

No.



ABSOLUTE BROKING PRIVATE LIMITED

COMBINED ACCOUNT OPENING FORM

For Individuals

DP ID :

I	N	3	0	4	7	8	9
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CLIENT ID :

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TRADING CODE :

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Register Address: Shri Devi Park, No 1 Ground Floor, Hanumantha Road, Thyagaraya Nagar, Chennai, Tamil Nadu, India- 600017.
Corporate Office Address: No 4/8, North Crescent Road, Thyagaraya Nagar, Chennai, Tamil Nadu, India-600017..

+91 044-47961590 | www.absolutebroking.com

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			
(Self attested) Self Certified Documents Received			
Signature of the Branch Staff			

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

Date :

Signature of the Authorised Signatory / Branch Staff :

Office Seal & Stamp Space

INTRODUCER DETAILS	
DP ID	
CLIENT ID	
NAME	
SIGNATURE	

FOR BACK OFFICE USE ONLY

Role / Status	Name of Executive	Signature & Date
Verified by		
Approved by		
Scanned by		

ACCOUNT OPENING KIT OF ABSOLUTE BROKING PRIVATE LIMITED

(Herein after referred as Absolute Broking)

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MANDATORY DOCUMENTS

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VOLUNTARY DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No
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Name of Trading member : ABSOLUTE BROKING PRIVATE LIMITED

Name of clearing member : GLOBE CAPITAL MARKET LIMITED

CIN : U66120TN2023PTC16472

SEBI Registration No. and date : INZ000317833 | 12 June 2024

Depository Participant Reg No : IN-DP-789-2024

Exchange registration number : NSE - 90421, BSE - 6869, MCX - 57370

Registered office address : Shri Devi Park, No 1 Ground Floor, Hanumantha Road, Thyagaraya Nagar, Chennai, Tamil Nadu, India-600017.

Ph: 044-47961590 | **Website:** www.absolutebroking.com

Compliance officer name, phone & email : Mr. Karthik KS | **Ph:** 044-47961590 | **Email:** compliance@absolutebroking.com

Chief Officer name, phone & email : Mr. Karthik KS | **Ph:** 044-47961590 | **Email:** support@absolutebroking.com

Grievance / Dispute Escalation: For any grievance/dispute please contact us at the above address or email id - customercare@absolutebroking.com and Phone no. **044-47961590**. In case not satisfied with the response, please contact the concerned exchange(s) at **NSE** : ignse@nse.co.in and Phone no. 1800-266-0058. **BSE** : is@bseindia.com and Phone no. +91-22-2272-1234/33 & **MCX** at grievance@mcxindia.com Phone : 022-6731 8888.

Application Type* ☐ New ☐ Update

KYC Number

(Mandatory for KYC
update request)

Account Type*

☐ Normal☐ Simplified (for low
risk customers)☐ Small☐ **1. IDENTITY DETAILS (PERSONAL DETAILS)****Name of the Applicant***

Mr. / Mrs. / Ms. (Same as per id proof)

Maiden Name (if any*)

Mr. / Mrs. / Ms.

Father / Spouse Name*

Mr. / Mrs.

Mother Name* Mrs.**PHOTOGRAPH**Please affix
your recent
Passport size
Colour Photograph

E*

Signature of the Applicant (1/55)

PAN

Date of Birth* D D M M Y Y Y Y

AADHAAR No.

Gender*☐ M- Male ☐ F- Female ☐ T-Transgender**Marital Status***☐ Married ☐ Unmarried ☐ Others**Citizenship***☐ IN- Indian ☐ Others {ISO 3166 Country Code }**Residential Status***☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin**Occupation Type***☐ S-Service (Private Sector ☐ Public Sector ☐ Government Sector)☐ O- Others (Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)☐ B-Business ☐ X- Not Categorized☐ **2. ADDRESS DETAILS**

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* ☐ Residential ☐ Business ☐ Residential / Business ☐ Registered Office ☐ UnspecifiedProof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card☐ Others ☐ Simplified Measures Account - Document Type code ☐ **2.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS**

City / Town / Village / District*

Pin Code*

State*

State / U.T Code*

ISO 3166 Country Code*

☐ **2.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS**☐ Same as Current / Permanent / Overseas Address details

City / Town / Village / District*

Pin Code*

State*

State / U.T Code*

ISO 3166 Country Code*

☐ **2.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 4 is ticked)**☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

State*

City / Town / Village*

Zip / Post Code*

ISO 3166 Country Code *

☐ **3. CONTACT DETAILS**

Mobile No

Tel. (Resi.)

E-Mail ID

Tel. (Off.)

Fax

☐
4. TICK IF APPLICABLE – RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA
ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 4 is ticked)
 ISO 3166 Country Code of Jurisdiction of Residence* Tax Identification Number or equivalent (if issued by jurisdiction)* ...
 Place / City of Birth* ISO 3166 Country Code of Birth*

☐
5. PROOF OF IDENTITY (PoI)*
 (Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

☐ A- Passport Number **Passport Expiry Date**

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence **Driving Licence Expiry Date**

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) **Identification Number**

☐ S- Simplified Measures Account - Document **Identification Number**
 Type code

☐
6. DETAILS OF RELATED PERSON

☐ Addition of Related Person ☐ Deletion of Related Person **KYC Number of Related Person (If Available*)**

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative
 Name Prefix First Name Middle Name Last Name
PROOF OF IDENTITY [PoI] OF RELATED PERSON* (If KYC number and name are provided, below details of section 6 are optional)
 (Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

☐ A- Passport Number **Passport Expiry Date**

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence **Driving Licence Expiry Date**

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) **Identification Number**

☐ S- Simplified Measures Account - Document **Identification Number**
 Type code

☐
7. REMARKS (if any)

☐
8. APPLICANT DECLARATION
 * I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
 * I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.
Date :

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

Place :

☐
Signature of the Applicant (2/55) 

☐
9. ATTESTATION / FOR OFFICE USE ONLY
Documents Received & Originals Verified ☐ Certified Copies

IPV & KYC VERIFICATION CARRIED OUT BY									
Date	<table border="1"><tr><td>D</td><td>D</td></tr></table> - <table border="1"><tr><td>M</td><td>M</td></tr></table> - <table border="1"><tr><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D								
M	M								
Y	Y	Y	Y						
Emp. Name									
Emp. Code									
Emp. Designation									
Emp. Branch									
Emp. Sign									

INSTITUTION DETAILS																
Name	<table border="1"><tr><td>A</td><td>B</td><td>S</td><td>O</td><td>L</td><td>U</td><td>T</td><td>E</td><td>B</td><td>R</td><td>O</td><td>K</td><td>I</td><td>N</td><td>G</td></tr></table>	A	B	S	O	L	U	T	E	B	R	O	K	I	N	G
A	B	S	O	L	U	T	E	B	R	O	K	I	N	G		
Code																
[Institution Stamp]																



A. DETAILS OF APPLICANT(S)

I/We request you to open a Demat cum Trading / Demat / Trading Account in my/our name(s) as per the following details:

FIRST HOLDER NAME

.....

PAN No.

SECOND HOLDER NAME

.....

PAN No.

THIRD HOLDER NAME

.....

PAN No.



B. FOR AOP / PARTNERSHIP FIRM / UNREGISTERED TRUST

For 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 AOP / Partnership Firm / Unregistered Trust, etc. should be mentioned below:

Name PAN



C. TYPE OF ACCOUNT

☐ Ordinary Resident ☐ Qualified Foreign Investor ☐ Margin ☐ NRI - Repatriable ☐ Foreign National ☐ NRI - Non Repatriable ☐ Promoter

☐ BSDA ☐ Others (specify)



D. GROSS ANNUAL INCOME DETAILS

1. Income range per annum ☐ Below ₹1 Lac ☐ ₹1 - 5 Lacs ☐ ₹5 - 10 Lacs ☐ ₹10 - 25 Lacs ☐ More than ₹25 Lacs



E. IN CASE OF NRI / FOREIGN NATIONALS

RBI Approval Reference No. RBI Approval Date D D M M Y Y Y Y



F. BANK ACCOUNT DETAILS

1. For Demat & Trading (Primary Account)

Account No. MICR

A/c Type SB / CURRENT / NRI / NRO / NRE / OD IFSC

Bank Name / Branch Name

Bank Address PIN

2. Trading Only (Optional)

Account No. MICR

A/c Type SB / CURRENT / NRI / NRO / NRE / OD IFSC

Bank Name / Branch Name

Bank Address PIN

Details of the first bank mentioned above will be printed on the cheque as a default option / will be used for direct credit, if any. Cheques will be accepted from the above-mentioned banks only. Type of bank account, name of the bank and full address of the bank branch must be provided; MICR & IFSC are compulsory. The bank account must be in the name of the First Applicant. The bank details mentioned as (i) above will be registered in your demat account; all dividends / interest / IPO refunds etc. will be credited to this account only.



