

Unique Client Code / Trading Code:										
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CLIENT REGISTRATION FORM

(Online Trading – For Individuals)

Client Name:	
Address:	
Street:	
City:	
State:	
Mobile:	
Email ID:	

Registered Office Address



BOB Capital Markets Ltd

Corporate Identity Number : U65999MH1996GOI098009

UTI Tower, 3rd Floor, South-Wing, Bandra-Kurla Complex, Bandra (E), Mumbai – 400051.

Phone : 022 – 6138 9300 / Fax : 022 – 6671 8535

Email : contactus@bobcaps.in | Website : www.bobcaps.in / www.barodaetrade.com

Member : National Stock Exchange of India & BSE Ltd

NSE SEBI Regn No: (Cash) INB231304537 / (Derivatives) INF 231304537

BSE SEBI Regn No: (Cash) INB 011034533

Dear Customer,

We welcome you to the Bank of Baroda family and look forward to your business through BOB Capital Markets Ltd (BCML). To begin with, we request you to complete the client registration form, and submit the required documents. In case of any difficulty in filing up the application form feel free to get in touch with us who shall assist you in completing the formalities.

Bank of Baroda in association with BCML offers "Barodaetrade" a 3-in-1 integrated Online Trading Account, with all accounts under the BOB umbrella ensuring safety and transparency. Customers can trade real-time in shares backed by funds and securities available in their Bank / Demat Account. Our e-trading platform makes trading simple and easy for the investors. Our reliable and secure trading platform ensures the privacy and maintains the secrecy of the Customers. Our strong synergy with the Bank (BOB) which is a trusted entity for more than 105 years is the very foundation of our broking business.

Regards
BOB Capital Markets Ltd

Name of trading member/clearing member: **BOB Capital Markets Ltd. (BCML)**

SEBI Registration No. and date: **NSE INB 231304537 dated 07/08/2008 / NSE F&O INF 231304538 dated 04/09/2009.**

SEBI Registration No. and date: **BSE INB 011304533 dated 04/09/2008.**

Registered office address: **UTI Tower, 3rd Floor, South Wing, Bandra-Kurla Complex, Bandra (E), Mumbai – 400 051.**

Phone: 9122 – 6138 9300 Fax: 9122- 6671 8535 Website: www.bobcaps.in | www.barodaetrade.com

Correspondence office address: **UTI Tower, 3rd Floor, South Wing, Bandra-Kurla Complex, Bandra (E), Mumbai – 400 051.**

Phone: 9122 – 6138 9300 Fax: 9122- 6671 8535 Website: www.bobcaps.in | www.barodaetrade.com

Compliance officer name, phone no. & email id: **Mr. Pushkar Vartak / 022 -6138 9321 / compliance@bobcaps.in**

CEO name, phone no. & email id: **Mr. Golak Bihari Panda MD & CEO / 022 – 6138 9308 / md.ceo@bobcaps.in**

For any grievance/dispute please contact stock broker (name) at the above address or email id-

investorgrievance@bobcaps.in and Phone no. 91-22-61389300.

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

NSE Investors Grievance Cell	BSE Investors Services
Email ID - ignse@nse.co.in Tel No. - (022) 2659 8190 / 1800 2200 58	Email ID - is@bseindia.com Investor Services Telephone No. : (022) 2272 8097

TRADING ACCOUNT OPENING FORM - FOR INDIVIDUALS

INDEX OF DOCUMENTS

Section A - Mandatory Documents as prescribed by SEBI & Exchanges			
Serial No.	Document Name	Brief Significance of the Document	Page No.
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Symbols used:  For Signature of the Client(s),  Bank Authorisation" &  Signature of Witness

INSTRUCTIONS TO FILL THE FORM

(Please ensure that all the instructions give below have been followed)

1. The Customer needs to fill the form by his/her self.
2. The Documents viz. 1. Know Your Client (KYC) Application Form; 2. Risk Disclosure Document is mandatory as per uniform documentary requirement for trading.
3. The document viz., 1. Declaration; 2. Power of Attorney; 3. Letter of standing instruction / running account, 4. ECN Mandate Letter are voluntary disclosure documents which are to be executed at the discretion of the client only.
4. Please fill all details in CAPITAL LETTERS. Write only one alphabet in each square provided. Leave one square blank between words. Please write name in space provided as it appears in all your documents.
5. A self-signed Cheque should be issued by first holder only in the name of BOB Capital Markets Limited or the same will be debited from your Bank A/c. once the Trading A/c. is opened.
6. If your Bank does not exist with Bank of Baroda, you can issue a cheque for opening your new Savings/ Current Account with Bank of Baroda along with your Trading Account with BOB Capital Markets Ltd.
7. **Baroda-e-Trade Account** would be in the name of First Applicant only. The First Applicant would need to have a bank account (either sole or joint) with **BANK OF BARODA** (hereinafter referred to as "BOB") and a Demat Account (either sole or joint) with **BANK OF BARODA** (hereinafter referred to as "Depository Participant also known as DP").
8. Clearly specify the complete postal address with city, state & postal pin code as it appears in the proof of residence submitted by you.
9. All communications shall be sent to you on the mailing address of the First Applicant only. Please ensure that the E-mail address of the First Applicant is correct since all communications through E-mails will be sent at this E-mail address. Thumb impression and signatures other than English or Hindi or any of the other language not contained in the 8th schedule of the constitution of India must be attested by a Magistrate of a Notary Public or a Special Executive Magistrate.
10. In case of Joint Bank Account/Demat Account, joint holders/co-holders need to execute the Power of Attorney for operating Bank Account/Demat Account. The First Applicant of the trading account needs to be the First Applicant of this Joint Bank Account/ Joint Demat Account(s).
11. For Bank/Demat Account, Joint Holder and Nominee cannot be the same person. Nomination should be in favour of single person and should never be in joint name.
12. Please remember to attach one set of photograph for all Bank and Demat Account Holders. If you are linking an existing Bank or Demat Account, Co-holder's Photographs are required.
13. Please refer to the schedule of charges & fees on Page No. 15 and confirm its acceptance by signature.
14. Please note that no extra signature is to be given on the form unless there is a cancellation or correction on the form.
15. Use of black ink ball pen is preferable for filling up the forms and signature.
16. It is mandatory to fill up telephone numbers in the Trading account opening form. (Mobile and landline)
17. Usage of white ink in Account Opening Form is not allowed and any alteration/correction on the Account Opening Form should be attested by applicant's full signature.

