

FORM NO.

VERSION – 2016/08

**CLIENT REGISTRATIN FORM
FOR DEMAT AND TRADING ACCOUNT
(COMBINED FOR NSE, BSE, MSEI & DP - CDSL)**



**TIPSONS STOCK BROKERS PVT. LTD.
CIN NO. U65910GJ1995PTC028486**

Demat

Trading

Branch : _____ Trading Code : _____

Demat Code : _____

Client Name : _____

SEBI REGISTRATION NUMBER AND DATE

NSE: INB/INF 231428039, CDs: INE231355731 (NSE CASH & FO: 17-01-2011, NSE CD: 13-11-2009)

BSE: INB/INF 011428035 (BSE CASH & FO: 28-02-2011)

MSEI: INE 261314731 (MSEI CD: 30-09-2008)

CDSL: IN-CDSL-96-2015 (DP ID – 12081500, CDSL: 21-07-2015)

Designated E-mail ID for Investor Grievances :

For Trading and Demat Account : compliance@tipsons.com

Website : www.tipsons.com



ACKNOWLEDGEMENT

Tipsons Stock Brokers Private Limited.

Sheraton house, 5th Floor, Opp. Ketav Petrol Pump, Polytechnic Road, Ambawadi, Ahmedabad-380015, Gujarat.

Phone : 079-30611140 / 43 / 45. Fax : 079-30611137.

Designated E-mail Id for Investor Grievances : compliance@tipsons.com

Client Name : _____

Client Code/Trading Code : _____

(1) I / we do hereby confirm the receipt of copy of the duly completed KYC documents including RDD, Rights and obligations Guidance Note, policies and procedures and all such other documents executed by me/us as your client.

(2) I/we do hereby confirm the receipt of the tariff sheet, trading code/unique client code allotted to me/us including the E-mail ID furnished by me/us for the purpose of receiving electronic contract notes, statement of accounts and such other documents and as such have noted the User ID and Password given to me/us for the operations of the same through your website.

(3) In case of non-receipt of the above or user ID & password for tracking any transaction through your Website: www.tipsons.com or for any help/assistance. I/we will promptly notify your compliance officer for Trading A/c and Demat A/c: Nilesh Panchal, on ID:compliance@tipsons.com or Ph.: 079-66828083 / 8019.

(4) It is Specifically agreed by the client that the client shall not have recourse to dispute redressal mechanism/arbitration mechanism/investor protection scheme of the Stock Exchanges/SEBI in case the client avails services under any scheme/leagues/ competitions etc. offered by any third party/group company/associate of the stock broker.

✓ **Signature (1)** _____

Date _____



ACKNOWLEDGEMENT

DP ID-12081500

Tipsons Stock Brokers Private Limited.

Sheraton house, 5th Floor, Opp. Ketav Petrol Pump, Polytechnic Road, Ambawadi, Ahmedabad-380015, Gujarat.

Phone: 079-30611140 / 43 / 45. Fax: 079-30611137.

Designated E-mail Id for Investor Grievances : compliance@tipsons.com

Received the application from Mr. / Ms. as the sole / first holder along with and as the second /third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence

For, Tipsons Stock Brokers Pvt. Ltd.

DATE : _____

Authorised Signatory



Tipsons Stock Brokers Private Limited.

Sheraton house, 5th Floor, Opp. Ketav Petrol Pump, Polytechnic Road, Ambawadi, Ahmedabad-380015. Phone: 079-30611140 / 43 / 45. Fax: 079-30611137.

“RIGHTS & OBLIGATIONS” Acknowledgement (Broker & DP)

I/We do hereby Acknowledge receipt of following

Annexure 4 - Rights & Obligations of Stock Brokers and Client, Rights & Obligations of DP and Beneficial Owner

Annexure 5 – Risk Disclosure Document for Capital Market And Derivatives Segments

Annexure 6 – Guidance Note – Do’s And Don’ts for Trading on the Exchange(s) For Investors

Document describing significant policies and procedures of the stock broker (added by the stock broker).

Right and Obligations of Beneficial and Depository Participant as prescribed by SEBI and Depositories.

DP ID: 12081500	CLIENT ID:	Trading Code:
	NAME	SIGNATURE (2)
Sole/First Holder		✓
Second Holder		✓
Third holder		✓

ACCOUNT OPENING KIT**INDEX**

Sr.No	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) <i>(to be added by the stock broker)</i> .	2
2	Account Opening Form	A.KYC form – Document captures the basic information about the constituent and an instruction/checklist. B. Document captures the additional information about the constituent relevant to trading account and an instruction/checklist/Nomination Form. C. Charge Structure	3 to 8 9 to 12 13 to 17
MANDATORY & VOLUNTARY DOCUMENTS AS PRESCRIBED BY THE STOCK BROKER			
3	FATCA-Self Declaration by Client	FATCA – Self Declaration - Mandatory	18 to 19
4	Policies and Procedures	Document describing significant policies and procedures of the stock broker <i>(to be added by the stock broker)</i> . Mandatory	20 to 23
5	Voluntary Document-1 for Running Account Authorisation	Document showing voluntary clauses for running account maintenance, e-mail ID and Mobile no. for receiving SMSs etc. which can be revoked at any point of time	24
6	Voluntary Document-2 showing some basic information about Anti-money laundering measures	Document to provide basic information to clients about AML measures for General Guidance of Clients and Annexure 2.4 T & C cum Registration/Modification Form for receiving SMS Alert from CDSL	25 to 28
7	Terms And Conditions for availing (TRUST) Service offered by CDSL	"Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL" As prescribe by the CDSL. Annexure 2.6	29 to 30
SUPPLEMENTARY BOOKLET FOR MANDATORY (STANDARD) DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Rights and Obligations – DP		1 to 3
2	Rights and Obligations	Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading). – Annexure 4	4 to 8
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market. Annexure 5	9 to 12
4	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors. Anne. 6	13 to 14

Name of Stock Broker / Trading Member / Clearing Member: TIPSONS STOCK BROKERS PVT. LTD.

Details of SEBI Registration Number for NSE Cash - INB231428039, BSE Cash - INB011428035, DP- CDSL: IN-CDSL-96-2015, DP ID – 12081500. Clearing Code NSE: 14280 / BSE: 6410

Detail of Clearing Member: IL & FS SECURITIES SERVICES LTD.

Address: IL & FS House, Raheja Vihar, Chandivali, Andheri (E), Mumbai – 400072.