G. PLEASE TICK, IF APPLICABLE

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



H. STANDING INSTRUCTIONS (MANDATORY)

I/We authorise you to receive credits automatically into my/our Demat Account.

☐ Yes ☐ No

Demat Account to be operated through Power of Attorney (POA).

☐ Yes ☐ No

Power of Attorney holder cannot sign the account opening set. The account opening set will have to be compulsorily signed by the respective Applicant(s).



SMS ALERT FACILITY (MANDATORY IF POA IS GIVEN; MOBILE NO. MUST BE PROVIDED IN KYC FORM)

First Holder ☐ Yes ☐ No

Second Holder ☐ Yes ☐ No

Third Holder ☐ Yes ☐ No



MODE OF RECEIVING STATEMENTS / COMMUNICATIONS

Mode of receiving (i) Statement of Demat Account, (ii) A/c Opening Kit, (iii) Annual Report, AGM Notice and other communications from the Registrar, and (iv) Risk Disclosure Document. (Tick any one below)

☐ Electronic Form (ensure Email ID is provided in the KYC Application form) ☐ Physical Form



OPTION FOR ISSUE OF DIS BOOKLET

☐ I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

☐ I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.



GUARDIAN DETAILS (MANDATORY IN CASE SOLE HOLDER IS MINOR)

Guardian Name (Mr./Ms.)

Relationship (if any)

PAN

For account of a minor, two KYC Application Forms must be filled – one for the Guardian and another for the Minor (to be signed by Guardian).



FOR JOINT DEMAT ACCOUNTS

Mode of Operations

☐ Jointly ☐ Anyone of the Holder or Survivor(s)

Communication to be sent to

☐ First Holder ☐ All Joint Account Holders



GST DETAILS (AS APPLICABLE)

GST Identification Number

State **City** **PIN Code**

☐ **DEMAT ACCOUNT**

DP Name	Depository NSDL / CDSL	Beneficiary Name	DP ID	Client ID
Absolute Broking Private Limited	NSDL		IN304789	

Demat Account mentioned above will be the default for transfer of securities against purchases. Please provide a photocopy of **Client Master / DP Statement** (self-attested) for the above-mentioned DP details.

P.N. 1 – The Name and Demat Account Number should be the same as filled in the application form; the DP Statement should clearly show DP ID and Client ID.

P.N. 2 – For Internet Trading, the Demat Account must be held with us.

☐ **TRADING PREFERENCES**

Please sign in the relevant boxes where you wish to trade. Please strike off the segment(s) not chosen by you.

Exchanges	NSE & BSE		MCX
Segments	Cash & Mutual Fund	Derivatives (F&O)	Commodity Derivatives
Signature of the person opening the trading A/c (3/55)			
Segments	Currency Derivatives	Debt	All Segments (in all exchanges)
Signature of the person opening the trading A/c (4/55)			

Date of Consent for Trading D D M M Y Y Y Y

If you do not wish to trade in any of the segments / Mutual Fund, please mention here

☐ **MODE OF TRADE** (OPT ANY ONE)

Through Branches ☐ **Internet Trading** ☐

☐ **PAST ACTIONS**

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / any other authority against the applicant / constituent or its Partners / Promoters / Whole-time Directors / Authorized Persons in charge of dealing in securities during the last 3 years.

.....
(5/55) Signature of the person opening the trading A/c

☐ **ADDITIONAL DETAILS** (OPT ANY ONE)

☐ I wish to receive the Electronic Contract Note – ECN (Email ID specified in KYC Form is taken for ECN)

☐ I wish to receive the Physical Contract Note

Number of years of Investment / Trading Experience

Any other information

.....
(6/55) Signature of the person opening the trading A/c

☐ **PRO TRADING DECLARATION & BROKERAGE STRUCTURE**

The client is informed and satisfied that the Stock Broker also does proprietary trading occasionally.

Exchange	Intraday	Minimum	Delivery	Minimum
NSE & BSE – Cash				
NSE & BSE – F&O	Futures –		Options –	
NSE & BSE – Currency	Futures –		Options –	
MCX – Commodity	Futures –		Options –	

The client shall pay to the stock broker the statutory levies as may be prevailing from time to time.

.....
(7/55) Signature of the person opening the trading A/c



INTRODUCER (TRADING PURPOSE)

Introduced by another constituent / director or employee of Absolute Broking Private Limited / any other person (please specify)

Name of the Introducer

Address

City **Pin**

Tel **Emp Id**

Status of Introducer (Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify)

X
(8/55) Signature of the Introducer



DECLARATION

1. 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 of a Non-Resident Account, I/We also declare that I/We have complied and will continue to comply with FEMA regulations.
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 received, read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', 'Do's and Don'ts' and Policies & Procedures. 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 the stock broker's designated website.
4. I/We hereby give voluntarily, at my own discretion, my identity proof as issued by Government of India to Absolute Broking, if provided, along with my other KYC documents for the purpose of opening an account-based relationship. I am enclosing a copy of my duly self-attested identity proof for your record. The details voluntarily furnished by me are true, correct and complete.
5. I/We further confirm having received a copy of the Risk Disclosure Document and Policy & Procedures.
6. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant". I/We have also been informed that the standard set of documents has been displayed for information on the Depository Participant's designated website.

Date DD - MM - YYYY

Place

	Name(s) of the Applicant(s)	Signature (9/55) (Black Ink Only)
1.		ES*
2.		ES*
3.		ES*

X
(10/55) Signature of the Introducer



FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) & COMMON REPORTING STANDARD (CRS)

(Please furnish the below information along with supporting documents.) Please check (✓) Yes or No to each of the following questions. Please complete in BLOCK LETTERS.

	1st Applicant	2nd Applicant	3rd Applicant
Name			
Country of Residence			
Country of Birth			
1. Are you a U.S. Resident?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
2. Are you a U.S. Citizen?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
3. Do you hold a U.S. Permanent Resident Card (Green Card Holder)?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
4. If answer to any of Q1-3 is Yes, provide Tax Identification Number (SSN in Form W9)			
5. Resident / Citizen of any other Country? Specify the Country	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No

I hereby confirm that the information provided above is true, accurate and complete. Subject to applicable laws I hereby consent Absolute Broking Private Limited or any of its affiliates (including branches) (collectively "Absolute Broking") to share my information with domestic or overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. Where required by the domestic or overseas regulators or tax authorities, I consent and agree that Absolute Broking may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives. I undertake to notify Absolute Broking within 30 calendar days if there is a change in any information which I have provided to Absolute Broking.

1st..... 2nd..... 3rd.....

(11/55) Signature of the Applicant(s)



DECLARATION FOR NAME DIFFERENCE IN DOCUMENTS

I/We do hereby affirm, declare as under:

	1st Applicant	2nd Applicant	3rd Applicant
1. That my name as it appears on the PAN Card is			
2. Name as per enclosed additional Proof is			
3. Name as per Address Proof is			
4. Name as per Bank records is			
5. That the name before my marriage(*) was and the name after my marriage with			

6. That the names mentioned above refer to me and are one and the same person.

7. That I shall indemnify and keep indemnified Absolute Broking Private Limited, its directors, officers, employees and agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgments, actions, suits, proceedings or any liability suffered or incurred or fastened on to Absolute Broking Private Limited due to Absolute Broking Private Limited accepting this declaration and acting on the same.

1st..... 2nd..... 3rd.....

* Proof to be enclosed.