Application No.:

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

[illegible]

Father's/Spouse Name

[illegible]

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

2. Gender ☐ Male ☐ Female

B. Marital status ☐ Single ☐ Married

C. Date of Birth / /

3. Nationality ☐ Indian ☐ Other _____

4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN

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 Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/ Aadhaar Number, if any: _____

6. Proof of identity submitted for PAN exempt cases Please tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others _____ (Please see guideline 'D' overleaf)

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

[illegible]

2. Contact Details

[illegible]

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____

*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** / /

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

[illegible]

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____

*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** / /

DECLARATION

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

Place: _____

Date: _____

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code☐ (Original Varified) Self Certified Document copies received

☐ (Attested) True copies of documents received
Main Intermediary

Seal/Stamp of the Intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the Intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
 2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
 3. If any proof of identity or address is in a foreign language, then translation into English is required.
 4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
 5. If correspondence & permanent address are different, then proofs for both have to be submitted.
 6. Sole proprietor must make the application in his individual name & capacity.
 7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
 8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
 10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
 11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
 3. Bank Account Statement/Passbook - Not more than 3 months old.
 4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
 5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/ Multinationa Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
 6. Identity card/document with address, issued by any of the following:
Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
 7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
 8. The proof of address in the name of the spouse may be accepted.

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/ Insurance Copy.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

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

Please Submit the KYC Documents on A4 Size Paper Only.

Section A – Mandatory Documents

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

Before you begin to trade

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

Transactions and settlements

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email ID to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/Demat account such money or securities deposited and from which bank/Demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, pay-out of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of pay-out from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of pay-out from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

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

DISPUTES/ COMPLAINTS

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

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

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

To access the PMLA policies of the company please visit www.bobcaps.in

Exemptions/clarifications to PAN

*(*Sufficient documentary evidence in support of such claims to be collected.)*

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official Liquidator, Court receiver etc.

2. Investors residing in the state of Sikkim.

3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

4. SIP of Mutual Funds up to Rs 50, 000/- p.a.

5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

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

Proprietary Trading Declaration

In terms of circular no SEBI/MRD/SE/CIR-42/2003 dated 19 Nov 2003 issued by Securities Exchange Board of India the broker member is obliged to disclose to its clients / constituents whether the member is trading in his own account or not. Accordingly we hereby inform that, **the member, its directors or its associates do invest / trade in capital / derivatives segment.** The same may please be noted.

DOCUMENTS REQUIRED FOR INDIVIDUAL ACCOUNT OPENING

Compulsory Documents (self-attested)	(Please ✓ mark)
✓ Personalized Cheque Leaf or Cheque leaf along with Bank Statement or Bank Passbook	
✓ Photocopy of both side of PAN Card with photo	
Verified Copy of any one of the following (self-attested):-	
✓ Passport	
✓ Driving License	
✓ Voter's Identity Card	
✓ Aadhaar Card	
✓ Bank Statement (Not more than 3 months old)	
✓ Rent Agreement	
✓ Ration Card	
✓ Telephone Bill (Not More than 3 months Old)	
✓ Electricity Bill (Not More than 3 months Old)	

Check-list of Documents to be obtained for clients trading in Derivatives Segment

Documents Required (self-attested)	(Please ✓ mark)
✓ Copy of ITR Acknowledgement	
✓ Copy of Annual Accounts	
✓ Copy of Form 16 in case of Salary Income	
✓ Net worth Certificate	
✓ Salary Slip	
✓ Bank Account Statement for last 6 months	
✓ Copy of Latest Demat Account Holding Statement	
✓ Any other relevant document substantiating ownership of Assets	
✓ Declaration along with relevant supporting	

- a) Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub broker's office.
- b) In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

Requirements for NRI clients

- Copy of RBI Approval Letter.
- Power of Attorney Letter Duly Notarised.
- Indian & Foreign address of client. (Proof of the same required).
- Personal details of Authorised persons to whom the power of attorney is given for signature & trading on behalf of him.
- DP proof with DP ID, Client ID & Client Name clearly mentioned on the proof submitted.
- Bank Verification Letter with Account No, Branch Name & Client name clearly mentioned on the proof submitted.
- Valid Passport (Page containing the date of expiry also to be attached) copy of client – Validity should be at least six months.
- Unique Client Code allotted by exchange / Clearing Member for the Trading in Derivative Segment.

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BARBODA

Betrade

Simple and Reliable On-line Trading

CLIENT TRADING, BANK & DEMAT ACCOUNT ACKNOWLEDGEMENT

TRADING ACCOUNT

Customer ID / UCC Number

Applicant's Name

For BOB Capital Markets Ltd

Authorized Signatory.....

BCML Rubber Stamp

BANK ACCOUNT

Bank Name : **Bank of Baroda**

Account Type : (Please ✓ mark)

SB

CA

PIS

BOB Employee Code: Name of Branch..... SOL ID.....

Customer ID

Saving / Current Account No.

MICR Code

IFSC Code

1st A/c Holder Name

2nd A/c Holder Name

I certified that the First Account Holder's Name and Applicant of Trading Account are the same.

For Bank of Baroda

Name of Officer:

BOB Branch Rubber Stamp

Not Linked to FDR etc. (FFD A/c should not be linked to Trading Account)

DEMAT ACCOUNT

Depository Participant : **Bank of Baroda**

Depository Name : **CDSL 13018700 / NSDL IN300870**

1. Beneficiary ID*

2. Beneficiary ID*

First Account Holders Name

Second Account Holders Name

*Client ID.

This is certified that the First Applicant in this form should be the First holder in Demat Account.





For Bank of Baroda (Demat Dept.)

Authorized Signatory.....

BOB Branch Rubber Stamp

Copy of Demat Client Master / Demat Holding statement enclosed

Exchange & Segment Selection (Sign for Exchange & Segment, strike off whichever not selected)

Exchange / Segment	Equities	Derivatives
The National Stock Exchange of India Limited		
BSE Limited		

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

Information about Investment and Trading Experience and Preferences

Investment Experience

Stock Exchanges on which you wish to trade (if the member is registered for such exchanges)	1. NSE
(Please ✓ mark)	2. BSE

Category	1. Related to a Politically Exposed Person (PEP)
	2. Politically Exposed Person (PEP)

Market Value Portfolio (Please ✓ mark)	Less than 5 Lacs	5-10 Lacs	10-50 Lacs	> 50 Lacs
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Income Range (Rs. Per Annum) Please ✓ mark	Less than 1 Lac	1-05 Lacs	05-10 Lac	10-25Lacs	> 25 Lacs
Networth					

Investment / Trading Experience	No Prior Experience Years in Stocks Years in Derivatives Years in other investment related fields
--	--

Whether registered with any other Broker-Member/ Sub-broker (If registered with multiple members, provide details of all) Yes No SEBI Regn No. Regd Office Address. Phone No. Fax No. website.	Name of Broker _____ Client Code _____ Exchange _____ (If Registered with more than one broker than please attach the details in annexure) Details of disputes / dues pending from / to such broker / sub-broker.
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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	
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References (to be included in KYC Form)

Introduction: Introduced by another constituent / director or employee of trading member / any other person (please specify)

Name of Introducer: _____
Surname Name Middle Name

Client Code (if introduced by client): _____ Signature: _____

Address of Introducer: _____

Please attach the Proof of Identity & Address of the Introducer.