	Exchange & Segment			
	NSE F&O	NSE CD	BSE F&O	MSEI CD
SEBI Regn No.	INF231133630	INE231308334	INF011133834	INE261390620
Clearing Code	C50008	C50008	P807	34

Head Office / Regd. Office Address: Sheraton House, 5th Floor, Opp. Ketav Petrol Pump, Polytechnic Road, Ambawadi, Ahmedabad – 380015. Phone no. 079-66828083 / 8019, Fax: 079 30611137, Website: www.tipsons.com.

Compliance Officer Name, Phone No., Email Id:

For Trading & DP: Mr. Nilesh Panchal, 079-66828083 / 8019, Email Id: compliance@tipsons.com.

Director & CEO Name, Ph. No. & Email ID: Mr. Jitendra J. Shah, 079-66828115, jshah@tipsons.com.

For any grievance/dispute please contact stock broker (TIPSONS STOCK BROKERS PVT LTD) at the above address or email id compliance@tipsons.com and no. 079-66828083 / 8019. In case not satisfied with the response, please contact the concerned exchange(s)/depository as per following details

Exchange/Depository	E-mail ID	Phone No.
NSE	ignse@nse.co.in	022-26598190
BSE	is@bseindia.com	022-22728097
MSEI	Investorcomplaints@msei.in	022-61129000
CDSL	complaints@cdslindia.com	1800-200-5533

Tariff Sheet:

	1 st Leg		2 nd Leg	
	%age	Min.	%age	Min.
Brokerage				
Delivery				
Trading				
Derivatives				
Options				
Currency				

Notes:

- (1) Brokerage will be charges within the limits prescribed by SEBI/Exchanges and %age on transaction value basis as shown above.
- (2) Brokerage will be charged on per share basis, rounded off to nearest 2 to 4 decimal points as per back office software of the stock broker and then multiplied with the total number of shares, in order to calculate total brokerage per transaction payable by the client
- (3) Apart from Brokerage as agreed with you and as disclosed hereinabove, various other statutory levies at actual from time to time, such as Service Tax, Securities Transaction Tax, Stamp Duty, Turnover Charges, Clearing Charges, ect. As may be applicable from time to time.
- (4) On option segment of Exchange, it is hereby disclosed that brokerage shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.
- (5) Other Taxes and Statutory Levies as prescribed by Government and regulatory authorities would be applicable. Such taxes and statutory levies are charged as applicable from time to time.
- (6) Apart from above, delayed payment charges as per Policy & Procedures under mandatory documents forming part of KYC documents would also apply.
- (7) Tipsons Stock Brokers Pvt. Ltd. reserves the right to revise the brokerage structure.
- (8) We declare that we are doing proprietary Trading along with client business.

✓ **Signature (3)**  _____

Date: _____

ANNEXURE - 3

DEMAT & TRADING ACCOUNT RELATED DETAILS

DP ID: 12081500

DATE:

CLIENT ID:

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

PLEASE FILL ALL THE DETAILS IN **CAPITAL LETTERS ONLY**

I/we Request you to open a Demat / Trading Account in My / our name as per the following additional details.

A) Details of Account Holder(s) :	Name	PAN
Sole/First Holder		
2nd Holder		
3rd Holder		

B) For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc, although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., Should be mentioned below :

a) Name _____ b) PAN : _____

C) Type of Account

- | | | | | |
|---|---|--|------------------------------|------------------------------|
| <input type="checkbox"/> Ordinary Resident | <input type="checkbox"/> Foreign National | <input type="checkbox"/> Mutual Fund | <input type="checkbox"/> FI | <input type="checkbox"/> HUF |
| <input type="checkbox"/> Qualified Foreign Investor | <input type="checkbox"/> Margin | <input type="checkbox"/> Trust | <input type="checkbox"/> FII | |
| <input type="checkbox"/> NRI – Repatriable | <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Bank | <input type="checkbox"/> CM | |
| <input type="checkbox"/> NRI - Non Repatriable | <input type="checkbox"/> Promoter | <input type="checkbox"/> Other (Please Specify)..... | | |

D) In Case of NRIs / Foreign Nationals / FII / Others (as may be applicable)

RBI Approval Reference Number :

RBI Approval Date :

SEBI Registration Number (for Fiis):

E) Bank Account (S) Details

(1) Bank Name & Address : (Default)

Bank A/c. No.:	Account Type:
MICR Number :	IFSC/RTGS/ NEFT Code:

(2) Additional Bank Name & Address (If Any) :

Bank A/c. No.	Account Type:
MICR Number :	IFSC/RTGS/ NEFT Code:

F) Income / Occupation / Other Details

1. Gross Annual Income Details (Please Specify) Income range per annum: Below Rs. 1 Lac Rs. 1-5 Lac Rs. 5- 10 Lac Rs. 10-25 Lac Rs. 25-50 Lac Rs.50 Lacs-1 crore More than Rs. 1 crore.

2. Net-Worth (Net worth should not be older than 1 year) Amount?as on.....

3. Occupation (Please tick any one and give brief details): Private Sector Public Sector Business Government Service Professional Agriculturist Retired Housewife Student Others (Please Specify).....

4. Please tick, if applicable, for any of your authorised signatories/Promoters/Partners/Karta/Trustees/Whole time director Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

5. Any Other Information.

G. DEPOSITORY ACCOUNT(S) DETAILS (If Already Available)

Sr. No.	Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
1.	Tipsons Stock Brokers Pvt. Ltd.	CDSL		12081500	

H. TRADING PREFERENCES

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

Exchanges & Segments		Signature (4)		Name of Other Segments if any	
NSE	Cash	✓			
	F&O	✓			
	Currency Derivative	✓			
BSE	Cash	✓			
	F&O	✓			
MSEI	Currency Derivative	✓			

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

I. PAST ACTIONS [If yes, Provide full details with documentary evidence]

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

J. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name:

SEBI Registration number:

Registered office address:

Ph: Fax: Website:

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

Name of stock broker:

Name of Sub-Broker, if any:

Client Code..... Exchange.....

Details of disputes/dues pending from/to such stock broker/sub-broker.....

K) ADDITIONAL DETAILS

- * Whether you wish to receive physical contract note or Electronic Contract Note (ECN)
(Please specify):
- * Specify your Email id, if applicable:
- * Whether you wish to avail of the facility of internet trading/wireless technology
(Please specify):
- * Number of years of Investment/Trading Experience:
- * In case of non-individuals, name, designation, PAN, DID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firms/others
.....
- * Any other information

L) Clearing Member Details (to be filled up by Clearing Members only)

1. Name of Stock Exchange	
2. Name of Clearing Corporation / Clearing House	
3. Clearing Member ID	
4. SEBI Registration Number	
5. Trade Name	
6. CM – BP – ID (to be filled up by Participant)	

M) INTRODUCER DETAILS (optional)

Name of the Introducer:

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify.....