(12/55) Signature of the Applicant(s)

MOBILE & E-MAIL CONSENT

i) I hereby accept to receive all communication related to demat & trading accounts through email to the email id mentioned in the KYC Form. ii) The Participant shall install adequate systems to restrict the access of the transaction statement only to the Client. iii) I/we shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password. iv) I am/we are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. v) In case I/we opt for transaction statement through email, I/we shall immediately inform the Participant about change in email address. vi) The Client agrees not to receive Transaction Statement in paper form however that, in case when the Participant is not able to provide Transaction Statement to its Clients through internet (web-based/email) due to any unforeseen problems, the Participant should ensure that the Transaction Statement reaches the Client in physical form as per the time schedule stipulated in the Bye Laws & Business Rules of NSDL. vii) The Participant and the Client shall have the right to terminate this agreement after giving a notice of at least 10 days to the other party. viii) The above terms and conditions are in addition to and not in contravention of the terms and conditions forming a part of the "agreement between the participant and the person seeking to open an account with the participant" signed by the Client at the time of opening the account with the Depository.

I hereby consent to receive the contract note/trade confirmations of the trades executed by me, bills & account statements thereof, notices circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 & the rules made thereunder to any of my e-mail id(s) mentioned in the KYC form. I undertake to check the contract notes/statements & bring the discrepancies to your notice within 48 hours of the execution of the trade.

I further hereby agree that the member shall fulfill the legal obligation if the above documents are sent electronically to the e-mail id mentioned in the KYC form. I 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. I also agree that the member shall not take cognizance of out-of-office/out-of-station auto replies and I shall be deemed to have received such electronic mails.

I further hereby understand & agree that the member will not be responsible for non-receipt of document sent via electronic delivery due to any technical/non-technical issues & Non-receipt of bounced mail notification shall tantamount to delivery of contract note. I also undertake to inform any change in my E-mail id through a physical letter.

1. I/We holder of the demat & trading account held with Absolute Broking under single/Joint holding pattern.
2. I have been informed by Absolute Broking about the requirement of providing the particulars of mobile connection for security alerts in respect of the above demat & trading account.
3. I hereby accept to receive SMS alert on the mobile number mentioned in the KYC form.
4. I understand and hereby accept that any message sent to the mobile connection regarding demat & trading account would be deemed to have been delivered to me.
5. I also undertake to inform Absolute Broking in writing of any change in mobile number immediately.

CONSENT FOR TRADING USING WIRELESS TECHNOLOGY

I am interested in your Internet trading application and have executed the Trading Member and Client Agreement and also the agreement for Internet based trading for the purpose of trading in the segments of the Capital Market of National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd. (BSE)/Multi Commodity Exchange (MCX).

I am interested in carrying out securities trading through use of wireless technology which shall include devices such as mobile phone, laptop with data card etc using Internet Protocol (IP). I understand the terms and conditions applicable to Internet based trading will also be applicable to trading through use of wireless technology. I am aware of all the possible risks, responsibilities and liabilities associated with securities trading using wireless technology.

I understand that Absolute Broking's website shall provide detailed information about securities trading done through use of wireless technology. I understand that I will get the information by using Login ID/Password provided to me by you at the time of registration as my internet trading client.

I understand that you shall send the Order/Trade confirmation details through e-contract on my existing E-mail id registered with you within 24 hours of the execution of trade on the NEAT/BOLT/TWS system, as the case may be. I agree that the information sent by you on my E-mail id/Wireless Device would be deemed to be a valid delivery of such information by you.

I am aware that authentication technologies and strict security measures are required for securities trading using wireless technology through order routed system and undertake to ensure that my Login Id and/or Password is not revealed to any third party. I understand that I have no claim against the exchange or the stock broker on account of any suspension, interruption, non-availability or malfunctioning of stock broker's IBT system or non-execution of orders due to any link/system failure at the client/stock broker/exchange end for any reason beyond the control of the SBI/Exchange.

HOLDER CONSENT FOR MOBILE NUMBER & E-MAIL ID MENTIONED IN THE KYC FORM

Holder Details	Holder Consent for Mobile Number	Holder Consent for E-mail ID
1st Holder	Belongs to me ☐ (or) to my Family member* ☐	Belongs to me ☐ (or) to my Family member* ☐
2nd Holder	Belongs to me ☐ (or) to my Family member* ☐	Belongs to me ☐ (or) to my Family member* ☐
3rd Holder	Belongs to me ☐ (or) to my Family member* ☐	Belongs to me ☐ (or) to my Family member* ☐

*As per SEBI Circular "Family" denotes self, spouse, dependent children and dependent parent, and does not include any broker/sub-broker/franchisee/custodian/portfolio managers etc.

1st..... 2nd..... 3rd.....

(13/55) Signature of the Applicant(s)

Undertaking for Participation on e-Gsec Platform (Letter to be provided by the Investor to the Participant)

I/We am/are interested to participate on the e-Gsec Platform of the Exchange through Absolute Broking for the purpose of non-competitive auction of Government of India Dated Securities, Treasury Bills, State Development Loans, Sovereign Green Bonds and any other securities as specified from time to time.

I/We shall abide by the Terms and Conditions of the e-Gsec Platform and authorize the trading member to put the bid on behalf of me/us.

I/We shall submit the Know Your Client details for the purpose of participation on e-Gsec platform.

I/We are willing to abide by the operating guideline, terms and conditions as mentioned in the circular no. NSE/IPO/37593 dated April 23, 2018, NSE/IPO/42666 dated November 15, 2019 and NSE/IPO/55502 dated February 03, 2023 as may be specified by Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Government of India (GOI), Securities and Exchange Board of India (SEBI), Reserve Bank of India (RBI), and/or any other relevant authority.

I/We undertake that I/we am/are eligible to participate in the scheme of non-competitive bidding in auction of government securities as notified by RBI/GOI from time to time.

I/We am/are aware that I/we am/are allowed to make only a single bid for the auction, and therefore, I/We hereby undertake that I/We shall abide by the same.

I/We shall read and understand the contents of the Notification/Press Release, Circular and/or any other guidelines, Information Memorandum, issued by GOI, RBI, SEBI, The exchange and/or any other relevant authority, from time to time, regarding bidding on the platform with respect to which I/we choose to participate. I/We further agree to abide by the terms and conditions, rules and regulations.

1st

2nd

3rd

(14/55) Signature of the Applicant(s)

STANDING INSTRUCTIONS & SETTLEMENT OF FUNDS

I/We are dealing through you as client and in order to facilitate ease of operations and upfront requirement of margin for trade, I/We authorise you as under:

I/We request you to maintain running balance in my/our account and retain the credit balances in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporations unless I/We instruct you otherwise.

I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporations unless I/We request you to transfer the same to my/our account.

I/We further authorise **Absolute Broking Private Limited**, to settle the funds and securities at least once in a calendar quarter/month as specified by me below in accordance with regulations in force.

Quarterly	
Monthly	

In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation calculated in the manner specified by the exchanges.

I/We agree to continue with the authorisation to maintain a running account till such time the same is expressly revoked. I/we understand that **Absolute Broking Private Limited** shall act upon such revocation upon receipt of the original revocation request.

Ref: SEBI Circular Ref.No: SEBI/HO/MIRSD/DoP/P/CIR/2022/101 dated July 27, 2022 regarding quarterly/Monthly Settlement of Running Account of Client's.

1st

(15/55) Signature of the person opening the trading A/c

The underlying document outlines various policies and procedures Absolute Broking has framed with respect to its dealing with clients for Capital Market transactions, to ensure transparency and facilitate understanding on various aspects related to service delivery. Kindly note that the below stated policies and procedures are subject to change from time to time, depending upon our internal risk management framework, market and external environment; and clients are requested to refer to Absolute Broking's website for the updated documents.

1. Refusal of orders for Penny Stocks: Absolute Broking generally alerts clients to desist from trading in any penny stocks in view of the associated risk element while dealing in such stocks. Further the client is also required to adhere to exchange/member's guidelines and due diligence while trading in such stocks. Also, SEBI/Exchanges from time to time issue directives necessitating additional due diligence for dealing in such stocks.