Name and designation of the employee who interviewed the client: Name _____

Signature of the employee: _____ Designation _____

Investment Objective & Risk Profile (Tick ✓ One to indicate your investment objective)

- Income & growth (Low Risk) ☐
- Long-Term Growth (Medium Risk) ☐
- Aggressive Growth (High Risk) ☐
- Capital Appreciation (Moderate to High Risk) ☐

ADDITIONAL DETAILS Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):

YES / NO

[illegible]

Specify your Email id (write in capital only)

Number of years of Investment/Trading Experience: _____

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): **Y/N** _____

Any other information: _____

NOMINATION DETAILS (for individuals)

I / We wish to nominate

I / We do not wish to nominate

Name of the Nominee:

Relationship with the Nominee:

PAN of Nominee: Date of Birth

0	0	/	0	0	/	0	0	0	0
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Address and phone no. of the Nominee:

If Nominee is a minor, details of guardian:

Name of guardian:

Address and phone no. of Guardian:

Signature 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.

Date _____

Place



Signature of Client / Authorised Signatories

In order to ensure proper compliance with various Notices/Circulars /Guidelines issued by SEBI/Exchanges and uniformity BCML has prescribed the Policies & Procedure as under for guidance of all employees in HO/all Branches which is to be strictly followed by all.

Risk Management Policy

[1] Refusal of orders for penny stocks

The Company may, at its discretion accept or reject the orders in illiquid securities, and in the Penny stocks category as per our internal risk policy. "Penny stocks" for this purpose include the stocks appearing in the list of illiquid securities released by the exchanges from time to time. BOB Capital shall not be held liable for restricting / prohibiting trade in penny stocks at any time. BOB Capital shall not be held liable or responsible in any matter whatsoever for any refusal / cancellation of orders for trading in penny stocks/other securities and the client shall indemnify BOB Capital in respect of any loss caused to BOB Capital by virtue of the Client trading in penny stocks.

[2] Setting up of Client's Exposure limits

As part of risk management, BCML shall set client's *limits for transacting in Cash and F&O segment depending on the collateral provided by the clients and as per the clients profile. Client shall abide by the limits, set by BCML or by the Exchange or Clearing Corporation or SEBI from time to time. Collateral will be valued on a daily basis at latest / previous day's closing price and appropriate hair-cut shall be applicable.

Securities that are acceptable as collateral and their haircut may be changed by BCML from time to time at its sole discretion depending upon the internal risk and surveillance criteria. The acceptable collateral and the applicable hair cut will be as per BCML's internal risk and surveillance criteria, which may/ may not be as specified by the Regulators/Exchanges.

Client profiling shall be based on various factors including trading pattern of clients, residential status / financial status. The profiling may be reviewed by BCML from time to time as per the internal risk and surveillance guidelines. The exposure limits set by BCML do not by themselves create any right for the clients and are liable to be withdrawn at any time as per the internal risk and surveillance criteria and without any notice. The client agrees that any losses on account of such withdrawal shall be borne exclusively by the client alone.

The client agrees not to claim any compensation from BCML in the event of withdrawal / refusal of the applicable limit. The client agrees to compensate BCML for any loss, harm or injury on account of exposure given and/or withdrawn. In case of derivatives, clients shall be allowed to trade only up to the applicable position limits set by the Exchanges/Regulators from time to time.

BCML may from time to time demand additional collateral from the client in the form of funds or securities if there is a requirement for the same and the client shall be required to provide the same

[3] The right to sell client's securities or close client's position, without giving notice to the client, on account of non-payment of client's dues, limited to the extent of settlement / margin obligation.

In case any particular Client has failed to make payment on due date then the Company will sell that particular client's securities or close that particular client's position, without giving notice to the client on account of non-payment of lawful dues.

[4] Conditions under which a client may not be allowed to take further position or broker may close the existing position of a client.

It is to be noted that under following circumstances any Client will not be allowed to take further position or the Company may close that particular Client's position (i) If the particular Client is a Defaulter of lawful amount due to the Company (ii) Value of the Collateral is not sufficient to meet the Losses incurred by the Client (iii) If according to the Company Market Conditions has turned or likely to turn unfavourable based on the information available or it is the view of the matter taken by the Company. (iv) that particular Client is barred from Trading on the Exchange/s by SEBI/Exchange/s.

Business / Compliance Policy

[1] Applicable Brokerage rate

At present SEBI permits maximum brokerage @ 2.5%.The Company charge brokerage to their Clients at the rate/s below this maximum limit. Each client will be intimated the rate at which brokerage will be charged to him / her / it. This rate will be revised by

the Company based on volume of the Client's business / market conditions / other relevant factors. Any change in the rate of brokerage will be intimated to the Client in writing in advance and as mutually agreed.

[2] Imposition of penalty / delayed payment charges by either party –rate/Period

All Clients who have agreed to have a "Running Account" with the member will have to make payments due to the member on due date/s. In all cases if payment is not made to the member on due date penalty / delayed payment charges for delay in payment of amount relating to settlement, margin or any other lawful dues relating to securities transactions @ 18% per annum. These charges shall be levied from the date of debit balance till the credit of payment in your bank account.

[3] Shortage in obligation arising out of internal netting of trades

The said Policy is adhered to whenever there is an internal shortage in a scrip in the same settlement i.e. buyer & seller both are BCML clients. The member will purchase the shares on the pay-out day of the purchase settlement (Shortage) and the rate at which the purchase are made will be the price considered for the account effects. The rate at which the shares are re-purchased will be taken in to consideration for debit / credit to the buyer/seller respectively.

In case the members is not in the position to purchase the share due to buyer circuit filter on any exchanges related action, the buy-in will be done on the next day or upon agreement by both the buyer and seller the shortages would be closed out at a common price.

The client acknowledges that he will be solely responsible for the auction in case he sells the shares in the subsequent settlements and internal shortage procedure being not initiated or closed out affected, for reason whatsoever, which are short due to aforesaid internal shortage.

The shares have to be purchase in the buyer account only to avoid the third party violation of SEBI.

The client here in have read and understood the above policies of RMS & controls of the member and that he would strictly abide by the conditions laid in this policy.

[4] Temporarily suspending or closing a client's account at the client's request

It is to be noted that under following circumstances any particular Client's Account may be Suspended / Closed (i) On receipt of Written Instruction from that particular Client (ii) that particular Client is barred from Trading on the Exchange/s by SEBI/Exchange/s (iii) The particular Client who has defaulted in making payment on due date to the Company.

[5] Deregistering a client.

