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<b>S.NO.</b>	<b>NAME OF THE DOCUMENT</b>	<b>BRIEF SIGNIFICANCE OF THE DOCUMENT</b>	<b>PG. NO.</b>
1	<b>INSTRUCTION / CHECKLIST</b>	Document captures the instruction / checklist for filling KYC Form	B2 - B3
2	<b>ACCOUNT OPENING FORM</b>	KYC form - Document captures the basic information about the constituent	<b>3 - 5</b>
		Document captures the additional information about the constituent relevant to trading account	<b>6 - 9</b>
3	<b>RIGHTS &amp; OBLIGATIONS</b>	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	B4 - B7
4	<b>RISK DISCLOSURE DOCUMENT (RDD)</b>	Document detailing risks associated with dealing in the securities market.	B8 - B10
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***MANDATORY DOCUMENTS***

## KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR INDIVIDUALS

Please fill this form in ENGLISH and in BLOCK LETTERS.

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across it

**A. IDENTITY DETAILS**

<b>Name of the Applicant</b>		
Father's / Spouse Name		
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married	Date of Birth
Nationality	Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National	
PAN	UID / Aadhaar, if any :	
Specify the proof of Identity submitted		

**B. ADDRESS DETAILS**

Address for Correspondence			
City / Town / Village	PIN	State	Country
Phone (Office)	Phone (Resi.)	Mobile	
Fax	Email		
Specify the proof of address submitted for correspondence address			
Permanent Address <i>(if different from above or overseas address, mandatory for Non-Resident Applicant)</i>			
City / Town / Village	PIN	State	Country
Specify the proof of address submitted for permanent address			

**C. OTHER DETAILS**

Gross Annual Income Details (please specify) : Income Range per annum:				
<input type="checkbox"/> 0-1 Lac	<input type="checkbox"/> 1-5 Lacs	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> >25 Lacs
or Net-worth as on date _____ Rs. _____ (Net worth should not be older than 1 year)				
Occupation <i>(please tick any one and give brief details):</i>	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Business
	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife
	<input type="checkbox"/> Student	<input type="checkbox"/> Others <i>(please specify)</i> .....		
Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)				
Any Other Information				

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



\_\_\_\_\_  
SIGNATURE OF THE APPLICANT / CLIENT

D	D	M	M	Y	Y	Y	Y

**FOR OFFICE USE ONLY**

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

\_\_\_\_\_  
SIGNATURE OF THE AUTHORISED SIGNATORY

Date : \_\_\_\_\_

\_\_\_\_\_  
SEAL / STAMP OF THE INTERMEDIARY

**KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR NON INDIVIDUALS**

Please fill this form in ENGLISH and in BLOCK LETTERS.

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across it

**A. IDENTITY DETAILS**

**Name of the Applicant**

Date of Incorporation

Place of Incorporation

Date of commencement of business

PAN

Registration No. (e.g. CIN)

Status  Private Limited Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust  Charities  
 (please  NGO's  FI  FII  HUF  AOP  Bank  Society  BOI  LLP  
 tick any one)  Government Body  Non-Government Org.  Defence Establishment  Others \_\_\_\_\_

**B. ADDRESS DETAILS**

Address for Correspondence

City / Town / Village

PIN

State

Country

Phone (Office)

Phone (Resi.)

Mobile

Fax

Email

Specify the proof of address submitted for correspondence address

Registered Address (if different from above):

City / Town / Village

PIN

State

Country

Specify the proof of address submitted for registered address

**C. OTHER DETAILS**

Gross Annual Income Details (please specify) : Income Range per annum:

0-1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  25 Lacs - 1 Crore  >1 Crore

Net-worth as on date \_\_\_\_\_ Rs. \_\_\_\_\_ (\*Net worth should not be older than 1 year)

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole Time Directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

Any Other Information

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



NAME & SIGNATURE OF THE AUTHORISED SIGNATORY

D	D	M	M	Y	Y	Y	Y

**FOR OFFICE USE ONLY**


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

SIGNATURE OF THE AUTHORISED SIGNATORY

Date : \_\_\_\_\_

SEAL / STAMP OF THE INTERMEDIARY

**DETAILS OF PROMOTERS / WHOLE TIME DIRECTOR / TRUSTEES / PARTNERS / KARTA OF HUF / AUTHORISED PERSON TO DEAL IN SECURITIES ON BEHALF OF THE ENTITY / PERSON. (Use separate sheet in case space provided is not sufficient)**

<b>PARTICULARS</b>	<b>1st Signatory</b>	<b>2nd Signatory</b>	<b>3rd Signatory</b>	<b>4th Signatory</b>	<b>5th Signatory</b>	<b>6th Signatory</b>
Full Name						
Designation						
Residence Address with PIN Code						
Contact Nos.						
PAN						
DIN / UID						
Equity Stake %						
Proof of Identity						
Proof of Address						
Photograph	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it
Signature 						

- We undertake that we will submit a certified copy of Annual balance sheet every before 30th November.
- We further undertake to submit the updated share holding pattern every year before 30th November.