We at our sole discretion, may impose certain restrictions and/or conditions (on case to case basis), subject to rules, regulations, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances and risk policies at a related point in time. These restrictions/conditions include but are not limited to the following:

- a. Restrict wholly or partly for trading in certain security(ies) or category of security(ies)/contracts viz., i. Illiquid stocks/stocks having low liquidity; ii. Illiquid options/far month options/long dated options; iii. Writing of options; iv. Securities listed in BE/IL/BTor EQ series on NSE; v. Any other securities/contracts which as per the perception of Absolute Broking are volatile or subject to market manipulation or has concentration risk at client level or at the company level;
- b. Accept or partially accept an order for buy and/or sell. Such acceptance may require execution in a controlled environment (for e.g. from centralised desk instead of from designated dealing area or online platform);
- c. Cancel orders in above securities/contract received from clients before execution or after partial execution without assigning any reasons thereof;
- d. Require the client to provide appropriate declarations before/after accepting such orders.

Absolute Broking shall –

- a. not be responsible for non-execution/delay in execution of such orders and consequential opportunity loss or financial loss to the client;
- b. have the discretion to place such restrictions, notwithstanding the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities/contracts through Absolute Broking itself;
- c. have the right to revise the list of such securities/contracts on a periodic basis. Clients can obtain the information about the updated list of securities from the Dealing Branch Office – Sub-Broker.

2. Setting up Client's Exposure Limit: Settlement / Margin obligation:

The Exchange bye-laws requires a member broker to adhere to various trading and settlement obligations and conditions which include but are not limited to –

- a. up front margin maintenance requirements with the Exchange/Clearing Corporation prior to taking an exposure in the market;
- b. cash and collaterals/securities deposit, in prescribed ratio, for margin maintenance;
- c. certain margins to be paid for in cheque only for instance, mark to market;
- d. settlement obligations in respect of funds and/or securities to be honoured as per the settlement calendar prescribed by the Exchange from time to time.

In order to enable Absolute Broking to meet the obligation on behalf of the client, Absolute Broking seeks client's co-operation to maintain adequate margin, make timely settlement of obligations, topup margin by scheduled date etc.

Exposure Setting:

Margin based limit/exposure will be set for clients for transacting in Cash and F&O segment. Clients are to pay the upfront margin as per the VaR requirement of the particular scrip fixed by the Exchange subject to a minimum upfront margin of 25%. While computing the available margin, clear credit lying in Client's settlement and margin ledger, client securities pledged with the Exchange after prescribed haircut will be considered.

Margin can be paid in the form of Online Fund Transfer/Cheque and value of shares pledged with the Exchange after prescribed hair cut will be considered. List of shares that is accepted as pledge by the Exchange will alone be considered. This list is subject to revision from time to time based on Exchange approved list, market volatility, internal guidelines. This list of securities can be obtained from our branches or by writing to customercare@absolutebroking.com.

As per the SEBI Circular CIR/HO/MMIRSD/DOP/CIR/P/2019175 dated June 20, 2019 on Handling of Client Securities the following compliances will be followed:

- a. Stocks purchased by the client and payment not received will be transferred to Client Demat account with Auto pledge to Client Unpaid Securities Pledge Account. This auto pledge is having a charge of Rs.20/- per ISIN and will be debited to client account.
- b. No exposure will be given on the value of securities available in Client Unpaid Securities Pledge Account.
- c. If payment not received from the client, stocks will be liquidated on T+1+5 without any further intimation.

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(16/55) Signature of the person opening the trading A/c

3. Brokerage Policy:

Absolute Broking may charge a brokerage for all trades facilitated on NSE/BSE or any other recognised exchange of which Absolute Broking is a Member. Brokerage may vary from client to client, as per the terms agreed with the client at the time of Registration or by way of any subsequent written agreement between the client and Absolute Broking. The rate of brokerage shall not exceed the maximum permissible brokerage stipulated by Exchange/SEBI.

The slab rate of brokerage fixed by Absolute Broking may be function of the quality and cost of services provided to the client and the volume and revenue expected from relationship. It shall be reviewed by Absolute Broking from time to time and may be changed in such manner as Absolute Broking may deem fit provided that the same would not contradict the regulatory provisions.

The brokerage shall however be exclusive of the following: Goods Service Tax, STT & CTT and Education Cess, SEBI/Exchange/Clearing member charges, Stamp duty, Statutory charges payable to Exchange/SEBI/Govt. Authorities etc., Bank charges towards the cheques returned unpaid, Charges towards customized/specialised service.

4. Imposition of Penalty/delayed payment charges

Delayed payment charges/margin shortage charges:

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin/settle the obligation/top-up the margin by scheduled date. In case client fails to settle the dues in time, Absolute Broking shall reserve the right to –

- a. levy delayed payment charges, not exceeding 2% per month, or such other rate as may be determined by Absolute Broking from time to time, on account of delays/failure by the client in meeting the pay-in/margin obligations/mark-to-market obligation on the scheduled date till the date of payment in cash and/or F&O segment;
- b. levy a charge for disproportionate cash versus collaterals ratio prescribed by the Exchanges for deposit of margins in F&O;
- c. not consider any credit balance in other family or group account of the client while computing delayed payment charges on the debit balance in the running account of a client.

The above levy is only a penal measure in case of a client default in meeting settlement and margin obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation of service on permanent basis citing levy of delayed payment charges.

Penalties levied by Exchanges:

Exchanges/Clearing Corporation/SEBI levy penalties on the member broker for irregularities observed by them during course of its dealing with Members. Absolute Broking shall recover such imposed penalties/levies, by the Exchange/regulators, from the client which arises on account of dealing by such client. The illustrative list of reasons of levy penalty include but are not limited to:

- a. Auction resulting from short deliveries
- b. Non-adherence to client-wise exposure limits in Cash and F&O segment,
- c. Client-wise shortfall in F&O margin,
- d. Any other reasons which may be specified by the Exchange/Clearing Corporation/SEBI from time to time.

Interest Free Deposits:

Absolute Broking provides exposure against up front margin received in the form of cash/collateral from the client and the client also has to prerogative to demand withdrawal of cash or collaterals at his discretion, subject to surplus margin in place. Absolute Broking shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collaterals margins with Absolute Broking except for the corporate benefit received on such collateral securities, if any.

5. Liquidation Policy: *(The right to sell Client's securities or close Client's positions, without giving notice to the Client on account of non-payment of dues by Client)*

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin/settle the obligation/top-up the required margin by scheduled date. The client agrees and confirms that in case of any delay (beyond permissible time limit as per SEBI or Exchange's rules, regulations, byelaws, circulars and other applicable laws/provisions) in making the payment, Absolute Broking shall have the right to sell client's security(ies)/positions/contracts, both unpaid securities as well as collaterals deposited towards margins or securities previously purchased by the client or closed out client's open positions/contracts/offset credit balance in other segment/exchange against client's obligations/debit balances/liabilities, and securities held in client's demat account for which limited power of attorney is available with Absolute Broking etc without giving any notice to the client, as per prevalent risk policy from time to time, in circumstances including but not limited to the following:

- a. where intra-day position, if any, not liquidated before prescribed time or placing of fresh intra-day order after a cut-off time fixed by Absolute Broking;
- b. where client is not having adequate margins, as per conditions specified in Exposure Limit section or on account of removal of a security from approved list of collateral and client's failure to top-up further margins;
- c. where client delays/fails to meet the pay-in obligation/mark-to-market (MTM) dues/clearance of debit balances/dues by scheduled date or realisation proceeds of the cheque(s) deposited by the client to meet obligation is not received.

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(17/55) Signature of the person opening the trading A/c

Liquidation Policy circumstances (continued):

4. cheque bouncing/not honouring sale obligation by delivering shares in time or due to any reason, delays or fails in clearing outstanding dues to Absolute Broking;
5. volume in excess of permissible internal limit cap in illiquid/penny stocks/long dated options/far month options or excessive speculative trading;
6. scrip moved in Ban list (due to breach of exchange limit defined for market wide position limit/trading member wide position limit/client wide limit F&O segment, etc.);
7. irregularities in dealing and other surveillance/anti money laundering (AML) related observations;
8. client categorized as ineligible due to non-traceable, disputes, possible default by client and any other circumstances leading to raising non-confidence in client;
9. disputed delivery/trading position;
10. any direction from SEBI/Exchange or such other regulatory/statutory authorities;
11. under such other circumstances as Absolute Broking might think just and proper on case to case basis.