Address of the Introducer:.....

Phone No. of the Introducer: Mobile No.

Signature of Introducer: **N) Standing Instructions**1. I/We authorise you to receive credits automatically into my / our account. Yes No2. Account to be operated through Power of Attorney (POA). Yes No

3. SMS Alert facility: [Mandatory if you are giving Power of Attorney (POA). Refer to Term & Conditions given as Annexure 2.4] (If POA is not granted & you do not wish to avail of this facility, cancel this option). Mobile No. +91

4. Transaction Using Secured Texting Facility (TRUST). (Refer Term & Conditions given as Annexure 2.6)

I wish to avail the TRUST facility using the Mobile number registered for SMS Alert facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.

 Yes No

I/We wish to register the following clearing member Ids under my/our below mentioned BO ID registered for TRUST

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)




5. **Easi:** To register for easi, please visit website www.cdslindia.com Easi allow a BO to view his ISIN balances, transaction and value of the portfolio online.



6. I/We would like to like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (if not marked, the default option would be 'No')

7. Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
8. I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID provided in the KYC Application Form <input type="checkbox"/> Yes <input type="checkbox"/> No
9. I/We would like to share the email ID with the RTA <input type="checkbox"/> Yes <input type="checkbox"/> No
10. I/We would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic (Tick the application box. If not marked the default option would be in Physical)
11. I/We wish to receive dividend / interest directly in to my bank account as given below through ECS is (if not marked, the default option would be 'Yes') <input type="checkbox"/> Yes <input type="checkbox"/> No [ECS is mandatory for locations notified by SEBI from time to time]
✓ Signature (5)
12. Whether you wish to receive Mandatory (Standard Set) documents as prescribed by SEBI & Exchanges i.e. (i) Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading, (ii) Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories, (iii) Uniform Risk Disclosure Documents (for all segments/ exchanges); and (iv) Guidance Note detailing Do's and Don'ts for trading on stock exchanges, through <input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (through Email as provided in KYC Application Form)
13. For receiving Statement of Account in electronic form : I. Client must ensure the confidentiality or the password of the email account. II. Client must promptly inform the Participant if the email address has changed. III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
✓ Signature (6)
14. [Please tick (^) wherever applicable] Trading Code <input style="width: 150px;" type="text"/> Mobile No. E-mail ID: I/We hereby declare that the aforesaid mobile number or E-mail ID belongs to me: <input type="checkbox"/> I/we hereby declare that the aforesaid mobile number or E-mail ID belongs to My Family Member _____ (Relationship with client) and also I/We give my consent to make available my/our trade information to my Family Member. (spouse, dependent children and dependent parents): <input type="checkbox"/>
✓ Signature (7)
O) Guardian Details (Where sole holder is a minor) [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]
Guardian Name:
Relationship of Guardian with minor:
PAN
DIS OPTION
<input type="checkbox"/> Option 1 : I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / us CDSL account through I / We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____ (name of Attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Clearing Member / by PMS Manager.
<input type="checkbox"/> Option 2 : I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued a POA / executed PMS agreement in favour of with _____ (name of the attorney / Clearing Member / PMS Manager) for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Clearing Member / by PMS Manager. However the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.
Signature(8) (First Holder) (SecondHolder) (Third Holder)

FOR DEMAT AND TRADINGNominee Registration No. Date: **FORM FOR NOMINATION/CANCELLATION OF NOMINATION - DP ID 12081500***(To be filled in by individual applying singly or jointly)*

Tipsons Stock Brokers Private Limited Sheraton House, 5th Floor, Opp. Ketav Petrol Pump, Polytechnic Road, Ambawadi, Ahmedabad-380015		Date							
		Client ID							
A	Nomination Option	Client code							
	<input type="checkbox"/> I/We wish to make a nomination.	<input type="checkbox"/> I/we do not wish to nominate							
B	Nomination Details								
I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me / us in the said beneficiary owner account shall vest in the event of my / our death.									
1	Name of the Nominee (Mr./Ms.)								
2	Relationship with the Applicant (if any)								
3	Address of Nominee.								
		City/town/village				Pin Code			
		State				Country			
4	Contact Details of Nominee	Tel (Off)			Tel(Res.)			Fax No.	
		Mobile No.			E-mail ID				
Sr. Nos. 5-10 should be filled only if nominee is a minor									
"As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I/We appoint following person to act as Guardian:									
5	Date of Birth (in case of minor nominee)								
6	Name of Guardian (Mr./Ms.) (in case of minor nominee)								
7	Address of Guardian.								
		City/town/village				Pin Code			
		State				Country			
8	Contact Details of Guardian.	Tel (Off)			Tel(Res.)			Fax No.	
		Mobile No.			E-mail ID				
9	Relationship of Guardian with nominee								

Name and Signature of Account holder(s)		
Account Holder(s)	Name	Signature of Account Holder (s) with date (9)
Sole/ First Holder		✓ 
Second Holder		✓ 
Third Holder		✓ 

D Signature of Witness for nomination (applicable only when nomination is made) This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.		
Name of First Witness	Address	Signature of witness with date
		✓ 
Name of First Witness	Address	Signature of witness with date
		✓ 

Instructions:

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non - resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. ON cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.

DECLARATION FOR DEMAT ACCOUNT

The Rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/ us and I /we have understood the same and I /we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I / we also declare that I / we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of Document "Right and obligations" of the BO and DP.

DECLARATION FOR TRADING ACCOUNT

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.
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. i.e. www.tipsons.com.

For Individual

Name(s) of Holder(s)	Name	Signature(s) (10)
Sole/First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		
POA Holder (in case POA)		

For Non Individual

AUTHORISED SIGNATORIES

Name(s) of Holder(s)	Name	Signature(s) (10)
First Signatory		
Second Signatory		
Third Signatory		

Mode of Operation for Sole / First Holder (In case of joint holdings, all the holders must sign) Signature (11)

<input type="checkbox"/> Any one Singly	<input checked="" type="checkbox"/>	<input type="checkbox"/> As per resolution	<input checked="" type="checkbox"/>
<input type="checkbox"/> Jointly by	<input checked="" type="checkbox"/>	<input type="checkbox"/> Other (Please specify)	<input checked="" type="checkbox"/>

7. Specimen Signature :

Your specimen signature will capture from hear and It will be maintained in scan form in our record. So you are requested to sign carefully in the relevant box and with black ink. (Box copy given).

DP ID: 12081500	CLIENT ID:								
Holder	Name				Signature (12)				
Sole/First Holder					✓ 				
Second Holder					✓ 				
Third Holder					✓ 				

UCC Code allotted to the Client:

FOR OFFICE USE ONLY

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

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

For Tipsons Stock Brokers Pvt. Ltd.