It is to be noted that any particular Client/s who is/are covered under any of the following category will be deregistered

- (i) that particular Client/s is/are barred from Trading on the Exchange/s by SEBI/Exchange/s (ii) The particular Client who has defaulted in making payment on due date to the Company. (iii) The Client NOT trading through the Company continuously for more than 12 months

Treatment of Inactive Accounts

The Clients who are inactive for the period of six months will be locked for further trading in order to avoid erroneous punching of order. Such customers can get their accounts activated by orally requesting their relationship manager or help desk executive. In case the client is inactive for a period of six (6) months the client will have to submit a fresh set of documents as required by the BOB caps and after due verification the client trading account will be reactivated.

In case there is a credit balance in the client account the same will be returned to the client.

I have read and understand the above policy for RMS and Controls of the Member and state that I will strictly abide by the conditions laid in this policy.



Signature of Client

Client Name:

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

As per SEBI and Stock Exchanges

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

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

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

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

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

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

DISPUTE RESOLUTION

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

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

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

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

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

TERMINATION OF RELATIONSHIP

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

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

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

ADDITIONAL RIGHTS AND OBLIGATIONS

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

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

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

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

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

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

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

ELECTRONIC CONTRACT NOTES (ECN)

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

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

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

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

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

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

LAW AND JURISDICTION

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

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

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

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

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

48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

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

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

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 Stock Exchanges and who holds a registration certificate as a stock broker from SEBI.
3. Stock Exchanges may be substituted with names of the relevant exchanges, wherever applicable.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENT

This document is issued by the member of the National Stock Exchange of India (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 Stock exchanges through a member shall be subject to your fulfilling certain formalities set out by the member, which may inter-alia include your filling the know your client form (KYC), , etc., and are subject to the Rules, Byelaws and Regulations of Stock exchanges and its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation/Clearing House and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any trading member and/or sub-broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/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 pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a stock / contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

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 EXCHANGES is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond 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 involve 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.

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

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

4. GENERAL

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

4.2 The term 'stock broker' 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.



UCC Code allotted to the Client:

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

We undertake that we have made the client aware of the **Policies and Procedures'**, **Schedule of Charges** and all the non-mandatory documents. We have also made the client aware of **Rights and Obligations' document (s)**, **RDD and Guidance Note**. We have given/sent him a copy of **all** the KYC documents. We undertake that any change in the Policy and Procedures', Schedule of Charges and all the non-mandatory documents would be duly intimated to the clients. //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.

Simple and Reliable On-line Trading



Signature of the Authorised Signatory of BCML

Seal/Stamp of the BOB Capital Markets Ltd.

Date: _____

BOB Capital Markets Ltd			
Schedule of Brokerage / Charges and Taxes			
Cash Segment	% Brokerage	Intra-Day	
	Delivery	(Both sided)	
Cash Segment	0.35%	0.10%	(0.05% on buy side / 0.05% on sell side)
Minimum Brokerage	Rs.0.05 paisa	Rs.0.05 paisa	
Additional Charges			
Service Tax on Brokerage	12.36%		(Service Tax + Educational Cess)
Securities Transaction Tax(STT)	0.10%	0.025%	(Rs.10000/- per crore on delivery / Rs.2500/- per crore on Sq-off)
SEBI Turnover Charges	0.0002%	0.0002%	(Rs.2 per crore)
Transaction charges			
NSE	0.00325%	0.00325%	(Rs.325 per crore)
BSE	0.00275%	0.00275%	(Rs.275 per crore)
Stamp Duty (state wise)	0.010%	0.002%	Applicable for Maharashtra State
Derivatives Segment (Futures)	% Brokerage	Intra-Day	
		(Both sided)	
Futures	0.08%	0.04%	(.020% on buy side / .020% on sell side)
Minimum Brokerage	Rs.0.01 paisa	Rs.0.01 paisa	
Additional Charges			
Service Tax on Brokerage	12.36%		(Service Tax + Educational Cess)
Securities Transaction Tax(STT)	0.01%		on turnover (Sell side)
SEBI Turnover Charges	0.0002%		on turnover
Transaction charges	0.0019%		(Rs.190 per crore) on turnover
Stamp Duty (state wise)	0.002%	0.002%	Applicable for Maharashtra State
Derivatives Segment (Options)	Flat Brokerage	Intra-Day	
	per lot (Rs.)	per lot (Rs.)	
Options	Rs.50	Rs.30	(Rs.15 on buy side / Rs.15 on sell side)
Additional Charges			
Service Tax on Brokerage	12.36%		(Service Tax + Educational Cess)
Securities Transaction Tax(STT)	0.017%		(Op. premium on sell side)
Securities Transaction Tax(STT)	0.125%		(settlement value for Options exercised)
SEBI Turnover Charges	0.0002%		on premium
Transaction charges	0.05%		on premium
Stamp Duty (state wise)	0.002%	0.002%	Applicable for Maharashtra State




Signature of the Client

Service Tax (ST), Securities Transaction Tax (STT), SEBI Turnover Charges, Transaction Charges and stamp duty will be charged in addition to brokerage as per Govt / Regulatory requirements. KRA charges will be debited to the clients account as applicable. Note: BCML reserves the right to revise the Schedule of Brokerage from time to time, with notice of 30 days. The notice may be given by ordinary post, email or published on BCML website.

"The rate of Service Tax is being increased from 12% plus Education Cesses to 14%. The effective increase in Service Tax rate will be from the existing rate of 12.36% (inclusive of cesses) to 14%, subsuming the cesses. The new Service Tax rate shall come into effect from a date to be notified by the Central Government. Till the time the revised rate comes into effect, the 'Education Cess' and 'Secondary and Higher Education Cess' will continue to be levied in Service Tax.

A new Swachh Bharat Cess on all or any of the taxable services at a rate of 2% on the value of such taxable services will be imposed by the Government. This cess shall be levied from such date as may be notified by the Central Government after the enactment of the Finance Bill, 2015.

SECTION B



VOLUNTARY DOCUMENTS

Simple and Reliable On-line Trading

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BARODA

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Simple and Reliable On-line Trading

STANDING INSTRUCTIONS & RUNNING ACCOUNT AUTHORISATION LETTER FROM CLIENT

To,
BOB Capital Markets Ltd.
UTI Tower, 3 Floor,
South-Wing, Bandra-Kurla Complex,
Bandra (E), Mumbai – 400 051.

Dear Sir,

Sub: letter of Standing Instructions & Running Account Authorisation

I / We hereby will fully and unconditionally issue following standing instructions with reference to personal discussion between us:

I / We authorise you to enter, modify, and delete orders into the Trading System of the Segments of the Exchanges on my / our behalf for which instructions may be given to you through / Verbal / Oral / Written / Telephonic Communication.

I / We authorise you not to provide me / us the Order Confirmation / Modification / Cancellation Slips and Trade Confirmation / Modification / Cancellation Slips generated by the Trading System of the Segments of the Exchanges to avoid wastage of Time and unnecessary Paperwork as I am / we are getting necessary information from the Contract Notes issued by you.