Such liquidation may be in full or partial to the extent of short fall/debit and securities/position/contracts selection would be at the discretion of Absolute Broking. While selling the securities/closing the client's position/contracts, Absolute Broking may take into account the positions closed by the client or collections received from the client till a cut-off time. Securities previously purchased would be used for liquidation where the sale proceeds of unpaid securities or inadequate to cover the pay-in obligations and/or where the unpaid securities appeared to be comparatively illiquid and cannot be sold at reasonable rates to the extent required.

Absolute Broking shall have the right to sell client's securities or closed out client's open positions/contracts but it shall not be under any obligation to undertake this exercise compulsorily and therefore shall not be under any obligation to compensate/or provide reasons for any delay or omission on its part to sell client's securities or close open positions/contracts of the client and client shall be solely responsible for the loss incurred on such liquidation.

6. Shortages in obligation and penalty for defaulting client:

Clients are required to make Securities/Funds pay in on or before T+1 day. In case of default in security pay-in by the client and the shortage is at internal shortage level i.e. internal shortage, a penalty as applicable from time to time, will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client. Rate of penalty will be decided by member as applicable from time to time and published on our website. In case of default of securities pay-in by the client and shortage is vis-a-vis the Exchange auction value of the respective exchanges and all levies, as applicable, shall be recovered from the defaulting client.

7. Inter Client Auction:

In case, in any settlement, where both the purchase and sale position for any scrip are limited between two or more of our i.e. Absolute Broking clients only, such that the net position to the concerned exchange in that settlement and for that scrip is "NIL". In such a situation if there is any short delivery then the resultant auction position will be Inter Client since both the legs i.e. the party delivering short and the corresponding purchaser are both Absolute Broking clients. For determining the auction price, in this situation, the highest of the following prices will be considered, the guiding principle being "purchaser should not lose". 1. Highest purchaser price paid for by the purchaser(s) who have not been delivered the shares due to corresponding short delivery for that scrip in that particular settlement, (OR) 2. Previous day's closing price prior to the pay-in date of that particular settlement plus 5%, whichever is higher will be determined as the auction close out price.

8. Conditions under which a Client may not be allowed to take further positions or the Member may close the existing position of a Client:

Under various circumstances outlined in the Liquidation Policy section of this document, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligations, outstanding etc. Further, it would be the duty of the clients to monitor their position with Absolute Broking from time to time. In case of any delay or failure by the client in meeting any obligation, margin requirements etc, Absolute Broking, at its discretion, may close the open position/contracts without any further intimation to the client in this regard as per the Risk policy.

9. Temporarily suspending or closing a Client's account at the Client's request:

The client is required to submit written request for closure of account or for temporary suspension of account clearly stating period of suspension, to the nearest branch office of the Member. Upon receipt of request and after satisfying itself with respect to all information/documentation and settlement of client dues, the Member shall act upon the request within reasonable time but not later than 30 days from the date of request.

10. Suspension of Trading Account and Deregistering the client:

Suspension of trading account

Absolute Broking may carry a periodic review of the client accounts and may, at its discretion, suspend the client's accounts from trading in the following circumstances:

1. Where the client status is dormant or inactive during last twelve months,
2. Where the client has not cleared the naked or uncovered debits in prescribed time,

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(18/55) Signature of the person opening the trading A/c

3. Default by the client in honouring its settlement/margin obligation including cheque bouncing/auction of shares,
4. Irregular trading pattern from surveillance/AML perspective,
5. Where Absolute Broking is unable to transfer the shares to the default demat account provided by the client, till the client submits the revised demat account details along with proof,
6. Where the client is categorized as ineligible due to being non-traceable, pending disputes/complaints, possible default by client and any other circumstances leading to raising non-confidence in client including return of undelivered couriers citing reason of "no such person/addressee left/refusal to accept mails/POD's signed by the third person etc." or Digital Contract Notes (DCN) failed (Bounced email) on more than three instances until client submits and registers new email id or non-delivery of the statement of account sent on periodic basis or non-updation of financial and other details viz., email id, mobile no, landline details or it is found to be belonging to a third person,
7. Where the account is under investigation by any regulatory body including receipt of notice from statutory, government or local authorities including income tax, service tax, a judicial or a quasi judicial authority or client is arrested by way of court order, police action or any other legal action,
8. Where the client is reported to or known to have deceased,
9. Where client fails to provide executed or renewed mandatory documentary requirements as prescribed by Exchanges/Regulators from time to time and/or refusal to do the periodic submissions as required by Exchanges/Regulators,
10. Under such other circumstances as Absolute Broking might think just and proper on case to case basis.

Deregistering a client:

Absolute Broking may at its discretion de-register the client's account in circumstances including but not limited to the following:

- a. Action taken by Exchanges/Regulators or being part of list of debarred entities published by SEBI,
- b. Where the client indulge in irregular activities not limited to synchronized trading, price manipulation, etc. resulting in violation of rules, regulations of the exchange and any other such activity,
- c. Based on information found in sites of CIBIL, Watch out investors, World check or client having suspicious back ground, link with suspicious organisation etc.,
- d. Irregular trading pattern from surveillance/AML perspective,
- e. Where the client is categorized as ineligible due to being non-traceable, disputes, possible default by client and any other circumstances leading to raising non-confidence in client including return of undelivered couriers citing reason of "no such person/addressee left/refusal to accept mails/POD's signed by the third persons etc." or Digital Contract Notes (DCN) failed (Bounced email) on more than three instances until client submits and registers new email id or non-delivery of the statement of accounts sent on periodic basis or non-updation of financial and other details viz., email id, mobile no, land line details or it is found to be belonging to a third person,
- f. Right to deregister after serving a 30 days written notice without assigning any reason thereof.

In such case, Absolute Broking shall have the right to close out the existing positions/contracts, sell the collaterals to recover its dues, if any, before de-registering the client's account.

11. Policy for Dormant/In-active account:

Where no transactions have taken place in client's account during the last twelve months then it will be considered as dormant/in-active account. If the account status is tagged as a dormant/in-active account, then the surplus funds or securities lying with Absolute Broking shall be refunded/returned to clients at his last known bank account/DP account for securities or at such other address as mentioned in the Account Opening Form after following KYC norms and on a specific request from the clients.

Reactivation:

A client's account will be re-activated, subject to fulfilment of such conditions as Absolute Broking may consider fit and proper –

- a. On submission of proof of identity and proof of address, where the account is suspended due to dormant/in-active status or on client's request, or on submission of such other information/documents as deemed fit by Absolute Broking.
- b. In other circumstances, at the discretion of Absolute Broking, provided there is no outstanding dues from the client or he has no open grievances pending against Absolute Broking or client has complied with all requirements of Absolute Broking of submission of information/documents or on fulfilment of such other conditions that Absolute Broking may impose at its discretion.
- c. In case if there is no change in address, Mobile number, Bank details, Income updation and email ID, the client code will be activated based on the request from the client through registered email id of the client.
- d. If the client is requesting for a re-activation after a period of 2 years of no transactions, such trading accounts will be activated only after obtaining the full KYC documents including IPV.
- e. Absolute Broking will insist for IPV of the client, specifically if the client is aged 70 or more at the time of re-activation of dormant account over 2 years. If the client insists for an online trading account and aged above 70 we will request for IPV to understand that the client is aware of the nuance of online trading and has a bank account with net banking facilities.

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(19/55) Signature of the person opening the trading A/c

Updates:

The client agrees & accepts that any client modification updation viz., Default Bank, Mobile Number, Default Demat Account, E-Mail etc., will be done only upon proper verification of the requests and confirmation obtained from the respective clients from the HO through the updated Mobile number in the respective trading account. Absolute Broking will not be held responsible/accountable for any delay in the updation of Default Bank/modifications in the account of the client by not responding/picking up the calls made on the updated Mobile Number for confirmation. In case the client does not respond to our calls or refrains from attending the confirmation calls made from the HO, Absolute Broking will not proceed with the updation requested for and will not be held liable for the delay in updation.