**A. BANK ACCOUNT(S) DETAILS**

	First Account (Default)	Second Account	Third Account
Bank Name			
Branch Name			
Branch Address			
Bank Account No.			
Account Type - <i>Saving/ Current / Others - In case of NRI/NRE/NRO</i>			
MICR Number			
IFSC Code			

**B. DEPOSITORY ACCOUNT(S) DETAILS**

DP Name			
Depository Name NSDL / CDSL			
DP ID			
Beneficiary ID (BO ID)			
Beneficiary Name 1			
Beneficiary Name 2			
Beneficiary Name 3			

**C. TRADING PREFERENCES**

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

**NSE-CM**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**NSE-F&O**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**NSE-IBT**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**BSE-CM**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**BSE-F&O**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**BSE - IBT**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

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

**D. PAST ACTIONS**

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

**E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**

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

Sub-broker's Name		SEBI Registration number
Registered office address		
Phone	Fax	Signature of Sub-Broker (optional)
Website		
Email ID		

**Whether dealing with any other stock broker/sub-broker**

*(if case dealing with multiple stock brokers/sub-brokers, provide details of all)*

Name of stock broker	Name of Sub-Broker, if any
Client Code	Exchange
Details of disputes/dues pending from/to such stock broker/sub- broker	

**F. ADDITIONAL DETAILS**

Whether you wish to receive Physical Contract Note or Electronic Contract Note (ECN) (please specify) : \_\_\_\_\_

Specify your Email id, if applicable: \_\_\_\_\_

Whether you wish to avail of the facility of internet trading/wireless technology (please specify) : \_\_\_\_\_

Number of years of Investment/Trading Experience

Any other information

**G. INTRODUCER DETAILS (optional)**

Name of the Introducer (Surname - Name - Middle Name)

Status of the Introducer     Sub-broker         Remisier         Authorized Person

Existing Client     Others, please specify.....

Address of the Introducer

Phone No. of the Introducer	Signature of the Introducer
Mobile No. of the Introducer	

**H. NOMINATION DETAILS** *(for individuals only)*

<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate		<b>PHOTOGRAPH</b> Please affix your recent passport size photograph and sign across it	<b>PHOTOGRAPH</b> Please affix your recent passport size photograph and sign across it
Name of the Nominee			
Relationship with the Nominee			
PAN of Nominee	Date of Birth of Nominee		
Address of the Nominee			
Phone No. of the Nominee			

**If Nominee is a minor, details of guardian**

Name of Guardian	
Address of Guardian	
Phone No. of Guardian	Signature of Guardian
Mobile No. of Guardian	

**WITNESSES** *(Only applicable in case the account holder has made nomination)*

Name	Name
Signature	Signature
Address	Address

**DECLARATION**

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

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D D M M Y Y Y Y

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PLACE



SIGNATURE OF CLIENT / (All) AUTHORIZED SIGNATORY (ies)



**FOR OFFICE USE ONLY**

UCC Code allotted to the Client		File Reference No.	
	<b>DOCUMENTS VERIFIED WITH ORIGINALS</b>	<b>CLIENT INTERVIEWED BY</b>	<b>IN-PERSON VERIFICATION DONE BY</b>
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature of the Employee			

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

\_\_\_\_\_  
**SIGNATURE OF THE AUTHORISED SIGNATORY**

D	D	M	M	Y	Y	Y	Y

\_\_\_\_\_  
**SEAL / STAMP OF THE STOCK BROKER**

**DISCLOSURE INFORMATION OF PROPRIETARY TRADING**

To increase transparency in the dealings between us as a Trading Member and you as a Client we do hereby disclose that apart from Client Based Trading, we also do Proprietary Based Trading (self account) in ALL SEGMENTS of ALL EXCHANGES in which we are members. You are requested to please take a note of the same.

**a) Refusal of Orders for Penny Stocks:**

Aristro Capital Markets Private Limited shall have absolute discretion to term a stock as "PENNY". As per our policy, "PENNY STOCK" can be referred to as the stocks which are appearing in the list of illiquid securities issued by the Exchanges every month and any other stocks which ACMPL might consider to be illiquid. The details of such stocks will be posted on the website of ACMPL.

ACMPL at its discretion can accept, refuse or partially accept any buy or sell order for execution from the client in respect of such scrips. ACMPL may allow restrictive acceptance of orders in such scrips and may demand appropriate declarations and additional margin from the client before accepting order of such stocks. ACMPL may cancel orders in such scrips received by the clients before execution or partial execution or place any other kind of restrictions on the trade on such scrips without assigning any reasons thereof to the client.

ACMPL shall not be responsible for any consequential opportunity loss or financial loss that a client may incur from delay or non execution of orders in penny stock.

**b) Setting up Client's Exposure Limits:**

ACMPL may give an exposure limit which would be a multiple (ranging between one to five times) of the clear ledger balance in the account plus value of the shares given as collaterals computed after applying appropriate haircut. In F&O Segment exposure is given on the value of initial margin, after applying appropriate hair cut on the securities given as collateral. The exposure limit may be changed based on the volatility in the market and quality of collaterals.

ACMPL may set different exposure limits varying for different clients depending on the credit worthiness, integrity and past conduct of the client. The client agrees that ACMPL shall not be responsible for such variation, reduction or imposition or the clients inability to route any order through ACMPL's trading system on account of any such variation, reduction or imposition of limits.

**c) Applicable Brokerage Rate:**

ACMPL follows the policy of charging brokerage not more than the maximum permissible brokerage as per the rules and regulation of the exchange/ SEBI. Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration. The brokerage slab of a client shall be reviewed at

intervals after assessment of the amount and quality of volume generated by the client as per his commitment. The rates may be increased with prospective effect at 15 days notice sent to the E-mail address or postal address of the client registered with ACMPL. The brokerage amount debited to the client does not include any exchange related charges or statutory levies as applicable. Any other applicable taxes imposed by statutory authority including securities transaction taxes, duties, service tax, etc will be paid by the client separately as may be levied on the transactions from time to time.

**d) Imposition of Penalty/Delayed Payment Charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)**

Clients will be liable to pay late pay in/delayed payment charges not exceeding 1.5% per month for not making payment of their pay-in obligation on time as per the exchange requirement or net ledger debit balance as applicable.