I/We will make payments to you for bills raised by you. I am / We are agreeable for maintaining running account and instruct you that no Cheque/Shares be issued to me/us towards credit balance in my/our account, unless specifically demanded by me/us and only to the extent of amount demanded by me/us.

I am / we are agreeable that the credit balance of funds and shares be treated as margin for both cash and derivatives segment.

I am / we are agreeable for transfer of credit balances in margin account / client account of cash segment towards adjustment debit balance in margin account / client account of derivatives segment and vice versa.

I am / we are agreeable for inter-settlement transfer of securities towards pay-in/pay-out of securities for the future / past settlements.

I am / we are agreeable for and authorise you to withhold funds pay-out towards all the applicable margin and debits.

I / We shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes to anyone else for trades done in my client code. All fines / penalties and charges levied upon you due to my acts / deeds of transaction may be recovered by you from my accounts.

I/We confirm my/our preference for actual settlement of funds and securities at least:

☐ **Once in a Calendar Quarter** ☐ **Once in a Calendar Month** *(Tick one of these options)*

except that you may not settle the funds given towards collaterals/margin in form of Bank Guarantee and /or Fixed Deposit Receipt.

I/We agree that funds in my ledger may be retained by you in lieu of settlement of my account if the balance is Rs.10,000/- or less due to administrative difficulty to settle the accounts and as permitted by SEBI/Exchanges vide their circular dated 29th October 2013.

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 the margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I / We confirm that I will bring to your notice any disputes arising from the statement of account or settlement so made in writing preferably **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.

I/We confirm you that I can revoke the above mentioned authority by giving a revocation letter in writing to you at any time.

I/We hereby authorise you to give instruction to BOB Capital Markets and Bank of Baroda DP/Bank of Baroda Bank Account for debiting / crediting my/our account/s with them. The authorisation shall be signed by me/us only and not by any power of attorney holder or any authorised person.

I/We confirm that there revocation of standing instruction will be effective only from the date and time the notice is received by BOB Capital Markets Ltd. I/We also confirm that all transactions originated prior to this are valid.

These standing instructions are valid from the date the account is opened and will be valid until revoked.

Thanking you,
Yours faithfully,



Client Name: _____

Unique Client Code: _____

Consent letter to Issue Contract notes in Digital Form.

BOB Capital Markets Ltd

UTI Tower, 3 Floor,
South-Wing, Bandra-Kurla Complex,
Bandra (E), Mumbai - 400 051.

Dear Sir,

Sub: Consent letter to Issue Contract notes in Digital Form.

I/We hereby consent to receive the contract note/trade confirmations of the trades executed by me / us, bills and account statements thereof, notices, circulars, amendments and all other correspondence or documents in electronic form duly authenticated by means of a digital signatures as specified in the Information Technology Act 2000 and the rules made there under, to any of my email ids mentioned in the KYC. I/We confirm that the Physical Contract Notes may not be issued to me/us as I am/ we are willing to receive the same in Electronic/Digital mode. I/We hereby also consent to receive:-

[1] Security Transaction Tax (STT) Statement

[2] Statement of Securities/Statement of Funds.

[3] Financial Statement

[4] Daily Margin / Collateral Statement

and other statutory / non-statutory documents in electronic / digital mode as per BSE / NSE / SEBI guideline. I/We further hereby agree that the member shall fulfil the legal obligation, if the above documents are sent electronically to my one of the e-mail ids mentioned in the KYC. I/We agree that the member will not be responsible for non-receipt of documents sent via electronic delivery due to change in email address / correspondence address as mentioned aforesaid and the same being not informed to the member. I/We also agree that the member shall not take cognizance of out-of office / out-of station auto replies and I/We shall be deemed to have received such electronic mails. The mandate is subject to terms and conditions mentioned herein below:

Terms and conditions for issuance of contract notes in digital form:

1. Digital contract notes in the format as may be prescribed by the Exchange from time to time will be mailed to the mail address provided to us.
2. Digital contact Notes will also be available at our website www.barodaetrade.com.
3. I/We understand to check the contract notes and bring the discrepancies to your notice **within a reasonable time** of issuance of contract notes. My/our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
4. Clients can view the Digital contract notes using the user name & password through the above website apart from the contract notes sent to the client through mail.
5. The digital contact notes **will be archived at an interval of 1 year**. If the client intends to view the digital contract note for a **period prior to 1 year** client may request for the same in writing. We may charge certain amount for the same.
6. In case of any failure in system or errors in digital contract notes **or bouncing of e-mails** on a recurring basis, contract notes will be issued in physical form, acceptance of which shall be binding on the client.
7. Discrepancies, if any, should be sent to the branch or to email: investorgrievances@bobcaps.in
8. **I/We confirm that, "non-receipt" of bounced mail notification by the member shall amount to delivery of the contract note at the email-id of the client.**
9. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
10. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
11. Any change in terms and conditions shall be intimated from time to time.
12. I acknowledge and confirm that in case you do not receive a message of unsuccessful delivery or mail bounce, the message sent to you will be treated as delivered to you.
13. Any change in my/our email ID shall be immediately intimated to BOB Capital Markets Ltd **through physical letter separately**. For Internet clients, change request in email ID can be made through secured access by way of client specific user ID and password.

This instruction is several to all parties mentioned above.

Yours faithfully,

Client's Signature: 

Client Name: _____ Unique Client Code _____

LIMITED PURPOSE POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME, I /WE

[1] Mr. /Ms _____ S/o, D/o, W/o _____ Aged _____

Residing /Working at _____

[2] Mr. /Ms _____ S/o, D/o, W/o _____ Aged _____

Residing /Working at _____

[3] Mr. /Ms _____ S/o, D/o, W/o _____ Aged _____

Residing / Working at _____

[4] Mr. /Ms _____ S/o, D/o, W/o _____ Aged _____

Residing /Working at _____

WHEREAS

I/We am/are the sole, joint and beneficial holder of the savings/current/other funds account(s) with Bank of Baroda, the details whereof are set out in schedule 1 hereto (hereinafter referred to as 'Bank Account') and /or Depository Account in individual/joint/Karta/Trust/Company name/s for the Online Trading facility offered by M/s BOB Capital Markets Ltd. (BCML), the details whereof are set out in schedule 2 hereto (hereinafter referred to as 'Demat Account')

I/We, am/are desirous of opening a Trading Account with **M/s. BOB Capital Markets limited (BCML)**, a Company incorporated under the Companies Act, 1956 having Regd. Office at **UTI Tower, 3rd Floor, South-Wing, Bandra-Kurla Complex, Bandra (E), Mumbai – 400 051** and wish to become a client of, and participate on my/ our behalf, in various services offered by BCML and thereby, desirous of investing/trading in those securities/contracts/other instruments / derivatives admitted to dealing on the Stock Exchange as defined in the Rules, Byelaws and Regulations of the Stock Exchange and circulars issued there under from time to time.