Signature of the Authorised Signatory Seal/Stamp of the stock broker

Date.....

INSTRUCTIONS/CHECK LIST

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

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

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

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

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

4. For individuals:

- 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.

5. For non-individuals:

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securitisation behalf of company/firm/others and their specimen signatures.

TIPSONS STOCK BROKERS PVT. LTD.

Date: _____

CHARGES STRUCTURE

SR. NO.	REMARKS	IPO-ZERO AMC	INVESTOR SCHEMES	LIFETIME AMC	BSDA – 1 (Holding value up to Rs. 50000/-)	BSDA – 2 (Holding value between Rs. 50001 to Rs. 200000/-)
1	UPFRONT ONE TIME AMC	RS. 300/- + TAX (Including POA & KRA Charges)	NIL*	RS. 999/- (Including POA & KRA Charges)	RS. 199 (Including POA & KRA Charges)	
2	AMC	NIL	RS. 300/- + TAX	NIL	NIL	100/- + TAX
3	THROUGH TIPSONS DIS	RS. 25/- + TAX	RS. 15/- + TAX	RS. 25/- + TAX	RS. 50/- + TAX	
4	NOT THROUGH TIPSONS DIS	RS. 25/- + TAX	RS. 18/- + TAX	RS. 25/- + TAX	RS. 70/- + TAX	
5	DEMATERIALIZATION CHARGES	RS. 35/- + TAX PER REQUEST + RS. 2/- PER CERTIFICATE + RS. 30 POSTAGE CHARGES AND REJECTION CHARGES RS. 30	RS. 10/- PER CERTIFICATE + RS. 30 POSTAGE CHARGES AND REJECTION CHARGES RS. 30	RS. 30/- PER CERTIFICATE + RS. 30 POSTAGE CHARGES AND REJECTION CHARGES RS. 30	RS. 40/- PER CERTIFICATE + RS. 120 POSTAGE CHARGES AND REJECTION CHARGES RS. 60.	
6	REMATERIALIZATION CHARGES	RS. 60/- + TAX PER REQUEST + RS. 30 POSTAGE CHARGES AND REJECTION CHARGES RS. 30	RS. 20 PER CERTIFICATE + RS. 60/- + TAX PER REQUEST + RS. 30 POSTAGE CHARGES AND REJECTION CHARGES RS. 30	RS. 20 PER CERTIFICATE + RS. 60/- + TAX PER REQUEST + RS. 120 POSTAGE CHARGES AND REJECTION CHARGES RS. 60	RS. 20 PER CERTIFICATE + RS. 60/- + TAX PER REQUEST + RS. 120 POSTAGE CHARGES AND REJECTION CHARGES RS. 60.	
7	PLEDGE CREATION CHARGES	NA	RS. 60/- + TAX	RS. 75/- + TAX	RS. 100/- + TAX	
8	PLEDGE CLOSURE CHARGES	NA	RS. 60/- + TAX	RS. 75/- + TAX	RS. 100/- + TAX	

 We do not wish to opt BSDA Scheme

 We wish to opt BSDA Scheme

Note: (1) BSDA – 1 and BSDA – 2 Scheme Clients will get Holding Statement Annually and Transaction Statement Quarterly (If Transaction made or else will not applicable). (2) All charges will be taken in advance for the year. (3) Charges are Subject to revision at the Company's Sole Discretion. (4) You can check our Charge Structure or download forms for change in client details are on our website. i.e. www.tipsons.com. (5) I / We hereby consent to keep Rs. 1000/- in my/our ledger as deposit.

(*) If Client option to Investor Scheme and want to close his/her account before completing Financial Year in which Account was opened than AMC will be Applicable at Rs. 300 + Applicable Tax for that Financial Year.

Declaration: 1 Hereby select Scheme to open / charge in my Demat Account. I Further declare and abide myself from the above charges schedule and respective terms and conditions relating to the account.

✓ Signature(13) _____ (First Holder) _____ (SecondHolder) _____ (Third Holder)

TIPSONS STOCK BROKERS PVT. LTD.

Sheraton House, 5th Floor, Opp. Ketav Petrol Pump, Polytechnic Road, Ambawadi, Ahmedabad – 380015.
 Phone no. 079 30611140/43/45, Fax: 079 30611137, Website: www.tipsons.com

FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION
Self declaration form for individual [For Dp & Trading]
Please seek appropriate from your professional tax professional on your tax residency and related FATCA & CRS guidance

Date:

PAN							
NAME							
ADDRESS TYPE [FOR KYC ADDRESS]	<input type="checkbox"/> Residential						<input type="checkbox"/> Residential / Business
	<input type="checkbox"/> Business						<input type="checkbox"/> Registered Office
Place of Birth						Country of Birth	
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1 Cr	Occupation		<input type="checkbox"/> Business		
Net Worth in INR in Lacs	<input type="checkbox"/> 1 – 5 Lacs		Details		<input type="checkbox"/> Public Sector		
[Optional]	<input type="checkbox"/> 5 – 10 Lacs		[Please tick any One]		<input type="checkbox"/> Private Sector		
Net Worth in Date [Optional]	<input type="checkbox"/> 10 – 15 Lacs				<input type="checkbox"/> Government		
	<input type="checkbox"/> 15 – 25 Lacs				<input type="checkbox"/> Housewife		
	<input type="checkbox"/> 25 Lacs – 1 Cr				<input type="checkbox"/> Others		
Politically Exposed Person (PEP)	<input type="checkbox"/> Yes					Any Other Information	
	<input type="checkbox"/> Not Application						
	<input type="checkbox"/> Related to PEP						

- If PAN is not available, Please specify Folio No(s)

Is your Country of Tax Residency other than India - Yes No

If 'Yes' please specify the details of all countries where you hold tax residency and its tax identification Number & type

Sr. No.	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type

to include all countries other than india, where investor is citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA Declaration

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Exchanges/Depositories / Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I/We authorize you to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I understand that you do not offer any tax advice on CRS/FATCA or its impact on me/us. I/We shall seek advice from Professional Tax Advisor for any tax questions.

✓ **Signature (14)**

Self Certificate:

Are You US Person: Yes No

To be filled only if –

- (a) Your Country of Birth / Country of tax Residency is other than India
- (b) US Person is mentioned herein as Yes and TIN is not available:

I confirm that I am neither a US person nor a resident for Tax purpose in any Country other than india, through one or more parameters suggest my relation with the country outside india. Therefore, I am providing the following documents as proof of my citizenship and residency in india.