The client agrees that ACMPL 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 ACMPL has to pay 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 clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation)**

ACMPL shall be entitled to liquidate client's securities, both unpaid securities as well as collaterals deposited towards margins or close out client's open position 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. Any and all losses and financial charges on account of such liquidations/closing out shall be charges to and borne by the client.

In case the payment of the margin/security is made by the client through a bank instrument, ACMPL shall have absolute discretion to give the benefit/credit for the same only on the realization of clear proceeds in ACMPL bank account. Where the

margin/security is made available by way of securities or any other property, ACMPL is empowered to decline its acceptance as margin/security and/or accept it at such reduced value as ACMPL may deem fit by applying haircuts or by valuing it by marking it to market. The stock broker has the sole discretion to decide referred stipulated margin percentage depending upon the market conditions.

The above action is at the sole discretion of ACMPL and may vary from client to client. It shall not be under any obligations to undertake the exercise compulsorily. ACMPL shall therefore not be under any obligation to compensate or provide reasons of any omission or delay on its part to sell client's securities or close open positions of the client.

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

Policy for settling shortage in obligation arising out of internal netting of trades is as under:

The securities delivered short are purchased from the market on T+3 day and the purchase consideration (including all statutory taxes & levies) along with a penalty (as charged by respective stock exchanges) is debited to the short delivering seller client. In case the shares are not available for purchase for any reason then the shortage will be closed out as per the prevailing rules of the respective exchanges.

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

- Client unable to meet his pay-in obligation as per exchange requirement irrespective of the value of collaterals available.
- Long pending debit balance in the client's account.
- Margin shortfall not compensated by the client.
- Dishonor of Cheque
- Client dealing in "illiquid" stock as declared by ACMPL.
- Transactions which may appear to be suspicious in nature
- Where based on the happening of an event, ACMPL has a risk perception that further trading in the contracts/securities may not be in the interest of the clients and /or the market.

**h) Temporarily Suspending or Closing a Client's account at the clients request:**

ACMPL may carry out periodic review of the client accounts and

may suspend the accounts from trading (i.e. prohibiting any market transactions, only allowing client shares/ledger balance settlement to take place) under any of the following circumstances:

- Where the Client is inactive for the last six months.
- Where the Client has not cleared his dues after repeated reminders
- Where Physical statements or contract notes, etc are received back undelivered and the client is not responding to update the correct address.
- Where the client is reported or known to have expired.
- Where client lodges a complaint either directly with ACMPL or through the Exchange relating to alleged unauthorized Trades being executed in his account.
- Where the account is under investigation by any regulatory body.
- As per direction of the Exchanges, SEBI or any other regulatory body.
- On written request received from the client and the same can be activated on the written request of the client only.

The Client account can be closed on the written request of the client provided the client account is settled. If the client wants to reopen the account then the client has to again complete the KYC requirement.

**i) Deregistering a client:**

Notwithstanding anything to the contrary stated in the agreement, ACMPL shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- If the action of the client are prima facie illegal/improper or such to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- On the death/lunacy or other disability of the Client.
- If the client being a partnership firm/any other organization, has any steps taken by the Client and/or its partners for dissolution or liquidation.
- If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock Broker.

- If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security.
- If the Client is in breach of any term, condition or covenant of this Agreement.
- Any suspicious information found by ACMPL in sites like CIBIL, world check, etc or if there is any commencement of a legal process against the client under any law in force.
- If the client forms a part of the list of debarred entities published by SEBI and/or any action is taken by NSE/BSE/SEBI on the client.

Inactive client account will be considered as inactive if the client does not trade for a period of six months. Calculation will be done at the beginning of every month and a written request has to be made by the client for reactivation of their

account.

**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 in this document under any circumstances whatsoever. These Policies and Procedures may be amended/changed by giving 15 days notice by the broker, provided the change is informed to me/us through any one or more means/ methods. I/we agree never to challenge the same on any grounds including delayed receipt/non- receipt or any other reason 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 ACMPL before any court of law/judicial/adjudicating authority including arbitrator/mediator,etc.

**TARIFF SHEET / BROKERAGE SLAB**

SEGMENT (per lot)	TRADING 1st LEG		TRADING 2nd LEG		DELIVERY		RISK CATEGORY
	MINIMUM		MINIMUM		MINIMUM		
	%	Paisa	%	Paisa	%	Paisa	
BSE Cash							
NSE Cash							
NSE Futures							
NSE Options							

*(Service Tax, Stamp Charges, Transaction Charges and other charges, if any shall be levied as per the rate stipulated by concerned Authority)*



**SIGNATURE OF THE CLIENT**

## ***VOLUNTARY DOCUMENTS***

**INFORMATION PROVIDED BY THE CLIENT IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002**

Name of the Client : \_\_\_\_\_ Client Code : \_\_\_\_\_

If Business / Profession : Nature of Business : \_\_\_\_\_

Industry : \_\_\_\_\_

Details of my/our Relatives, having account with ACMPL

Name	Relationship	UCC (Client Code)
1.		
2.		

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

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

I/We agree to submit every year any one of following documents to ACMPL :

- |  |                                     |
|--|-------------------------------------|
| 1. Profit & Loss Account and Balance Sheet                     | 2. Form No. 16 (Salary Certificate) |
| 3. Self attested copy of Income Tax Return                     | 4. Networth Certificate             |
| 5. Demat Transaction Statement & Bank Statement (for 6 months) |                                     |

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

- I/ We hereby declare that I / We do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002, or
- I/ We declare that I/ We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under) :
- Non resident Client
  - Politically Exposed Persons
  - Non face to face client
  - Companies having close family shareholdings or beneficial ownership
  - Trusts, Charities, Non- Governmental Organisations (NGOs) and organizations receiving donations
  - Clients in high risk countries where existence / effectiveness of money laundering controls is suspect etc.
  - High Net-worth Clients
  - Companies offering foreign exchange offerings
  - Clients with dubious reputation as per public information available etc.