Significant Policies and Procedures

Kindly note that the below stated policies and procedures are subject to change from time to time, depending upon our internal risk management framework, market and external environment;

- An investor who wishes to execute transactions in MFSS, Capital Market and Derivative Market is registered as a client after all the due diligence required like KYC documents and proofs for profile details as mandated by the Regulators from time to time.
- An Investor has to transfer funds from his registered bank account(s) only for the purpose of executing transactions in his trading account. Transfers/Credits effected/received from unregistered or third party bank account will NOT be credited and will NOT be considered for meeting settlement obligation, margin requirements etc., to the trading account of the client.
- The investor can utilise the exposure available provided at his/her request to place orders either through ONLINE or through our branch (OFFLINE) as and when he/she wishes to execute transaction.
- Settlement of Obligations - Cash Market: As per the Regulatory norms, the investor is required to make pay-in of funds on or before T+1 days ("T" being the trading day) for the obligations arising out of the transactions executed by him/her in the Capital Market Segment.
- Settlement of Obligations - Derivative Segment: The settlement of funds for the obligations (MTM) arising out of Derivative Market transactions is T+1 day. All the clients are required to clear the obligation under the above mentioned settlement period or any other settlement period as per the directions of the Regulator from time to time.
- In case of delay in settlement of funds by the clients, delayed payment charges at 18% per annum will be charged on the debit balances till the time of clearance. However, the maximum period for holding the securities with Delayed Payment Charges is Trading day plus Five days (i.e., T+5) only as per Regulatory norms. The debit balance in the ledger account will be cleared on T+6 from our end by sale of securities available in the Ben/Pool account, Margin/Collateral account and also from the Demat account with POA, of the client.
- The liquidation of shares on T+6 will be done by Absolute Broking (in compliance with SEBI regulations) without any further intimation to the client. Client should not claim the price/preference of shares sold on liquidation. If the liquidation for clearance of debit balance (T+6) is done by Absolute Broking (at our end) the client code will be blocked for further purchases on that day and limits for selling only will be allowed (provided). Therefore to avoid blocking of client code and T+6 liquidation, funds to clear the debit balance will have to be received by 5:30 pm on T+5. The exposure provided as INTRADAY will be squared off by Absolute Broking (at Head Office) any time between 3.00 p.m. and 3.30 p.m. at the prevailing market rates or as and when the MTM loss triggers the account under RISK.
- Clients can use ALLINONE Login for transfer of funds to clear settlement obligations. This facility is available in www.absolutebroking.com and the same can be activated through our branches. NEFT can also be done to the following bank account and screenshot of successful transfer/UTR No. will have to be sent to accounts@absolutebroking.com.

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(20/55) Signature of the person opening the trading A/c

- In case the debit balance in the ledger account is increasing and the client is not bringing additional funds within the time limit prescribed above, Absolute Broking will have the full rights to liquidate the position ANYTIME. T+6 liquidation will not have any bearing if the account turns RISK anytime within T+6.
- Physical Settlement of Derivative Positions: The Regulators have issued a circular to the effect that certain scrips traded in the Derivative Market are to be settled physically. The relevant Circular number NSE/FAOP/37594 dated 23rd April 2018, is available on NSE Website. The clients are requested to refer to the circulars from the Exchange as and when published. Thus, we at Absolute Broking, will NOT be providing any Exposure on the scrips listed/marked for Physical Settlement FOUR working days prior to the Expiry day. All the outstanding positions in the said derivative contracts are to be squared off four working days prior to the Expiry. If the client wishes to take delivery of the contract purchased, he/she needs to have clear credit in the trading account FOUR days prior to Expiry. In case, the client has not squared off the positions and the trading account is having any open positions, Absolute Broking (we) will be liquidating the positions at our end before expiry.
- Absolute Broking shall not be liable/responsible for –
 - a. Any loss arising out of the liquidation of shares from the Ben/Pool account and Margin/Collateral account and Demat account with POA, of the client.
 - b. Any loss arising out of the Auto Square off liquidation of the INTRADAY positions taken by the client.
 - c. The auction losses, if any, for the uncovered short positions created by the client not squared off due to any reason like scrip in upper price ceiling etc.,
 - d. Debit balances/losses arising out of carry over of any positions, NOT squared off by Absolute Broking (us) due to technical snag/VSAT or connectivity related issues with the Exchange.
 - e. Debit balances/Losses arising out of any Derivative Contract marked for Physical Settlement NOT squared off by Absolute Broking (us) due to any reason like liquidity, connectivity etc.,
 - f. If there is any outstanding position not liquidated by the client/Absolute Broking, the exposure to the client will be blocked till such time the client settles his/her debit obligations in the trading account.
- Client account kept inoperative (by the client) for a period of twelve months will be marked as Dormant Account. To re-activate the dormant account, client may send an email from the email id registered with Absolute Broking (us) to documents@absolutebroking.com. Emails sent from unregistered email ids will not be entertained and the account will not be activated.
- Client will be receiving Short Message trade confirmations (SMS alerts) on the registered mobile number of the client informing the transactions executed by the client in his account. This is in addition to the IVR trade confirmation calls Absolute Broking (from our end).
- Quarterly settlement of funds and securities will be done at the end of every calendar quarter and the funds available in the client account on that day will be transferred by NEFT to the default bank account registered in the trading account of the client.
- For ONLINE clients, payout of funds will be done on request from the client. If there is no request from the client funds available at the client account, if any, will be settled at the time of quarterly settlement.
- Clients who have NOT registered POA/DDPI in their trading account (having non-POA/DDPI Demat account mapped to the trading account) are advised to submit the (duly signed) Delivery Instruction Slip duly signed by all the Demat account holders at the branch on or before 5.30 PM on T+1 day. The DI slips submitted after 5.30 P.M. (this time) will be processed at the risk of the client and the settlement obligation for the securities may or may not get cleared.

Clients are advised to refer to the Risk Disclosure Document, Policies and Procedures document available at Absolute Broking's (our) website. For more clarifications required, if any, the clients are requested to write back to us at customercare@absolutebroking.com.

Refund Policy:

The refund policy for all payments made as follows:

- a. Demat account closure refund will be sent to the bank account registered in the demat account; client account, if any, will be settled at the time of quarterly settlement.
- b. Payouts related to trading accounts will be sent to the default bank account registered in the account.
- c. In case of excess funds transferred online or funds transferred and services not availed, the same will be returned to the client upon reconciliation from the payment aggregation.

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(21/55) Signature of the person opening the trading A/c

ADDITIONAL DETAILS FOR CLIENTS OPTING FOR COMMODITY (INDIVIDUALS)

Commodity Client Category: (For details please refer description on page no. 2)

☐ Physical Commodity Trader ☐ Processor/Miller ☐ Retail – Individual ☐ Farmer ☐ Foreign Portfolio Investor-1 ☐ Foreign Portfolio Investor-2

☐ High Network Individuals

Field Name Description: Please tick relevant boxes for your categorization against commodities in which you wish to trade.

Field Name	Farmers	Value Chain Participant (VCPs)	Foreign Participant	Others – Retail Individuals	Others – apart from Retail Individuals (please specify)
ALUMINIUM					
BRASS					
CARDAMOM					
CASTORSEED					
COPPER					
COTTON					
CPO					
CRUDE OIL					
GOLD					
LEAD					
MENTHAOIL					
NATURAL GAS					
NICKEL					
PEPPER					
REDPMOLEIN					
SILVER					
ZINC					
NKRISHI					
BARLEYJPR					
CHANA					
COCUDAKL					
DHANIYA					
GUARGUM5					
GUARSEED10					
JEERAUNJHA					
KAPAS					
MAIZEKHRIF					
MAIZERABI					
MOONG					
PADYPB1121					
RMSEED					
SUGARM					
SYBEANIDR					
SYOREF					
TMCFGRNZM					
WHEATFAQ					
BAJRA					
MCXBULDEX					
MCXMETLDEX					
RUBBER					

Or I declare that I am categorized under option ‘Others’ for each of the commodity mentioned above.

EFE (Eligible foreign entity) –

If EFE ‘YES’ Please mention

LEI (Legal entity identification)

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Client Category	Description
Farmers/FPOs	It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature. FPO / Farmers consists of collectivization of Producers especially small and marginal farmers.
Value chain participants (VCPs)	It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
Foreign participants	It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
Others	All other participants which cannot be classified in the above categories.
Physical Commodity Trader	Traders who trade in physical market such as Stockiest, Cash & Carry participants, Wholesalers, Importers, Exporters etc.
Processor/Miller	Involved in Processing of commodities such as Dal & Flour millers, Sugar millers, Oil processors.
Retail Individual	Clients who do not fall in any category.