Document Proof Submitted (Pls. tick document being submitted – Self Certified Copy)

Passport Election Card PAN Card Driving License

UIDAI / Aadhar Card Letter Govt. Issued ID Card

Other (Please Specify) _____

Documents Identification No. _____

I / We agree that as may be required by domestic regulator/tax authorities, you may also be required to report, reportable details to CBDT or such other Income Tax Authorities as may be applicable in India or close or suspend my/our account.

I/We agree to submit a new form within 30 days if any information/certification on this form becomes incorrect.

Date: _____

Place: _____

✓ **Signature (15)**  _____

POLICY AND PROCEDURES

[MANDATORY]

This is a mandatory/compulsory document from Broker and requires your utmost care, attention and understanding. This is an additional requirement from Broker which if contravenes any rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges, shall be null and void.

Dealing in Penny Stocks: Generally, the Broker refuses to enter any order of clients for penny stocks. The client is required to adhere to exchange/members' guidelines and due diligence while trading in such scrips. Even trading in such scrips is very risky. As such, the stock broker may from time to time limit (quantity / value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or illiquid scrips. Depending on the market condition and risk management policy of the company, the stock broker reserves the right to refuse to provide limit in Penny Stocks and losses if any on account of such refusal shall be borne by the client only. We the broker, do hereby warn the client not to deal in any penny stocks. However, Broker at its sole discretion, may allow or disallow the clients (on case to case basis) to deal in penny stocks, subject to rules, regulations, articles, bye laws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances, at related point of time. The exposure limit in such scrips shall vary from client to client subject to RMS Policy of Broker and prevalent market condition from time to time without prior notice.

Client's Exposure Limit: The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits to number, value and/or kind of securities in respect of which order can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange / SEBI directions/limits (such as broker level/market level limits in securities specific/volume specific exposure etc.) and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or client's inability to route any order through stock broker's trading system on account of such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place order or trade in securities through the stock broker, or it may subject any order placed by the client to a Review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem fit and proper in the circumstances. The client agrees that the losses, if any, on account of such refusal or due to delay caused by such review, shall be borne exclusively by the clients alone. The Stock broker has margin based Risk Management System. Client exposure limits are set based on collateral and funds' deposited by the client. The type of acceptable collateral as well as the exposure limit varies from client to client depending upon the profile and the channel of trading of the client.

Brokerage Rate: The Broker discloses that it shall charge a brokerage at the rate being agreed by the client with Broker (including its branches or sub-brokers) as per tariff sheet executed by the client and depending upon market circumstances or as may be prescribed in KYC document / Back office Software. However, the Broker shall adhere to true maximum permissible limit (presently not to exceed 2.5 %) as may be prescribed by SEBI / Exchanges from time to time On option segment of Exchange, it is hereby disclosed that brokerage shall not exceed 2.5% of the premium amount o Rs. 100/- (per lot) whichever is higher.

Imposition of Penalty/Delayed payment Charges: The client agrees that any amounts which are overdue from client towards trading or on account of any other reason to the stock broker, will be charged with delayed payment charges (12 % to 21 % p.a. (depending upon prevalent market rate). The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of client which are contrary to this agreement or understanding as per KYC documents / rules / regulations / bye laws / circulars / guidelines / direction of the Exchange or SEBI or under any other law for time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has pay any fine or bear any punishment from any authority in connection with or as a consequence of or in relation to or of the orders / trades /deals / actions of the client,

the same shall be borne by the client.

However, the client discloses that he/she/it is aware and specifically agree that charging of delayed payment charge t j stock broker is just an additional / ad-hoc facility and shall not be construed / resulted into permanent practice lead to funding by broker in contravention of applicable laws.

Sell of Securities or Closing Open Position : The Client also agrees and confirms and undertake to immediately deposit with the stock broker such funds, securities or other acceptable security which the stock broker may in its own discretion from time to time require as margin. The client agrees that the stock broker shall be entitled to require the client to deposit with the stock broker a higher margin that prescribed by the Exchange. The client is liable to pay an initial margin up front on or before creating a position in any Derivatives Contract. Such margin shall be decided upon by the Stock Broker or the Exchange from time to time. Furthermore, the client is liable to pay (or receive) daily margins depending on whether the price of derivatives contract moves for or against the position undertaken. The client may also be liable to pay withholding margin, special margin or such other margins as are considered necessary by the stock broker or the Exchange from time to time. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by any exchange or SEBI) and the client shall be obliged to pay such margins. In case the client does not provide the required margin or any other payment whatsoever within the time frame specified by the stock broker, the stock broker shall have the right to appropriate and / or sell and /or instruct to sell and/or transfer all or any securities or money in client's account and/or any associated account and/or any proceeds thereof, square-off all or any outstanding positions, prevent any new orders from being placed and / or executed by the client or take such other action as the stock broker thinks fit and proper. The stock broker may exercise all or any of the above rights in such manner as the stock broker may think appropriate, without demand for additional margin, security or collateral or advance notice or advertisement, on any exchange or other market where such business can be transacted, at a public auction or by private sale and the stock broker may be the purchaser/seller for its own account. The giving of any prior demand, call or notice shall not be considered as a waiver of the stock broker's right to exercise its rights without any such demand, call or notice. The client agrees that in case of high market volatility, the stock broker may require the client to pay instantaneous margins in addition to the margins that may already have been paid the client as per margin calls. The client agrees that the stock broker may be compelled to in such circumstances of market volatility, in absence of the payment of the said instantaneous margins by the client, square-off all or any outstanding positions, prevent any new orders from being placed and / or executed by the client or take such other action as the stock broker thinks fit and proper. The client agrees that the stock broker may be compelled to in circumstances of extreme market volatility, square-off all or any outstanding positions, prevent any new orders from being placed and / or executed by the client or take such other action as the stock broker thinks fit and proper, even without calling for the payment by the client, of the aforesaid instantaneous margins by the client. In case of short fall in the margin, the stock broker shall check for availability of additional limits in client's associated account(s) to see whether adequate additional limits are available to restore the margin level to the initial margin level and if no such limits are available then the client's outstanding positions may be squared-off by the stock broker, at its discretion, without notice to client. If the client has entered into a short sale or long purchase then the stock broker shall be entitled to, at any time before the client has squared-off his short sale or long purchase position, square-off and/or carry forward the whole or part of the same on any day, at any place and in any manner as the stock broker thinks fit, or permit the exchange to close out or auction such position, and the aforesaid shall be at the client's sole risk and cost.