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

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

Sources of Borrowed Funds (if any)	Amount (Rs.)

I/We hereby declare that I/We am / are beneficial owner of the Trading/Online Account opened with ACMPL



SIGNATURE OF THE CLIENT

FOR OFFICE USE ONLY

RISK CATEGORY :  VERY HIGH  HIGH  MEDIUM  LOW  VERY LOW

VOLUNTARY

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
 Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I / We as a Client of Capital Market and/or Futures & Options of NSE / BSE hereby authorizes Aristro Capital Markets Private Limited (Member: NSE, BSE) for the following:

That to maintain a running account, instead of settlement to settlement clearance of funds / securities due to me / us. In this regard, I have been informed about the SEBI circular no. MIRSD/SE/Cir-19/2009 dated December 3, 2009. I read and understood the same. I hereby authorize ACMPL to maintain a running account in all segments across the exchange (NSE, BSE)

I/We hereby confirm you to settle my / our account of funds and securities once in

**A Calendar Quarter**     **A Calendar Month. (Tick whichever is applicable)**

Such settlement will be done on any day at its discretion in a calendar month or quarter (hereinafter referred as "settlement period") as the case may be. I/We agree that I/we shall be liable to pay the debit standing to my account on the settlement date or any other date at least once in a calendar quarter / calendar month as per the option ticked above.

That to withhold any credit balance as collateral/margin against my/our future trades / obligations and/or adjust outstanding fund / securities receivable from you against my/our purchase in subsequent settlement with no interest accruing on the above fund / securities.

I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.

I/we agree that fund given towards collaterals / margins in form of bank guarantee (BG)/ Fixed Deposit Receipts (FDR) may not be periodically settled.

I/we agree that (a) in respect of derivatives market transactions, the Trading Member may retain the requisite securities/ funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the exchange, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligations of funds & securities due from me/us as on the date of settlement and for next day's business, Member may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement.

That to keep my/our shares purchased from you, in your margin account and to deliver and/or adjust said shares against our sales in subsequent settlement i.e. inter transferring the shares from one settlement (purchase) to another settlement (sales) in Capital Market Segment and/or F&O Segment of Exchange unless you receive any verbal or written instruction from me/us to deliver the same to my/our Depository Account. Similarly, I / We authorize you to issue the cheque against our fund pay out after getting the telephonic or written instruction from me/us, otherwise the same will remain with you against my/our margin obligation towards Capital Market Segment and / or F&O Segment.

I/We confirm you that I/we 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 / corporate office. After that I/We shall have no 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.

I/We further declare that this authorization will remain in force unless revoked by me/us in writing.

Thanking You,  
 Yours Faithfully,



**CONSENT LETTER FOR DIGITAL COMMUNICATION****VOLUNTARY**

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
 Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I / We are a client with Aristro Capital Markets Private Limited and my/our Trading Client Code is \_\_\_\_\_. With reference to SEBI circular No. MRD/Dop/SE/Cir-20/2005 dated September 08, 2005, I / we are desirous to avail the facility of Electronic Contract Notes.

I/We would request you that henceforth i.e. from \_\_\_\_\_ onwards you are requested to send my/our contract notes / trade confirmations through email on my/our

**E-mail ID**

You are also requested to send the copies of the **daily / quarterly / periodical** ledger statements of accounts for funds and securities, margin statement, holding statements, bills / notice / circulars and other documents / communications, meant for me / us on this e-mail ID on a regular basis.

I/We shall ensure that this email ID is kept valid and any change in my/our above email ID shall be communicated to you in writing. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my / our email account(s) / email id(s). I/We agree not to hold you responsible for late / non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc. I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt / delayed receipt for any reason whatsoever.

I am also aware that copies of the contract notes are also available in ACMPL website for which I will be provided with a USER ID and Password . In case of non-receipt of mails the same will be intimated to ACMPL immediately in writing. In case I wish to withdraw this facility I shall inform ACMPL in writing at least one week in advance from the date of withdrawal.

Thanking You,  
 Yours Faithfully,

**SIGNATURE OF THE CLIENT****DECLARATION FOR MOBILE NUMBER****VOLUNTARY**

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
 Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I / We, \_\_\_\_\_ having PAN No. \_\_\_\_\_ do hereby declare that my/our Mobile Number is \_\_\_\_\_. Further, I / we authorise Aristro Capital Markets Private Limited that the same may be used for giving me / us any information / alert / sms / call.

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

Thanking You,  
 Yours Faithfully,

**SIGNATURE OF THE CLIENT**



**ELECTRONIC PAYOUT REQUEST**

**VOLUNTARY**

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
 Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I/We furnish below the details of my/our account held with \_\_\_\_\_ Bank to enable transfer of funds payable to me/us against sale of securities.

Bank :	Branch :
<b>Type of Account :</b> <input type="checkbox"/> Savings <input type="checkbox"/> Current	MICR No.:
<input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> Others (Specify) .....	A/c. No. :
<b>Copy of cheque must be enclosed.</b>	IFSC CODE (RTGS / NEFT)

Name of Joint Account Holder (if any) : \_\_\_\_\_

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

1. The transfer of funds to my/our bank account will continue to be governed by the terms and conditions as per the Member Client Agreement entered by and between ACMPL and myself/ourselves.
2. I/We shall review, upon first receipt, all transfers of funds made into the aforesaid bank account. In case fund payment is not received in my/our account on the scheduled date then I/we will notify the same to ACMPL within two days. After two days, I am / We are solely responsible for any losses due to such delay and it shall be assumed by ACMPL that the funds have been received by me/us.
3. If the transaction is delayed or not effected at all for incomplete or incorrect information provided by me/us, I/we would not hold ACMPL responsible and/or indemnify ACMPL from any loss or damage met by me/us under such circumstances.
4. All charges levied by Bank for the said facility shall be borne by me/us.