ANNEXURE 1

Additional Risk Disclosure documents for Options Trading

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 Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

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.

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ANNEXURE - 2

RISK DISCLOSURE DOCUMENT

The Exchange does not expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor has the Exchange endorsed or passed any merits of participating in the Commodity Derivatives market/trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it.

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 commodity futures contracts / derivatives or other instruments traded on the Commodity 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 the Exchange and suffer adverse consequences or loss, you shall be solely responsible for the same and the Exchange shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take the 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 Client 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 commodity derivatives being traded on the Exchange.

It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by SEBI from time to time and circulars as may be issued by the Exchange from time to time.

The Exchange 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 member of the Exchange and/or 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, you should be aware of or must get acquainted with the following:-

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1. Basic Risks involved in the trading of Commodity Futures Contracts and other Commodity Derivatives Instruments on the Exchange.

i. Risk of Higher Volatility

Volatility refers to the dynamic changes in price that commodity derivative contracts undergo when trading activity continues on the Commodity Exchange. Generally, higher the volatility of a commodity derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded commodity derivatives contracts than in actively traded commodities/ 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 real losses.

ii. Risk of Lower Liquidity

- a. Liquidity refers to the ability of market participants to buy and/ or sell commodity derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number 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 commodity derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for commodity derivative contracts purchased or sold. There may be a risk of lower liquidity in some commodity derivative contracts as compared to active commodity derivative 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.
- b. Buying/ Selling without intention of giving and/ or taking delivery of certain commodities may also result into losses, because in such a situation, commodity derivative contracts may have to be squared-off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such commodities.

iii. 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 commodity derivative and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid commodities/ commodity derivatives contracts. This in turn will hamper better price formation.

iv. Risk-reducing orders

- a. Most of the Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc. 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.
- b. 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 commodity derivatives contract.
- c. A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the client received price protection, there is a possibility that the order may not be executed at all.
- d. A stop loss order is generally placed "away" from the current price of a commodity derivatives contract, and such order gets activated if and when the 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 contract approaches 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 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.

v. Risk of News Announcements

Traders/Manufacturers make news announcements that may impact the price of the commodities and/or commodity derivatives 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 commodity/ commodity derivatives contract.

vi. Risk of Rumours

Rumours about the price of a commodity at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumours.

vii. System Risk

- a. 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.
- b. 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 execution of order and its confirmation.
- c. 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 commodity due to any action on account of unusual trading activity or price hitting circuit filters or for any other reason.

vii. System/ Network Congestion

Trading on the Exchange is in electronic mode, based on satellite/ leased line 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 Commodity Derivatives are concerned, please note and get yourself acquainted with the following additional features:-

Effect of "Leverage" or "Gearing":

- a. The amount of margin is small relative to the value of the commodity derivatives contract so the transactions are 'leveraged' or 'geared'. Commodity 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 commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in commodity derivatives contracts and also trade with caution while taking into account one's circumstances, financial resources, etc.
- b. Trading in Futures Commodity Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price 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 on the next day.
- c. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate/square-up a part of or the whole position. In this case, you will be liable for any losses incurred due to such square-up/ Close Outs.
- d. Under certain market conditions, an Investor may find it difficult or impossible to execute the 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.
- e. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- f. You must ask your Member of the Exchange to provide the full details of the commodity derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

3. TRADING THROUGH WIRELESS TECHNOLOGY OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology or any other technology should be brought to the notice of the client by the member.

4. GENERAL

- i. **Deposited cash and property:** You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.
- ii. **Commission and other charges:** Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.
- iii. For rights and obligations of the Members/Authorised Persons/ clients, please refer to Annexure 3.
- iv. The term 'Constituent' shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the commodity derivatives through the mechanism provided by the Exchange.
- v. The term 'member' shall mean and include a Trading Member or a Member/Broker, who has been admitted as such by the Exchange and got a registration certificate from SEBI.

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Annexure – 3 (of KYC Document)**RIGHTS AND OBLIGATIONS OF MEMBERS, AUTHORIZED PERSONS AND CLIENTS
as prescribed by SEBI and Commodity Exchanges**

1. The client shall invest/trade in those commodities /contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Business Rules/ Regulations of Exchanges/SEBI and circulars/notices issued there under from time to time.
2. The Member, Authorized Person and the client shall be bound by all the Rules, Byelaws and Business Rules 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 himself of the capacity of the Member to deal in commodities and/or deal in derivatives contracts and wishes to execute its orders through the Member and the client shall from time to time continue to satisfy itself of such capability of the Member before executing orders through the Member.
4. The Member 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 Member shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations, the liability and the capacity in which the Member acts.
6. Requirements of professional diligence
 - a. The Member must exercise professional diligence while entering into a financial contract or discharging any obligations under it.
 - b. "professional diligence" means the standard of skill and care that a Member would be reasonably expected to exercise towards a Client, commensurate with-
 - i. honest market practice;
 - ii. the principle of good faith;
 - iii. level of knowledge, experience and expertise of the Client;
 - iv. the nature and degree of risk embodied in the financial product* or financial service being availed by the Client; and
 - v. the extent of dependence of the Client on the Member.

**Commodity derivative contract*

7. The Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).

CLIENT INFORMATION

8. The client shall furnish all such details in full as are required by the Member in "Account Opening Form" with supporting details, made mandatory by commodity exchanges/SEBI from time to time.
9. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the Member shall be non-mandatory; therefore, subject to specific acceptance by the client.
10. The client shall immediately notify the Member 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 Member on a periodic basis.

11.A. Protection from unfair terms in financial contract

- a. An unfair term of a non-negotiated contract will be void.
- b. A term is unfair if it –
 - i. causes a significant imbalance in the rights and obligations of the parties under the financial contract, to the detriment of the Client; and
 - ii. is not reasonably necessary to protect the legitimate interests of the Member.
- c. The factors to be taken into account while determining whether a term is unfair, include –
 - i. the nature of the financial product or financial service dealt with under the financial contract;
 - ii. the extent of transparency of the term; ***contracts offered by commodity exchanges*
 - iii. the extent to which the term allows a Client to compare it with other financial contracts for similar financial products or financial services; and
 - iv. the financial contract as a whole and the terms of any other contract on which it is dependent.
- d. A term is transparent if it –
 - i. is expressed in reasonably plain language that is likely to be understood by the Client;
 - ii. is legible and presented clearly; and
 - iii. is readily available to the Client affected by the term.
- e. If a term of a financial contract is determined to be unfair under point

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11.B. the parties will continue to be bound by the remaining terms of the financial contract to the extent that the financial contract is capable of enforcement without the unfair term.

11.C. a. "Non-negotiated contract" means a contract whose terms, other than the terms contained in point (given below) are not negotiated between the parties to the financial contract and includes –

- i. a financial contract in which, relative to the Client, the Member has a substantially greater bargaining power in determining terms of the financial contract; and
- ii. a standard form contract.

b. "Standard form contract" means a financial contract that is substantially not negotiable for the Client, except for the terms contained in point.

c. Even if some terms of a financial contract are negotiated in form, the financial contract may be regarded as a non-negotiated contract if so indicated by –

- i. an overall and substantial assessment of the financial contract; and
- ii. the substantial circumstances surrounding the financial contract.

d. In a claim that a financial contract is a non-negotiated contract, the onus of demonstrating otherwise will be on the Member.

- i. The above does not apply to a term of a financial contract if it –
- ii. defines the subject matter of the financial contract;
- iii. sets the price that is paid, or payable, for the provision of the financial product or financial service under the financial contract and has been clearly disclosed to the Client; or is required, or expressly permitted, under any law or regulations.

e. The exemption under point 11.C does not apply to a term that deals with the payment of an amount which is contingent on the occurrence or non-occurrence of any particular event.

12. The Member and Authorized Person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the Member may so disclose information about his client to any person or authority with the express permission of the client.