I/We have gone through the above documents and understood the terms, conditions, Rights and Obligations contained therein and are also satisfied of the capacity of BCML to deal in securities and/or deal in derivatives contracts. To facilitate blocking / transfer of funds and securities regularly from my/our/BCML's Bank / Demat account to my/our/ BCML's Bank / Demat account for the Online Trading facility, this limited purpose Power of Attorney is being executed by me/us. **Accordingly, I / We, am/desirous of appointing M/s BOB Capital Markets limited to be my / our true and lawful attorney for performing the services offered to me/us by them and confer upon BCML all the rights and powers hereinafter stated.**

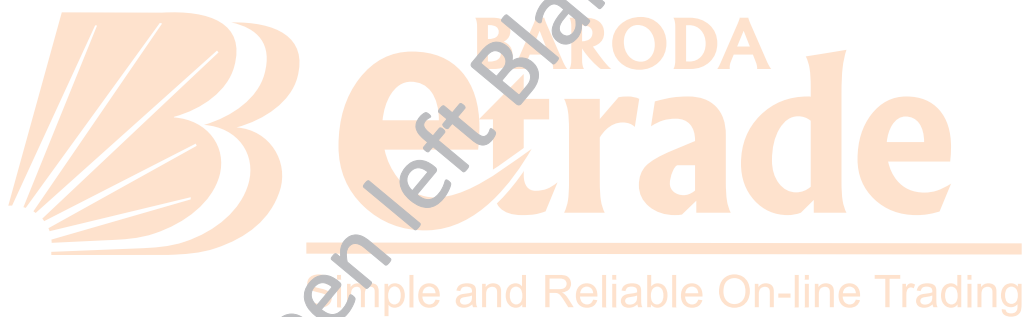
NOW KNOW YOU ALL AND THESE PRESENTS WITNESSETH that I/we, the above named, do hereby nominate, constitute and appoint M/s BOB Capital Markets Ltd. as my/our true and lawful attorney to do, execute and perform or cause to be done, executed or performed all or any of the following acts, deeds and things for my/our behalf namely:

- 1) To have and exercise the powers and /or authority and to do and / or execute the acts, deeds, matters and things specified in the Rights and Obligations document attached in the account opening kit.
- 2) Pursuant to our instructions, to acquire by subscribing to or by purchase of securities and to sell, transfer and endorse the securities (including but not limited to Initial Public Offerings, Buy Back Offers, Right Issue, Bonus Issues, Split etc.) or any other "Investment Products" offered for sale or redeem the same either through internet issued by any Mutual Fund from time to time or otherwise.

FRANKING FOR RS.100/- TO BE DONE IN THIS AREA



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- 3) To give/extended any instructions to my/our Banker to credit the said Bank/Demat Account with monies/securities due to me/ us or to debit my/our said Bank Account or Demat Account towards Monies/fees/charges/securities etc. due to BCML or to Depository Participant and to discharge all obligations in that regard on my/our behalf to BCML and/or above said Bank/Depository Participant.
- 4) To operate bank account and to view transactions entered and monies available in, block and/or debit/credit or create lien on any monies and/or give instructions to my/our Bank on my/our behalf in respect of my/our Bank Account or any other Bank Account as per my/our instructions to furnished in any manner acceptable to BCML, in order to effectually complete and give effect to every and any trade, deal and transaction made or ordered by me/ us, and to meet all my/our obligation in terms of the Rights and Obligations mentioned by BCML as prescribed by SEBI and Stock exchanges for transactions done on the National Stock Exchange (NSE) and/or Bombay Stock Exchange (BSE), or any other Exchange/s on my/our instructions and to give other instructions relating to the said Bank Account, for any matter concerning the above mentioned purpose, including charges for availing various services and facilities from BCML.
- 5) To operate Demat account, to view transactions entered and securities available in, block securities (in part or in full) in, transfer securities (in part or in full) from, deposit securities into, create pledge on any securities and/or give instructions to the depository participants in respect of the Demat Account on my/our behalf in order to effectually complete and give effect to every and any trade, deal and transaction made or ordered by me/us, and to meet the obligations between myself/ourselves and BCML under the Rights & Obligations mentioned by BCML.
- 6) To make, sign and submit applications for such investment products including but not limited to IPO's, subscription /redemption of mutual fund units etc. as may be instructed to be applied for by me/us including but not limited to pledging of scrips stocks, securities, bonds, debentures, mutual fund units, shares received in IPO's, units of any collective investment scheme or any other security or financial instrument on behalf of me/us to BCML herein under.
- 7) To generally do perform all acts deeds and things as may be necessary for or incidental to provision of aforementioned services and facilities to me/us including giving intimations, confirmation, undertaking etc. on my/our behalf to effectually complete any and all terms of the Rights & Obligations mentioned by BCML.
- 8) To transfer my/our securities for my/our margin /delivery obligations arising out of trades executed by me/us.
- 9) To pledge / transfer my/our securities with NSCCL or Exchange for meeting margin requirements in connection with the trades executed by me/us.
- 10) To transfer funds from my/our Bank Account for meeting settlement obligations/margin requirements in connection with the trades executed by me/us and/or for recovering any outstanding amount due from me/us arising out of my/our trading activities and/or for meeting obligations arising out of me/us subscribing to such other products/ facilities/services through BCML like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares etc.
- 11) To transfer funds from my/our Bank Account towards monies/fees/charges etc. due to BCML payable by virtue of me/us using/subscribing to any of the facilities/services availed by me/us on my/our instance.
- 12) To bind myself/ourselves with respect to any instruction given by one or more of us to BCML.
- 13) To have the first and paramount lien on the said Bank/Demat Account and to exercise such lien in the event of such loss suffered on account of any transaction done/executed by Stock broker on my/our instructions.
- 14) To return to me/us the securities/fund that may have been received erroneously or those securities or fund which BCML was not entitled to receive.
- 15) To fulfil my/our unsettled obligations/payments for transactions executed on my/our behalf or any other obligation(s) during the validity of this Power of Attorney. I/we further agree and understand that BCML will not be held liable for losses, if any, for all acts, deeds, actions undertaken to fulfil my/our obligations/payments for transactions executed on my behalf.
- 16) To do or omit to do all such acts and things as BCML may in its discretion consider being necessary or desirable in order to exercise, its powers hereunder or to comply with any laws, regulations or directions of any government or regulatory authorities.
- 17) To operate and to give delivery/receipt instructions, borrowing and lending instructions, pledge creation instructions, pledge closure instructions and to do all such other things that may be necessary in the course of business relating to operation of existing depository account as per schedule II with Bank of Baroda Depository Participant with National Securities Depository Limited/Central depository Services (India) Limited or towards the obligation(s) for transactions done on NSE, BSE and any other Exchange in India.
- 18) To send me/ us consolidated scrip-wise position summary with average rates/detailed trades on daily basis by the way of SMS/Email on my mobile or on my email id (details of which has already been provided to BCML or as updated by me from time to time).