Thanking You,  
 Yours Faithfully,



\_\_\_\_\_  
**SIGNATURE OF THE CLIENT**

**AUTHORISING FOR DEBITING D.P. CHARGES**

**VOLUNTARY**

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
 Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

**Ref. - DP ID** \_\_\_\_\_ **DP Client ID** \_\_\_\_\_

**Sub : Debiting my Trading Account towards depository charges.**

I / We hereby authorise you to debit my / our Trading Client Code \_\_\_\_\_ for all the charges relating to the above mentioned Demat Account. I / We understand that the said charges in the Demat Account, are incurred time to time and this authorisation of transferring the same to my trading account shall remain valid from time to time. I / We also authorise you to retain my/our shares till the clearance of the dues in the trading as well as demat account.

In case I/We wish to withdraw this authorisation, I/We shall inform ACMPL in writing and acknowledge the same at least one week in advance from the date of withdrawal.

Thanking You,  
 Yours Faithfully,



\_\_\_\_\_  
**SIGNATURE OF THE CLIENT**

**AUTHORITY TO PLACE INSTRUCTIONS WITH ACMPL ON MY/OUR BEHALF****VOLUNTARY**

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
 Bells House, 21 Camac Street, 9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I / We hereby authorize the following persons whose specimen signatures are appended hereunder:-

- a. To give instructions / place orders with ACMPL for buying and selling of securities and contracts on any Exchanges
- b. To sign, execute and / or acknowledge any document including Contract Notes, Statement of Margins and Statement of Accounts etc on my / our behalf.

SL. NO.	NAME	MOBILE NUMBER	SPECIMEN SIGNATURE

Thanking You,  
 Yours Faithfully,



\_\_\_\_\_  
 SIGNATURE OF THE CLIENT

**CONSENT FOR TRANSFER OF CREDIT & SETTLEMENT FOR INTRA/INTER SEGMENT INTER EXCHANGE****VOLUNTARY**

I/We registered with Aristro Capital Markets Private Limited as clients/constituents on the NSE and/or BSE Cash/Capital Markets/and/ or Future & Options and having a Depository account with ACMPL, do hereby authorise you as under:

To move/transfer funds any/all my/our accounts/and/or payouts resulting on account of sale of shares and securities and/or payouts due to settlement/closing of contracts and/or margin refunds from cash/capital market and/or F&O of NSE and/or BSE and adjust the same towards debit balance in any/all my/our accounts of cash/capital market and/or F&O segment of NSE and/or BSE and debit balances in depository account and/or any other debits and/or payments.

I/We also understand that this would save on banking charges and/or operational delays and cost towards transfer of funds between an account where I/We have a credit balance to an account or where I/We have a debit balance. Further, you are authorised to do the transfer, either by passing a journal entry in your books of account of the respective section/department and/ or by physical exchange of cheques.

I/We have affixed signatures herein below consenting to the above and the same shall be in force until I/we revoke it in writing.

Signed on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_ at \_\_\_\_\_

Thanking you,  
 Yours faithfully,

ACMPL Account Code details :

Capital Market Segment:(NSE/BSE) Code : \_\_\_\_\_ DP A/C \_\_\_\_\_

Derivative Segment Code : \_\_\_\_\_ DP ID : \_\_\_\_\_



\_\_\_\_\_  
 SIGNATURE OF THE CLIENT

To,

**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**

Bells House, 21 Camac Street, 9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

- I/We authorise Aristro Capital Markets Private Limited to set off outstanding in any of my / our accounts against credits available or arising in any other account 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 ACMPL by us.
- I/We hereby authorise ACMPL not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request ACMPL to kindly accept my/our mandate holder's verbal orders/instructions in person or over phone and execute the same. I/We shall get the required details from the contract notes issued by you. I/We understand the risk associated with placement of verbal orders and accept the same. I/We shall not disown orders under the plea that the same was not placed by me.  
I/We indemnify ACMPL and keep you indemnified against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my/our orders placed verbally. In case I wish to withdraw this consent I shall inform ACMPL in writing and get the same acknowledged by ACMPL at least one week in advance from the date of withdrawal.
- I/We hereby authorise ACMPL to deposit securities received from me/us or purchased through ACMPL lying in my/our account to the Stock Exchange(s)/NSCCL or their custodian appointed by them for the purpose of margin/other obligation and/or to facilitate my/our transaction in the normal course of securities business. Further, ACMPL shall release the securities to me/us on my/our request, if the same is releasable to me/us.
- 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 of buy or sell orders either in part or in full. I/We shall be fully liable and responsible for any such problems/fault and shall not claim any notional profit or equivalent from ACMPL.
- I/We agree not to hold ACMPL liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
- I/We hereby confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
- I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
- I/We am/are agreeable for & authorise ACMPL to with hold funds pay-out towards all applicable margins and debits.
- All fines/penalties and charges levied upon ACMPL due to my acts/deeds or transactions may be recovered by ACMPL from my account.
- Any queries related to security delivered by ACMPL, would be brought to the notice of ACMPL within seven days of the receipt of such securities in my / our Demat Account or otherwise it can be presumed that I / We have checked all the security received by me / us and that they are good as per the prevailing norms.
- Any queries related to my/our Contract cum Bill, shall be brought to the notice of the ACMPL within 24 hours of the receipt of Contract cum Bill, however not after than 7 days from the execution of the trade.
- ACMPL is hereby advised to keep this instructions in force unless specifically informed by me / us in writing.
- I/We hereby reconfirm and accept all the terms & conditions mentioned hereinabove.
- I/We will be extending all co-operation to ACMPL in their endeavour towards Anti-Money Laundering. ACMPL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
- I/We understand that information about me/us and my/our transactions may be reported by ACMPL to FIU/concerned authorities without any intimation to me/us and have no objection to the same.