If the client has been permitted to do margin trading (if and when provided by the stock broker) or otherwise, the stock broker shall be entitled to square-off client's outstanding position, inter-alia, where, in the stock broker's opinion, the mark-to-market loss, has breached or may breach the margins available with the stock broker, where the margin or security(ies) placed by the client and available with the stock broker falls short of the stock broker's requirement, where any limit given to the client has been breached or where the client has defaulted on any existing obligation. The client do hereby authorizes the stockbroker to, at stock broker's discretion, should the stock broker deem fit necessary for the stock broker's own protection, to buy, sell or close out any part or all of the Derivative Contracts held in the Client's account with the stock broker. Any or all such incidental expenses, costs incurred by the stock broker will be reimbursed by the client. In enforcing its set-off, lien and/or other rights, the stock broker may, in its absolute discretion, determine which securities are to be sold or appropriated, which account is to be debited or which contracts are to be closed. Thus, In case of any delay (beyond permissible time limit as per SEBI's or Exchange's rules, regulations, bye laws, circulars and other applicable laws/ provisions) or in-ordinate delay in making the payment or clearance of or meeting up of any obligations, dues, debit balances, margin, MTOM debit balance etc. by client, then client's open positions might

be squared-off, credit balances of securities or securities lying with Broker might be sold off, credit balance of funds might be adjusted against client's obligation, debit balances or liabilities WITHOUT ANY NOTICE from Broker as per prevalent RMS policy from time to time.

Shortages in Obligation and Internal Auction: The stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from Exchange, the clearing corporation/house or other company or entity liable to make the payment and the client has fulfilled his / her /its obligation first. In case of default in security pay in by the client and the shortage is at member level i.e. internal shortage then the benefit calculated at the next day's closing rate after pay-out day shall be recovered from the defaulting client and passed on to the respective beneficiary client.

In case of the default of securities pay-in by the client and the shortage is from the exchange, auction value of the respective exchange plus penalty (decided by the member from time to time) plus brokerage and other statutory charges shall be recovered from the defaulting client.

In the case of funds default by the client, the member shall be liquidating the stocks to recover the money. Any shortfall arising out of liquidating securities by the members shall also be recovered from the defaulting client along with interest (decided by the member from time to time).

Restrictions/Prohibition to take further position or closing existing position: Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Even, broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further/fresh position.

Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements etc. from client side, broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client as per RMS policy. Notwithstanding anything contrary stated in the KYC documents, the stock broker in its absolute discretion, shall impose such restriction(s) or prohibit the client from taking further position or close out existing position or terminate broker client relationship, in happening of any of the following or under any of the following circumstances which may include without any limitation,

- I. failure to meet pay-in obligation;
- II. delay in meeting the pay-in or margin requirement;
- III. delay or failure in clearance of outstanding or dues to the broker;
- IV. returning or frequent returning of cheque (s) of the client;
- V. Unnecessary/Unwarranted dispute from client without any substantial cause/reason;
- VI. Client's attitude of not coming to the amicable settlement for any dispute that can be settled without involvement of Exchange and/or SEBI;
- VII. As per prevalent surveillance action or RMS policy of the Broker from time to time;
- VIII. Any direction from SEBI/Exchange or such other authorities, or any commencement of legal process against the client under any law in force;
- IX. On the death/lunacy or any other disability of client;
- X. If a receiver/ liquidator/administrator has been appointed or allowed to be appointed for all or any part of the undertaking of the client;
- XI. If the action of the client is/are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others;
- XII. If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its asset or refers to itself to the BIFR or under any other law providing protection as a relief undertaking;
- XIII. In case of partnership client, the partners have taken any steps for dissolution of partnership;
- XIV. If the client has made any material misrepresentation of the facts, including without limitation in relation to the funds and/or security;
- XV. If there is reasonable apprehension to the Stock broker that the client is unable to pay his/her/its debts or has admitted its inability to pay, as they become payable;
- XVI. If the client suffers any adverse material change in his/her/its financial position or defaults in

any other agreement or understanding or obligation with the stock broker;

XVII. If any covenant or warranty of the client is incorrect or untrue in any material respect;

XVIII. Under such other circumstances as the Broker might think just and proper on case to case basis.

Suspension / Deregistering of Client Account: The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in following circumstances:

- (a) as per Client's prior written request of at least 3 days submitted to Broker at its Ahmedabad H.O. duly acknowledged by Broker (subject to clearance of entire outstanding/obligations) subject to client accepting / adhering to conditions imposed by the stock broker including but not limited to settlement of account / release of holds and/or other obligation;
- (b) Dormant or in-active status of client account beyond specified time limit as may be prescribed by Broker from time to time,
- (c) Under any circumstances mentioned in (i) to (xviii) above.

Policy for Dormant / In-active account;

As per Broker's RMS policy, the account in which no transactions has took place during the period of not less than 6 months (presently 12 months) or such other period from the date of last transaction, the same shall be considered as Dormant / Inactive account. Such transaction date may relate to any of the following date, whichever is later:

- (a) entry related to contract or bill generation for buy/sell transaction or
- (b) entry related to payment of funds or securities by client or
- (c) entry passed by the broker by way of JV due to any dues / obligation recoverable from client including but not limited to auction charges, any penalty amount whether or not imposed by Exchange or SEBI or other authorities etc.

To designate the client's account as Dormant / In-active account, the period of 12 months shall be counted from the last day of respective month in which any of the aforesaid last transaction took place. In case Broker treats the account of client as a dormant / in-active account, the funds or securities lying with the broker shall be refunded / returned to clients immediately on demand by the client. In order to reactive the account, client needs to instruct the Broker in writing at least 2 days in advance at its Ahmedabad H. O. The Broker will try to promptly reactivate the said account subject to fulfillment of such conditions as Broker may consider fit and proper. Such written request may also be sent by Client himself to Mr. Hiral Shah/Mr. Prabhakar Kamurti (Trading Account Dept.) thru Fax : on 079.- 30611137 or e-mail: on prabhakar.kamurti@truevalueindia.com/hiral.shah@truevalueindia.com in from client's own e-mail account registered with Broker. However, Broker may, in its own discretion, waive / reduce the period of 2 days as the circumstances may warrant on case to case basis.

Client's acceptance of policies and procedures stated herein above: I /We have thoroughly read and fully understood the same and do hereby sign and agree not to call into question the validity, enforce ability and applicability or any provision/clauses of this document under any circumstances what so ever. These policies may be amended / changed unilaterally by the stock broker provided the change is informed to me/us through any one or more means / methods such as post / speed post / courier / regd. post / regd. ad / facsimile / telegram / e-mail / voice-mail / telephone (telephone includes such devices as mobile phone etc.) including SMS on the mobile phone or any other similar device/ by messaging on the computer screen of client's computer/ informing the client through the employees / agents / sub-brokers / authorised persons of the stock broker / by publishing or displaying it on the website of stock-broker/making it available as a download from the website of the stock broker / broad-cast / newspaper advertisement etc. or any other suitable or applicable mode or manner. I / We agree that the delivery shall be complete when communication is given to the postal department / courier company / the e-mail/voice mail / SMS service provider etc. / when displayed on Stock Broker's Website by the stock broker and I / We agree to abide by the same. These policies and procedures shall always be read along with other provisions of the KYC mandatory documents and shall compulsorily referred to while deciding any disputes / difference or claim between me/us and stock broker before any court of law / arbitrator or mediator /judicial/adjudicating authority etc.