- 19) To register this Power of Attorney with the said Bank and the Depository Participant or with any other party concerned.
- 20) To do all such acts, deeds and things as may be necessary for or incidental to provision of services and facilities to me/us, including giving of intimation, confirmation, undertaking etc. on my/our behalf.
- 21) To retain all original documents executed by me/us.
- 22) In the event of any instructions being provided to the Bank which would in any manner prejudice any monies blocked by the Bank, the Bank shall at all its option, be entitled to transfer of its own accord the said blocked monies to BCML ("Forced Transfer"). The Bank shall not in any manner responsible or liable for the consequences of such Forced Transfer including where such Forced Transfer results in an dishonour of cheque by the Bank or where despite such transfer, the corresponding securities are not delivered to the client by the Securities Trader.
- 23) Further, the powers given under this limited purpose Power of Attorney shall having overriding effect over the mandate and / or operation conditions given by me / us in the said Bank / Demat Account. And I / We shall not change the style of the designated Bank Account by adding / deleting name/s to/from the said Bank Account in any event or do any act affecting the power delegated through this Power of Attorney to BCML.
- 24) That I / we can revoke this limited purpose Power of Attorney by giving a revocation letter (without notice) in writing to you at any time to your head office at UTI Tower, 5 Floor, South-Wing, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051 and the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at UTI Tower, 5 Floor, South-Wing, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051. I/We understand that such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carrying out prior to receiving request for revocation of Power of Attorney.
- 25) I/We hereby agree to ratify all lawful acts and things done by the said attorney pursuant to the powers hereinbefore contained and I/We shall be bounded by all acts done by the Stock broker in furtherance to the Power of Attorney and indemnify and keep indemnified BCML for all and whatever BCML and / or any of its employees, directors or agents shall lawfully do or cause to be done by virtue of these presents.

IN WITNESSETH WHEREOF I/we, the said _____ have hereunto put

my / or hand this _____ Day of _____ 20.

1. Name _____ Client Signature 
2. Name _____ Client Signature 
3. Name _____ Client Signature 
4. Name _____ Client Signature 

In the presence of: Witnesses:

1. Name & Address _____ Signature _____

1. Name & Address _____ Signature _____

Accepted for and behalf of BOB Capital Markets Ltd.

Authorised Signatory 

Schedule I

BOB Capital Markets Bank Account Details:-

Bank Name	Account Number	Exchange	Account Description
Canara Bank	2426201100079	NSE	Client Account
Bank of Baroda	03810200001002	BSE	Client Account

Schedule II

BOB Capital Markets Demat Account Details:-

Name of the DP	NSDLICDSL	DP ID	Client ID	Account Description
Bank of Baroda	CDSL	13018700	1301870000267585	BSE CM Pool Account
Bank of Baroda	CDSL	13018700	1301870000267606	NSE Pool Account
Bank of Baroda	CDSL	13018700	1301870000267566	Client Margin Account
Bank of Baroda	NSDL	IN300870	10185030	NSE Pool Account
Bank of Baroda	NSDL	IN300870	10185023	BSE Pool Account

Schedule III

The above said Account Holder/s is/are having Demat Account in the style mentioned below:

Name of the DP- **Bank of Baroda**

NSDL / CDSL

DP ID **13018700 / IN 300870**

Client ID _____

1. Mr. / Ms / M/s First Holder _____

2. Mr. / Ms / M/s Second Holder _____

3. Mr. / Ms / M/s Third Holder _____

Schedule IV

The above said Account Holder/s is/are having Bank Account in the style mentioned below:

Bank Name: **Bank of Baroda**

Bank Account No. : _____

1. Mr. / Ms / M/s First Holder _____

2. Mr. / Ms / M/s Second Holder _____

3. Mr. / Ms / M/s Third Holder _____



Signature of the Client

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TERMS & CONDITIONS APPLICABLE ONLY TO CLIENTS AVAILING OF THE STOCK-BROKERS CALL-N-TRADE / TRADING ON PHONE FACILITY

To avail the Tele-trading Facility, the Client will be required to call on the specific number notified from time to time by the Stock Broker for the said purpose in writing or by publishing on its website or in such other manner as may be determined by the Stock Broker. Such numbers will be subject to change at the Stock Broker's discretion, which change shall be notified to the Client either through the Stock Broker's Website or in such other approved manner as may be determined by the Stock Broker.

1 Before the commencement of the Tele-trading Facility, and except in the case of an individual or a sole proprietor acting directly, the Client shall be required to provide details account of person authorised as prescribed by law and regulations of exchange and SEBI to trade on behalf of the account holder.

2 Before being given access to the Tele-trading Facility, the Client, must provide accurate answers to the questions (if any) asked by the Stock Broker's personnel providing the Tele-trading Facility, for ascertaining the identity and authentication of the caller as the Client. The Stock Broker shall have the discretion to ask such questions as the Stock Broker may deem fit and proper. The Stock Broker will not however be bound to compulsorily ask such questions and the decision to ask or not ask shall be at the discretion of the Stock Broker. For instance, the Stock Broker may designate certain segments of the Tele-trading Facility as requiring compulsory identification and verification and may not require certain segments of the Tele-trading Facility to have such compulsory identification and verification, where the Stock Broker requires such compulsory identification and verification, the Stock Broker shall execute the request/order for the Client only after the Client's identity has been verified to the satisfaction of the Stock Broker inter alia by way of a user identification number, if any. The Client shall ensure that the user identification number and password are not misused. The Client agrees that the stock broker shall not be responsible for any such unauthorized usage.

3 The Client hereby authorises the Stock Broker to use the Client identification/user identification number as intimated by the Client as method of verification of the Client's identity as caller and accordingly for the purpose of taking instructions and executing the orders placed by such caller over the phone. All requests/orders placed by the Stock Broker on behalf of the Client in the manner prescribed above shall be deemed to have been authorized and placed by the Client himself/itself and shall be valid and binding on the Client. The Client understands that all methods of identification need to be prompt and strictly confidential to prevent any misuse and the Client shall be bound by all such transactions irrespective of any misuse and notwithstanding any error, misunderstanding, fraud, forgery or lack of clarity in the terms of such orders/requests on the part of the client.

4 In each request/order, the Client must indicate the Exchange on which the Client desires the order to be executed. All orders placed during market hours will be for the same day execution. Orders placed after-market hours will be sent for execution to the Exchange on the next trading day.

5 The Client agrees that orders, instructions and other communications given or made over the telephone, may be routed through the Stock Broker's interactive voice response or other telephone system and may be recorded by the Stock Broker.