Thanking You,  
Yours Faithfully,



SIGNATURE OF THE CLIENT

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
 Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I/we understand that the Member accepts deposit of securities towards “margin” for the purpose of allowing additional exposure/ turnover as a specialized service which is optional in nature and this document has been signed by me/us voluntarily without any coercion or force. I/we also understand that I/we have a right to terminate this document, subject to termination of this facility and/or review of Member-Client relations by the Member.

I/we request and authorize you to consider the securities transferred by me/us or retained by you in any of your own DP account maintained for the purpose of margin or in my/our DP account No \_\_\_\_\_ with \_\_\_\_\_ (Name of DP) with the Power of Attorney executed in favour of the DP, at your discretion, as margin deposit for my/our operations in the secondary market.

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

1. That the above margins are subject to a first and paramount lien for any sum due to Aristro Capital Markets Private Limited by me/us for the due fulfillment of my/our engagements, obligations and liabilities arising out of or relating or incidental to any bargains, dealings, transactions and contracts made through or with you. I/we further agree that I/we shall create a lien on the shares and securities lying in my DP account towards any sum due to you.
2. That the margin paid above shall not be available for adjustment against any amount due from me/us to ACMPL, against my/our running trading account with you for secondary market obligations.
3. That no interest will be paid by ACMPL, to me/us against the margin deposits. However, in case of securities transferred by me/us to your DP A/c given as margin, all benefits declared by the respective Companies, during the time that the securities are held by ACMPL, towards margin deposit, shall accrue to me/us.
4. That ACMPL, has a clear and undisputed right to dispose of the margin securities and adjust the proceeds or the cash margin provided towards overdue balances in my/our account, at my/our risk and cost, without any need for clearance or reference to me/us whatsoever.
5. That I/we, may be required to pay additional margins, by way of transfer of funds to ACMPL, like volatility, special margins, etc. leved by the member or the Stock Exchanges from time to time.

Further, I/we have transferred the following funds to your account towards margin deposit for my/our operations in the secondary market

**Deposit of funds (For funds inwarded as margin)**

Date	Cheque No.	Amount (Rs.)	Drawn On	Remarks



## ***FORMAT OF ANNEXURES***

**FORMAT OF BOARD RESOLUTION - IN CASE OF CORPORATE / TRUST**

*(To be given on the letter head of Corporates / Trusts)*

**CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS / TRUSTEES OF M/s. \_\_\_\_\_ Limited / TRUST AND HAVING ITS REGISTERED OFFICE**

**AT \_\_\_\_\_**

**HELD ON \_\_\_\_\_ DAY OF \_\_\_\_\_ 20 AT \_\_\_\_\_ A.M./P.M**

RESOLVED THAT the Company/Trust be registered as Client with Aristro Capital Markets Private Limited member of NSE & BSE for the purpose of dealing in equities, F&O Contracts, debentures, debt & others products and the said Member be and is hereby authorised to honour instruction oral or written, given on behalf of the Company/Trust by any of the under noted authorised signatories :-

Sl. No.	Name	Designation
1	_____	_____
2	_____	_____

who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with/through deal through ACMPL on behalf of the Company/Trust.

RESOLVED FURTHER THAT Mr. \_\_\_\_\_ and/or Mr. \_\_\_\_\_ Directors/Trustees of the Company/Trust be and are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may deemed necessary or expedient to give effect to this resolution.

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

For \_\_\_\_\_ Limited

Chairman / Company Seceretary / All Trustees

Specimen Signatures of the Authorised Persons

Sl. No.	Name	Specimen Signatures
1	_____	_____
2	_____	_____

RESOLVED FURTHER THAT, the above signatures to be attested by the person signing the resolution for account opening on behalf of the Company/Trust.

For \_\_\_\_\_ Limited

Chairman/Company Seceretary/All Trustees

**SHARE HOLDING PATTERN OF CORPORATE CLIENT**

**AS ON .....**  
*(On the Letter Head of the Company)*

Name of the Shareholders	No. of Shares	% of Shares
<b>A. Promoter Shareholders Holding more than 5%</b>		
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
<b>B. Non-Promoter Shareholders Holding more than 5%</b>		
1.		
2.		
3.		
4.		
5.		
<b>C. Other (holding less than 5%)</b>		
<b>Total</b>		<b>100%</b>



**SIGNATURE OF THE CLIENT**

Date : (dd/mm/yyyy) \_\_\_\_\_

**DECLARATION BY SOLE PROPRIETORSHIP / PARTNERSHIP FIRM**

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I refer to the trading account opened with you in the name of \_\_\_\_\_ and declare and authorise you as under :

I recognise that a Beneficiary Account cannot be opened with a depository participant in the name of a Sole Proprietorship / Partnership Firm as per Depository Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorise you to recognise the DP Client ID \_\_\_\_\_ with Depository \_\_\_\_\_ having DP ID \_\_\_\_\_ opened in the name of the undersigned who is the Sole Proprietor / Partner of the firm.

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

The Cheques / Demand Drafts may be issued by me from my individual account or my joint account with some one else. The amounts so given shall be solely/exclusively for credit to the account of my Sole Proprietorship / Partnership Firm M/s. \_\_\_\_\_ with Aristro Capital Markets Private Limited I shall not lay any claim whatsoever in future against ACMPL for affording credit of such cheques / demand drafts issued from my individual/joint account, credit of which has been provided by ACMPL to the account of my Proprietorship / Partnership Firm M/s. \_\_\_\_\_.