✓ **Signature(16)** _____

Date: _____

VOLUNTARY DOCUMENT - 2
[FOR RUNNING ACCOUNT AUTHORISATION]

TO TIPSONS STOCK BROKERS PVT. LTD. (Member of NSE, BSE, MSEI)

I UNDERSTAND THAT THIS IS PURELY A VOLUNTARY DOCUMENT AND SHALL FORM PART OF THE NON-MANDATORY DOCUMENTS OF MY KYC FORM. IN CASE IF THE SAME SHALL DILUTE YOUR RESPONSIBILITY AS A STOCK BROKER OR IN CONFLICT WITH ANY OF THE CLAUSES IN THE MANDATORY DOCUMENTS, RULES, BYE-LAWS, REGULATIONS, NOTICES, GUIDELINES AND CIRCULARS ISSUED BY SEBI AND THE STOCK EXCHANGES FROM TIME TO TIME, THE SAME SHALL STAND NULL AND VOID.

- (1) **About Voluntary Document:** I/We do hereby declare and confirm that I/We have thoroughly read and understood the voluntary document attached which forms part of Non-mandatory Documents of this KYC form and do accord my/our consent for the same.
- (2) **About Running Account Authorisation:** I/We do hereby specifically declare and confirm that my/our account is to be maintained in Running Account mode and as such request for the same as under:

I/We also specifically understand and agree that:

- A. This is only a voluntary authorization that may be revoked by me/us at any time.
 - B. This authorization shall remain in force until and unless the same is revoked by me / us.
 - C. This authorization is signed by me/us only and not by my/our authorized person/POA holder.
 - D. For my/our outstanding obligation / balance on the settlement date, you may retain the requisite securities/ funds towards such obligations and may also retain the funds expected to be required to meet margin or other obligations in compliance with applicable circulars, guideline, rules, regulations, byelaws etc. of the Exchange and/or SEBI and as may be calculated in the manner specified by the exchanges.
 - E. I / we request you to settle my fund and securities account once in a calendar quarter / once in a calendar month. (Please strike off which is not applicable)
 - F. Any dispute from my/our end, arising from statement of account or settlement, shall be brought to your notice in writing by me/us within 7 days of receipt of funds/securities statement as the case may be.
 - G. Periodic settlement of running account may not be necessary for margin trading facility or funds received towards collaterals/ margin in form of Bank Guarantee, Fixed Deposit etc.
 - H. In case of my/our request / demand, you shall transfer the funds/securities within 1 working day if lying with you or within 3 working days if lying with Exchange/Clearing House.
 - I. There shall not be any inter-client adjustments for the purpose of settlement of my/our running account.
- (3) **About Electronic Contract Notes etc.:** I/We do hereby request to Send ECN, statement of accounts, daily margin statement and such other record/information/notice etc. to my/our E-mail Account/ID as mentioned in KYC form. In case of any change, I/We shall promptly communicate in writing to you about the same.
- (4) **About SMS on mobile by Exchanges :** I/We do hereby declare and confirm to receive SMS about my/our position, margin, ledger balance and such other brief information as may be voluntarily sent/provided by you on my / our mobile no. as mentioned in KYC form. In case of any change therein, I/We shall promptly communicate in writing to you about the same.
- (5) **Regarding clause 3&4 above:** I/We do hereby declare and confirm that the details of e-mail id and mobile no. As may be provided by me/us in KYC form pertains to me / us or to my /our family members only, **(family members means my spouse, dependent children, dependent parents only)** Accordingly, I/We do hereby request you to upload the same as a part of UCC / UCI details to respective Exchange(s). So that Exchange(s) may send direct Email/SMS to me/us, if any.

NOTE: You can strike-off all /any of the above clause(s) if not agreed by you, before signing this document.

✓ **Signature (17)**  _____

Date : _____

VOLUNTARY DOCUMENT - 3

BASIC INFORMATION ABOUT AML MEASURES FOR GENERAL GUIDANCE OF CLIENTS:

Background:

- In response to mounting concern over money laundering worldwide, G-7 summit as held in Paris in the year 1989, a policy making body having Secretariat Organisation for Economic Co-operation and Development (OECD) was established, to work for generating necessary political will / willingness to bring about national legislative and regulatory reforms to combat money laundering and terrorist financing.
- World Bank and International Monetary Fund (IMF) have also established a collaborative framework in with Financial Action Task Force (FATF) in this regard. Our country (India) is also one of the member and has been accorded "Observer" status.

Objectives;

- The brief objectives of these provisions is to establish general framework for the fight against money laundering, terrorism, financial crimes and corruption.
 - Ensuring that financial institutions are not vulnerable to infiltration or abuse by organized crime groups.
 - Building capacity to fight terrorism and trace terrorist money.
 - Meeting binding international obligations and avoiding the risk of sanctions or other actions by the international community.
 - Avoid becoming heaven for criminals.
 - Securing a more transparent and stable financial system that is attractive to foreign investors.

What is Money Laundering

- To concealing or hiding financial assets with a view to use it without detection of its source that is illegal activity which produced it.
- Through money laundering, the launder transforms the monetary proceeds derived from criminal activity into funds with an apparent legal source.
- It is the process by which criminals try to hide and disguise the true source / origin and ownership of proceeds of their illegal/criminal activities.
- It may be conversion of illegally earned income in to another form so that it appears as a legitimate income.
- The term "Money Laundering" is also used in relation to financing of terrorist activity (where funds may/may not originate from crime).
- It is a medium through which dirty money insert in the financial system and make such money look clean.
- Money is circulated around the financial system in such a way that its ancestry gets hidden.

Activities that can be considered as illegal/Criminal Activity:

- Corruption, Bribery
- Counterfeiting and Forgery
- Smuggling, Extortion, Prostitution
- Gambling, Robbery, Fraud
- Kidnapping, Tax Evasion, Drug Trafficking

Various stages of Money Laundering:

I. Placement: It is a initial stage in which money from criminal activities is placed in financial institution. It may be through various methods viz. arranging or breaking up currency transactions in to portion which falls below reporting threshold for specific purpose to avoid reporting requirements.