6 The Client also agrees that such recording and the Stock Broker records of any orders, instructions and communications given or made by the Client or the Stock Broker by electronic mail, fax or other electronic means shall be admissible as evidence. If the Stock Broker so chooses to record the orders, instructions and communications, he/it shall be free to store the same for such period of time as the Stock Broker deems fit and the Stock Broker may overwrite, erase or destroy such records at such intervals as it may deem fit.

7. The Client acknowledges that trading through telephone may involve many uncertain factors and complex hardware, software systems, communication lines, etc. which are susceptible to interruptions and dislocations and the Stock Broker's services may at any time be unavailable without further notice. The Stock Broker makes no representation or warranty that the services will be available to the Client at all times without interruption. The services are provided on an "as available" basis without warranties of any kind, either express or implied, including, without limitation, those of merchantability and fitness for a particular purpose.

8. The Client acknowledges that he/it is fully aware of and understands the risks associated with availing of the services for routing orders over the telephone including the risk of misuse and unauthorized use of his/its Client identification and/or user name and/or password by a third party. The Client agrees that he/it shall be fully liable and responsible for any and all unauthorized transactions and unauthorise use and misuse of his/its password and/or user name and/or user identification.

9. In all such events the Client agrees to assume and bear all the risks involved in respect of such errors and misunderstandings and the Stock Broker shall not be held liable or responsible in any manner for the same or breach of confidentiality thereto and shall also not be liable for any claims, loss, damage, costs or expense and liability there from, in any manner whatsoever.

10. The Client specifically acknowledges and confirms that:

- (a) Sending information by telephone is not a secure means of sending information and can be intercepted and tampered with;
- (b) The Client is aware of the nature of tele-communication services.
- (c) Any request to the Stock Broker to accept and act on either telephonic call instructions is for the Client's convenience and benefits only.

11. The Client is aware that he/it has the option of not availing such Facility. However being fully aware of all risks, the Client desires the convenience of such Facility of transmitting orders and instructions using Tele-trading facility and has therefore opted for such Facility of his/its own free choice and is willing and agreeable to bear all associated risks, responsibility and liability;



.....
Signature of the Client



Authorisation letter TO USE A COMMON EMAIL ID for multiple trading accounts of family members*

To,
BOB Capital Markets Ltd
BKC, Bandra,
Mumbai - 400051.
Sir,

Sub: Authorisation letter TO USE A COMMON EMAIL ID for multiple trading accounts of family members*

We have opened the following Barodaetrade Online Trading Accounts of our family members* with BOB Capital Markets Ltd.

I hereby intimate BOB Capital Markets Ltd, that I will be using my personal email ID for all my other family members* trading accounts as mentioned below.

I shall be responsible for the mails received from BCML in the form of Bills, Contract Notes, Financial Statements or any other relevant mails for all my family members* Trading accounts for whom my personal email ID has been registered with BCML.

Kindly take the same on record.
Thanking you
Yours Truly



Name & Signature of the Primary Account holder whose email ID has been used.

* Family Members: ☐ Spouse ☐ Dependent Children ☐ Dependent Parent

A/c Holder Name _____

Client Code _____ Pan No. _____

Email address _____ Signature 

A/c Holder Name _____

Client Code _____ Pan No. _____

Email address _____ Signature 

A/c Holder Name _____

Client Code _____ Pan No. _____

Email address _____ Signature 

A/c Holder Name _____

Client Code _____ Pan No. _____

Email address _____ Signature 

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To,
The Chief Manager / Sr.Branch Manager,
Bank of Baroda,
Branch,
City,

Dear Sir/Madam,

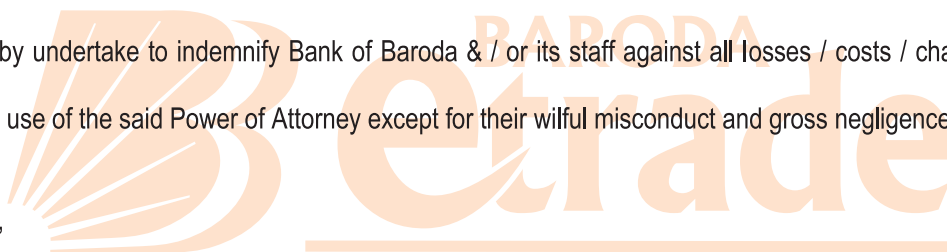
Re: Indemnity Letter to link the Demat Account with Online Trading Account

I _____ residing _____ at _____
_____ enclose the **Power of Attorney**
executed on _____ at MUMBAI in favour of M/s BOB Capital Markets Ltd and state that it is latest, current and
valid as on date and request you to register the same for operations of Online Trading having **DP-ID IN 300870 / 13018700** and my
Client ID _____ with you.




I/We undertake to intimate Bank of Baroda, depository services department of any changes / validity of the said Power of Attorney.

I/We also hereby undertake to indemnify Bank of Baroda & / or its staff against all losses / costs / charges / damages suffered /
incurred due to use of the said Power of Attorney except for their wilful misconduct and gross negligence.

Yours faithfully,



Simple and Reliable On-line Trading

1  2  3 
Signature/s of the Demat Account Holder/s

Place:

Date:

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KYC ACKNOWLEDGEMENT LETTER

Date:

To,

BOB Capital Markets Ltd,

UTI Tower, 3rd Floor,

South-Wing, Bandra-Kurla Complex,

Bandra (E), Mumbai – 400 051.

Dear Sir,

This is to confirm that I have received the copy of the duly completed mandatory and voluntary client registration documents while opening trading account with you.

The set contains the copies of below mentioned documents.

- ✓ **Copy of OLT Application form including (KYC).**
- ✓ **Risk Disclosure Document.**
- ✓ **Rights & Obligations of stock broker, sub-broker and client for trading on Exchanges.**
- ✓ **Guidance Note detailing Do's and Don'ts for trading on Exchanges.**
- ✓ **Voluntary Documents / Clauses.**
- ✓ **Declarations.**
- ✓ **Policies and Procedures of the company.**
- ✓ **Copy of PAN Card & Verification of PAN Card.**
- ✓ **Copy of relevant Proofs submitted i.e. Identity, Address, Demat, and Bank Account.**
- ✓ **Schedule of Charges.**



Signature of the Client

UCC No:

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Registered Office Address



Corporate Identity Number : U65999MH1996GOI098009

UTI Tower, 3rd Floor, South-Wing, Bandra-Kurla Complex, Bandra (E), Mumbai – 400051.

Phone : 022 – 6138 9300 / Fax : 022 – 6671 8535

Email : contactus@bobcaps.in | Website : www.bobcaps.in / www.barodaetrade.com

Member : National Stock Exchange of India & BSE Ltd

NSE SEBI Regn No: (Cash) INB231304537 / (Derivatives) INF 231304537

BSE SEBI Regn No: (Cash) INB 011034533