Thanking You,  
Yours Faithfully,



**SIGNATURE OF THE CLIENT**



**DECLARATION BY KARTA & ALL CO-PARCENERS IN CASE OF HUF ACCOUNT**

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
 Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.





D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

- WHEREAS the Hindu Undivided Family of \_\_\_\_\_ is carrying on business in the firm name and style of \_\_\_\_\_ at \_\_\_\_\_ or we intend to deal, have or desire to have Share Trading Account with Aristro Capital Markets Private Limited (hereinafter referred as "Member"). We, undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family and that \_\_\_\_\_ is the present Karta of the said joint family.
- We confirm that affairs of the H.U.F. firm are carried on mainly by the Karta \_\_\_\_\_ on behalf and in the interest and for the benefit of all the co-parceners. We hereby authorise the Karta \_\_\_\_\_ on behalf of the H.U.F. to deal on Capital Market Segment, Futures and Options Segment, or any other segment that may be introduced by NSE / BSE in future and the said Trading Member is hereby authorised to honour all instructions oral or written given by him on behalf of the H.U.F.  
 Mr. / Mrs. \_\_\_\_\_ is authorised to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the Member on behalf of the H.U.F. \_\_\_\_\_. He is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the H.U.F. firm to the Member and agree and confirm that any claim due to the Member from the said H.U.F. firm shall be recoverable from the assets of anyone or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.
- We undertake to advise the Member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of the said H.U.F. firm and until receipt of such notice by the Member which shall be binding on the said joint family and the said H.U.F. firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member for all dues and obligations of the said H.U.F. firm in the Member's books on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.
- We recognise that a beneficiary account can be opened with a Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorise you to recognise the Beneficiary Account No \_\_\_\_\_ with Depository \_\_\_\_\_ opened in name of \_\_\_\_\_ who is the Karta of this H.U.F.
- The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorised to act on behalf of, and bind the said H.U.F. Firm.

<u>Name of the Minor</u>	<u>Father's Name</u>	<u>Date of Birth</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

Thanking You,  
 Yours Faithfully,

Name :  Sign. of Karta	Name :  Sign. of Co-parcener	Name :  Sign. of Co-parcener	Name :  Sign. of Co-parcener
---	---	---	---

(Along with rubber stamp)

**FORMAT OF AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER / (S)**

*(To be obtained on Pre-printed Letter Head of the Firm)*

Dear Sir / Madam,

We the Partners of M/s. \_\_\_\_\_, a partnership firm, having its office at \_\_\_\_\_ (office address) \_\_\_\_\_ (City) \_\_\_\_\_ (state) \_\_\_\_\_ hereby authorise Mr. / Ms. \_\_\_\_\_ And Mr. / Ms. \_\_\_\_\_ to

open a securities trading account in Capital Market and F&O Segment on behalf of the firm M/s. \_\_\_\_\_ with the Trading Member Aristro Capital Markets Private Limited for sale and purchase of shares, debentures / derivative instruments in Capital Market Segment and or Futures and Options Segment or any other segment that may be introduced by NSE / BSE in future. He / She / They is /are authorised on behalf of the firm to deal in equities, derivatives, debentures, debt products and the said Trading Member is hereby authorised to honour all instructions oral or written, given on behalf of the firm by him/her/them.

Mr. / Ms. \_\_\_\_\_ and Mr. / Ms. \_\_\_\_\_ is / are authorised to sell, purchase, transfer, endorse, negotiate documents and/or/otherwise deal through ACMPL on behalf of the firm M/s. \_\_\_\_\_. He/She/They is/are also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner / authorised signatory(ies) can issue from bank account(s) in favour of ACMPL for credit to Share trading account of the firm with ACMPL, even though his/their signatures may not be available on the records of ACMPL. These cheques may either be from the account of partnership firm or from individual account, the said amount so given shall be solely / exclusively for the account of the firm maintained with ACMPL.

Note: Please affix Rubber Stamp of the firm for each signature.



\_\_\_\_\_  
SIGNATURE OF THE CLIENT



\_\_\_\_\_  
SIGNATURE OF THE CLIENT



\_\_\_\_\_  
SIGNATURE OF THE CLIENT

**FORMAT & DECLARATION OF NRI CLIENT CODE APPLICATION**

To,  
**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**  
Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I wish to appoint you as my Clearing Member for clearing and settlement of trades done on the Futures & Options Segment of NSE / BSE. My details are as follows:

Name (as appearing in Passport):	
Passport No.:	
NRE/NRO - Bank A/c. No.:	
Telephone No.:	E-mail ID:
Current Address:	
Permanent Address in India:	

I request you to kindly get an NRI Client code allotted by NSE/NSCCL/BSE for the same. I wish to open a Trading Account with you as an NRI and I confirm that I will abide by all FEMA rules and regulations formed by the Government of India and RBI. I undertake that all the trades executed through the above allotted NRI Client code will be on my\* behalf.

(\*If the NRI Client Code application is for an HUF then the details of the Karta (Manager) has to be given in the application and in the undertaking should be provided as follows: "I undertake that all the trades executed through the above allotted code will be on behalf of HUF")

Thanking You,  
Yours Faithfully,



\_\_\_\_\_  
SIGNATURE OF THE CLIENT

The NSE / BSE, has laid down certain terms and conditions for trading by NRIs in exchange traded Derivatives Contract some of which are as under:

An NRI, who wishes to trade on the F&O Segment of the Exchange, is required to approach the Exchange through a Clearing Member, through whom the NRI would like to clear the trades, for allotment of unique Client code.

The Exchange would assign a unique Client code to each NRI, based on the application received from the Clearing Member of the NRI. A Trading Member placing an order on behalf of an NRI would be required to maintain the unique Client code of the NRI at the time of an order entry.