II. Layering: It is a process of conducting a complex series of financial transactions with a purpose of hiding origin of money and hindering any attempt to trace the funds. It may include multiple trades for security, Purchase of financial product such as Life Insurance or purchase of legitimate businesses.

iii. Integration: Last and final stage in the re-injection of the laundered proceeds back in to the economy in such a way that they re-enter the financial system as normal business funds.

Consequences of Money Laundering:

- Finances terrorism Encourage crime
- Endangers society at large Weakening of macro economic factors of country
- Affects the integrity of the financial system Government control on economy reduces
- Weakening of Law & Order

Indian Framework:

India has also framed, "The Prevention of Money Laundering Act, 2002" (PMLA) which came into effect w.e.f. 01.07.2005. A separate Foreign Intelligence Unit (FIU) is also established as a central monitoring agency/central repository to combat Money Laundering. Necessary notifications / rules / guidelines/circulars/recommendations etc. are also issued and being issued by various regulatory authorities including SEBI from time to time.

Applicability of PMLA:

The provisions of the Act are applicable to Banking Company, Financial Institution and Intermediary {which includes, stock broker, sub-broker, share transfer agents, portfolio manager and other intermediaries associated with Securities Market and registered under section 12 of SEBI Act, 1992.}

All the aforesaid entities have to maintain a record of all the transactions, its nature and value involved. Such transactions shall include:

- (a) All cash transactions > Rs. 10.00 lacs or its equivalent in foreign currency
- (b) All integrally connected series of cash transactions < Rs. 10.00 lacs or its equivalent in foreign currency within one calendar month
- (c) All suspicious transactions

Suspicious Transactions: Means a transaction, whether or not, made in cash which, to a person acting in good faith.

- (a) Gives a rise to a reasonable ground of suspicion that it may involve the proceeds of crime
- (b) Identity verification or address seems difficult or found to be forged/false
- (c) Gives rise to a reasonable ground of suspicion that it may involve financing of the activities relating to terrorism.
- (d) Unusual and unexplained large value of transaction
- (e) Unusual and unexplained activity in dormant accounts\
- (f) Transfer of large sums of money to /from overseas locations.
- (g) Appears to be made in circumstances of unusual or unjustified complexity
- (h) Appears to have no economic rationale or bonafide purpose.
- (i) Asset Management services where the source of the funds is not clear or not in keeping with apparent standing/business activity.

Obligation of the Customer/Clients:

Always provide complete and correct details during account opening process like:

- Address Proof & Identity Proof
- PAN & Income Details

Periodically update your:

- Contact details, Financial details
- Occupational details

The transactions executed should be commensurate with the disclosed income details.

Provide requested explanations/details for suspicious transactions.

Ramifications /Consequences /Implications:

(a) Money Launderer faces steep fines of double the amount of financial transaction, along with forfeiture of assets associated with laundered funds.

(b) Whoever commits the offence of money laundering shall be punishable with rigorous imprisonment for a minimum term of 3 years extendable to 7 or 10 years and shall also be liable to fine which may extend to 5.00 lacs rupees.

(c) Any kind of association with a criminal element can severely damage the reputation. It is in the best interests to keep names free of any criminal association.

(d) Protect reputation by being informed about anti-money laundering rules and regulations,

(e) If anybody sees activity that may indicate money laundering, report it to the Director, FIU India, 6 Floor, Hotel Samrat, Chanakyapuri, New Delhi -110021.

Disclaimer: The Company (Tipsons Stock Brokers Pvt. Ltd.) does not take any warranty (express or implied) or assumes any legal liability / responsibility for the accuracy, completeness or usefulness of any information mentioned herein above which is prepared based on available information and for the sole purpose of general guidance and create awareness amongst the clients.

I / We have read and understood the aforesaid AML literature and in token of acceptance of the same, do hereunto put our signature.

✓ **Signature (18)** _____

Date : _____

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits] Annexure 2.4

Definitions:

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability

of the service in any manner whatsoever.

9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO’s personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BO ID. :

Sole / First Holder’s Name : _____

Second Holder’s Name : _____

Third Holder’s Name : _____

Mobile No. On which messages are to be sent :

Email ID : _____

Above Mobile No. & Email ID Is Registered in the Name of _____

And related to me as _____ (Self / Spouse / dependent child / dependent parent / others)

✓ **Signature(19)**  _____ **First Holder**  _____ **(SecondHolder)**  _____ **(Third Holder)**

Date: _____,

Place: _____

ANNEXURE 2.6

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or

Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case:-
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

The Process List for Account Opening

Name:




Branch Name / Code :

Client ID :.....Trading Code:

Sr. No.	Subject	Date	Time	Name	Signature
1	Received Through Courier / Counter				
2	Checked by				
3	Telephonic Verification by				
4	Rejection (If any)				
5	Entered by				
6	Exported by				
7	Response file uploaded by				
8	Verify and Released by				
9	Trading A/c. Opened by				
10	POA Updated				
11	KRA Entered by				
12	KRA Released by				
13	Other Remark (If any)				

ACKNOWLEDGEMENT RECEIPT FOR DIS BOOKLET

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID: 12081500	CLIENT ID:	Trading Code:
	NAME	SIGNATURE
Sole/First Holder		✓ 
Second Holder		✓ 
Third holder		✓ 

For, Tipsons Stock Brokers Pvt. Ltd.

DATE : _____

Authorised Signatory

Acknowledgement Receipt for Nomination

Received Nomination From :

DP ID: 12081500	CLIENT ID:	Trading Code:
Name		
Address		
Nomination in favour of		
No Nomination	<input type="checkbox"/> Does not wish to nominate	
Registration No.		Registration on (Date) :

For, Tipsons Stock Brokers Pvt. Ltd.

DATE : _____

Authorised Signatory

Acknowledgement Receipt for BSDA

RECEIVED OPTION FORM FOR BSDA FORM FROM

DP ID: 12081500	CLIENT ID:	Trading Code:
Name		
Address		
BSDA Scheme	<input type="checkbox"/> Opt to BSDA 1 Scheme <input type="checkbox"/> Opt to BSDA 2 Scheme	
No BSDA Scheme	<input type="checkbox"/> Does not wish to opt BSDA Scheme	

For, Tipsons Stock Brokers Pvt. Ltd.

DATE : _____

Authorised Signatory

TIPSONS STOCK BROKERS PRIVATE LIMITED

CIN NO.: U65910GJ1995PTC028486

**Corporate Office / HO / Regd. Office: Sheraton House, 5th Floor, Opp. Ketav Petrol Pump,
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30611137, Website: www.tipsons.com.**

**Designated E-mail ID for Investor Grievances:
For Trading and Demat Account: compliance@tipsons.com**