any of the under noted authorised signatories.

Sr. No.	Name	Designation	Signature
1.			
2.			
3.			
4.			

Who is/are authorised to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through **ALACRITY SECURITIES LIMITED**, on behalf of the Company / Trust

RESOLVED FURTHER THAT Mr. _____

_____ and/or MR. _____ Director/Trustee

and/or Mr _____ Authorised Signatory of the Company be and are hereby authorised to sign, execute and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary to open account and give effect to this resolution.

RESOLVED FURTHER THAT, the Common Seal of the Company/Trust be affixed, wherever necessary, in the presence of any Directors /Trustee or of anyone Director /Trustee and Company Secretary, who shall sign the same in token of the presence.

Certified True Copy

For (Company / Trust Name)

Chairman / Trustee / Company Secretary

DECLARATION BY KARTA & ALL MEMBERS IN CASE OF HUF ACCOUNT







Date : _____

To,
ALACRITY SECURITIES LTD.,
101, Hari Darshan, B-Wing,
Bhogilal Fadia Road,
Kandivali (W), Mumbai - 400 067.

Dear Sir,

We, all the members detailed below of the _____ HUF)
Hindu Undivided Family, Having PAN No. _____ do hereby
authorize the KARTA of the family Mr. _____ to open / operate in the name of this HUF
a dealing / trading account and inter - alia to give orders, execute deals through you for and on behalf of our HUF .and we state that
we are and shall always be jointly and severally responsible for the dealings / orders/trades done on behalf of the HUF

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in writing and we understand that we are
required to collect from you and acknowledgment of having taken the same on record.

NAME OF THE MEMBERS (IN BLOCK LETTERS)	RELATION	SIGNATURE OF THE MEMBERS
		
		
		
		
		
		

This Specimen signature of the Karta Mr. _____ is given below

Specimen Signature in full. _____

Thanking You,
Yours faithfully,

For. _____ (HUF)

UNDERTAKING

Date: _____

To,

ALACRITY SECURITIES LTD.

101, Hari Darshan, B-Wing, Bhogilal Fadia Road, Kandivali (W), Mumbai - 400 067.

Phone : 2807 6537 / 3819 / 2808 9469

Dear Sir,

I/We hereby declare /undertake that SEBI has not taken any action like debarred or prohibited from dealing in securities market/imposed penalty after adjudication/prosecution etc. against me or us.

Thanking You,

Yours faithfully,

**Constituent
Signature**

(Name of Constituent & Client Code)

UNIFORM DOCUMENT REQUIRED

To,

ALACRITY SECURITIES LTD.

101, Hari Darshan, B-Wing, Bhogilal Fadia Road, Kandivali (W), Mumbai - 400 067.

Phone : 2807 6537 / 3819 / 2808 9469

Dear Sir,

I hereby confirm that i have received the following documents of the KYC from you.

1. Know Your Client registration form
2. Member – Constituent Agreement
3. Risk Disclosure Document
4. Policies and Procedure
5. Copy of Authority letter given by me to you
6. Letter of adjustment of balance in family account
7. Mandate to issue contract notes in digital format in which my E -mail ID is _____

Thanking You,

Yours faithfully,

**Constituent
Signature**

(Name of Constituent & Client Code)