In case the NRI wishes to change his Clearing Member or wants to clear the trades from more than one Clearing Member, all such Clearing Members are required to give separate application to the Exchange, for allotment of a unique Client code. The date of expiry of the passport of an NRI shall be beyond 6 months from the date of application.

### POSITION LIMITS

The position limits shall be:

1. For Index Based Contracts, a disclosure requirement for any person or persons acting in concert who together own 15% or more of the open interest of all derivative contracts on a particular underlying index.
2. For Stock Option and Single Stock Futures Contracts, the gross open position across all Derivative Contracts on a particular underlying stock of a NRI shall not exceed the **higher of:**
  - (a) 1% of the free float market capitalization (in terms of number of shares).
  - (b) 5% of the open interest in the Derivative Contracts on a particular underlying stock (in terms of number of contracts).

These position limits would be applicable on the combined position in all Derivative Contracts on an underlying stock at an exchange.

The NRIs position limits at the end of each trading day will be monitored by the Derivative Segment of the Exchange and its Clearing House / Clearing Corporation in the following manner:

1. The NRI would be required to notify the names of the Clearing Member/s and Custodian through whom the NRI would clear the derivative trades to the Exchange and its Clearing House / Clearing Corporation.
2. The NRI would be required to confirm all its positions and the positions of all its sub-accounts to the designated Clearing Members online but before the end of each trading day.
3. The designated Clearing Member/s would at the end of each trading day submit the details of all the confirmed NRI trades to the Derivative Segment of the Exchange and their Clearing House / Clearing Corporation.
4. The Exchange and its Clearing House / Clearing Corporation would then compute the total NRI trading exposure and would monitor the position limits at the end of each trading day. The cumulative NRI position may be disclosed to the market on a T + 1 basis, before the commencement of trading on the next day.
5. In the event of an NRI breaching the position limits on any Derivative Contract on an underlying, the NRI would not be permitted by the exchanges and their Clearing House / Clearing Corporation / Clearing Member/s to take any fresh positions in any Derivative Contracts in that underlying. However, they would be permitted to execute off-setting transactions so as to reduce their open position.
6. The NRIs while trading for each sub-account would also assign a unique Client code with a prefix or suffix of the code assigned by the Exchange and their Clearing House / Clearing Corporation to the NRI. The NRI would be required to enter the unique sub-account code before executing a trade on behalf of the sub-account.



## ACKNOWLEDGEMENT

From,

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\_\_\_\_\_

D	D	M	M	Y	Y	Y	Y

To,

**ARISTRO CAPITAL MARKETS PRIVATE LIMITED**

Bells House, 21 Camac Street,9th Floor, Kolkata - 700016, India.

Dear Sir / Madam,

**Ref. : Acknowledgement for the receipt of documents**

This is to acknowledge the receipt of a copy of the duly executed following documents viz.,

- Client Registration Form (KYC)
- Rights & Obligations
- Risk Disclosure Document
- Guidance Note
- Policies & Procedures
- A copy of any other document executed by me as a Client.

I hereby declare that I have the full intimation of the trading code and the Unique Client Code allotted to me and the email id for the purpose of receiving statements and other details incase provided by me, has been confirmed by Aristro Capital Markets Private Limited through their KYC.

Thanking You,

Yours Faithfully,



\_\_\_\_\_  
**SIGNATURE OF THE CLIENT**



# Aristro Capital Markets Pvt. Ltd.



NAME

TRADING CLIENT CODE

BRANCH CODE

ACCOUNT OPENING DATE

Dear Clients,

Thank you for choosing us as the preferred platform for your trading & investment needs. We look forward to you becoming one of our valued Client and give us the pleasure of serving you. Aristro Capital Markets Private Limited offers you diverse opportunities to trade in various segments of various exchanges (as the case may be).

To start with, we request you to complete the relevant forms and submit the required documents. We have designed the form for ease of completion with simple instructions at relevant places to guide you along.

Should you face any difficulty in understanding the requirements, please do not hesitate to contact our executive, who will be ever willing to assist / guide you.

It shall be our endeavor as always, to provide you truly personalized & satisfying services.

## Aristro Capital Markets Pvt. Ltd.

Registered & Correspondence Office :

Bells House, 21 Camac Street, 9th Floor, Kolkata - 700016, India.

Tel. : +91 33 4017 0500, 2290 4706.

Fax: +91 33 4017 0505.

Email ID : info@aristrocapital.com

[www.aristrocapital.com](http://www.aristrocapital.com)

**PLEASE READ "ACMPL" AS "ARISTRO CAPITAL MARKETS PRIVATE LIMITED" WHERE EVER IT APPEARS.**

Compliance Officer Name, Tel. No. & Email ID: Navin Mehra. 4017 0555. compliance@aristrocapital.com

CEO Name, Tel. No. & Email ID: ·Mukesh Kumar Bhauwala. 9674212207. mkb@aristrocapital.com

### SEBI REGISTRATION NUMBERS & DATE

<b>NSE - CM</b>	INB 231395931	03.08.2010
<b>NSE - F&amp;O</b>	INF 231395931	03.08.2010
<b>BSE - CM</b>	INB 011395937	20.09.2010
<b>BSE - F&amp;O</b>	INF 011395937	20.09.2010

### GRIEVANCES

For any grievance/dispute please contact ACMPL at the above address or email us at Investor Grievance Email ID **[grievance@aristrocapital.com](mailto:grievance@aristrocapital.com)** and call us at 4017 0500

*In case not satisfied with the response, please contact the concerned exchange(s)*

<b>NSE</b>	ignse@nse.co.in	022-2659 8190
<b>BSE</b>	is@bseindia.com	022-2272 1233