13. A. Protection of personal information and confidentiality

a. "Personal information" means any information that relates to a Client or allows a Client's identity to be inferred, directly or indirectly, and includes –

- i. name and contact information;
- ii. biometric information, in case of individuals;
- iii. information relating to transactions in, or holdings of, financial products;
- iv. information relating to the use of financial services; or
- v. such other information as may be specified.

13. B. a. A Member must –

- i. not collect personal information relating to a Client in excess of what is required for the provision of a financial product or financial service;
- ii. maintain the confidentiality of personal information relating to Clients and not disclose it to a third party, except in a manner expressly permitted under point 13.B.b.;
- iii. make best efforts to ensure that any personal information relating to a Client that it holds is accurate, up to date and complete;
- iv. ensure that Clients can obtain reasonable access to their personal information, subject to any exceptions that the Regulator may specify; and
- v. allow Clients an effective opportunity to seek modifications to their personal information to ensure that the personal information held by the Member is accurate, up to date and complete.

b. A Member may disclose personal information relating to a Client to a third party only if –

- i. it has obtained prior written informed consent of the Client for the disclosure, after giving the Client an effective opportunity to refuse consent;
- ii. the Client has directed the disclosure to be made;
- iii. the Regulator has approved or ordered the disclosure, and unless prohibited by the relevant law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
- iv. the disclosure is required under any law or regulations, and unless prohibited by such law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
- v. the disclosure is directly related to the provision of a financial product or financial service to the Client, if the Member –

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- i. informs the Client in advance that the personal information may be shared with a third party; and
 - ii. makes arrangements to ensure that the third party maintains the confidentiality of the personal information in the same manner as required under this Part; or
- vi.** the disclosure is made to protect against or prevent actual or potential fraud, unauthorised transactions or claims, if the Member arranges with the third party to maintain the confidentiality of the personal information in the manner required under this Part.
- c.** "Third party" means any person other than the concerned Member, including a person belonging to the same group as the Member.

13.A. Requirement of fair disclosure both initially and on continuing basis

- a. Member must ensure fair disclosure of information that is likely to be required by a Client to make an informed transactional decision.
- b. In order to constitute fair disclosure, the information must be provided –
 - i. sufficiently before the Client enters into a financial contract, so as to allow the Client reasonable time to understand the information;
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to a particular category; and
 - iii. in a manner that enables the Client to make reasonable comparison of the financial product or financial service with other similar financial products or financial services.
- c. The types of information that must be disclosed to a Client in relation to a financial product or financial service, which may include information regarding –
 - i. main characteristics of the financial product or financial service, including its features, benefits and risks to the Client;
 - ii. consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
 - iii. existence, exclusion or effect of any term in the financial contract;
 - iv. nature, attributes and rights of the Member, including its identity, regulatory status and affiliations;
 - v. contact details of the Member and the methods of communication to be used between the Member and the Client;
 - vi. rights of the Client to rescind a financial contract within a specified period; or
 - vii. rights of the Client under any law or regulations.

14.B.a. Member must provide a Client that is availing a financial product or financial service provided by it, with the following continuing disclosures –

- i. any material change to the information that was required to be disclosed under point 14.A at the time when the Client initially availed the financial product or financial service;
 - ii. information relating to the status or performance of a financial product held by the Client, as may be required to assess the rights or interests in the financial product or financial service; and any other information that may be specified.
- b.** A continuing disclosure must be made –
- i. within a reasonable time-period from the occurrence of any material change or at reasonable periodic intervals, as applicable; and
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to that category.

MARGINS

- 15. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Member 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 Member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
- 16. 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

- 17. The client shall give any order for buy or sell of commodities derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Member however ensuring the regulatory requirements in this regard are complied with. The Member shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
- 18. The Member 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 commodity exchange where the trade is executed.
- 19. The Member shall ensure that the money 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 Member for himself/itself or for any other client or for any purpose other than the purposes.

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...mentioned in Rules, circulars, notices, guidelines of SEBI and/or Rules, Business Rules, Bye-laws, circulars and notices of Exchange.

- 20.** 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, Member shall be entitled to cancel the respective contract(s) with client(s).
- 21.** The transactions executed on the Exchange are subject to Rules, Bye-laws and Business Rules 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 Bye-laws and Business Rules of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Bye-laws and Business Rules of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

- 22.** The Client shall pay to the Member 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 Member renders to the Client. The Member shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Business Rules and Bye-laws of the relevant commodity exchanges and/or Rules of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

- 23.** Without prejudice to the Member's other rights (including the right to refer a matter to arbitration), the client understands that the Member 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.
- 24.** 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 commodities which the client has ordered to be bought or sold, Member 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/commodities in favor of a Nominee shall be valid discharge by the Member against the legal heir.

DISPUTE RESOLUTION

- 25.** The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it.
- 26.** The client and the Member shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Bye-laws and Business Rules of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
- 27.** The client/Member understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/Member shall be binding on the client/Member in accordance with the letter authorizing the said representative to deal on behalf of the said client/Member.
- 28.** Requirement for each Member to have an effective grievance redress mechanism which is accessible to all its Clients
- a. A Member must have in place an effective mechanism to receive and redress complaints from its Clients in relation to financial products or financial services provided by it, or on its behalf, in a prompt and fair manner.
 - b. A Member must inform a Client, at the commencement of relationship with the Client and at such other time when the information is likely to be required by the Client, of –
 - i. the Client's right to seek redress for any complaints; and
 - ii. the processes followed by the Member to receive and redress complaints from its Clients.
- 29.** A. Suitability of advice for the Client
Right to receive advice that is suitable taking into account the relevant personal circumstances of the Client, such as the Client's financial circumstances and needs. This obligation would apply to persons who render advice to Clients and the regulator may specify categories of financial products and service that necessarily require such advice to be given.
- a. A Member must –
 - i. make all efforts to obtain correct and adequate information about the relevant personal circumstances of a Client; and
 - ii. ensure that the advice given is suitable for the Client after due consideration of the relevant personal circumstances of the Client.
 - b. If it is reasonably apparent to the Member that the available information regarding the relevant personal circumstances of a Client is incomplete or inaccurate, the Member must warn the Client of the consequences of proceeding on the basis of incomplete or inaccurate information.
 - c. If a Client intends to avail of a financial product or financial service that the Member determines unsuitable for the Client, the Member –
 - i. must clearly communicate its advice to the Client in writing and in a manner that is likely to be understood by the Client; and
 - ii. may provide the financial product or financial service requested by the Client only after complying with point 29.A.a and obtaining a written acknowledgement from the Client.

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30. Dealing with conflict of interest

In case of any conflict between the interests of a Client and that of the Member, preference must be given to the Client interests.

a. A member must –

- i. provide a Client with information regarding any conflict of interests, including any conflicted remuneration that the Member has received or expects to receive for making the advice to the Client; and
- ii. give priority to the interests of the Client if the Member knows, or reasonably ought to know, of a conflict between –
 1. its own interests and the interests of the Client; or
 2. the interests of the concerned Member and interests of the Client, in cases where the Member is a financial representative.

b. The information under point 16a.i. must be given to the Client in writing and in a manner that is likely to be understood by the Client and a written acknowledgement of the receipt of the information should be obtained from the Client.

c. In this section, “conflicted remuneration” means any benefit, whether monetary or non-monetary, derived by a Member from persons other than Clients that could, under the circumstances, reasonably be expected to influence the advice given by the Member to a Client.

TERMINATION OF RELATIONSHIP

- 31.** This relationship between the Member and the client shall be terminated; if the Member for any reason ceases to be a member of the commodity exchange including cessation of membership by reason of the Member's default, death, resignation or expulsion or if the certificate is cancelled by the Exchange.
- 32.** The Member, Authorized Person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. 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.
- 33.** In the event of demise/insolvency of the Authorized Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorized Person by the commodity exchange and/or termination of the agreement with the Authorized Person by the Member, 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 Member and all clauses in the ‘Rights and Obligations’ document(s) governing the Member, Authorized Person and client shall continue to be in force as it is, unless the client intimates to the Member his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

- 34.** The Member and client shall reconcile and settle their accounts from time to time as per the Rules, Business Rules, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
- 35.** The Member shall issue a contract note to his clients 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 Member shall send contract notes to the investors within 24 hours of the execution of the trades in hard copy and/or in electronic form using digital signature.
- 36.** The Member shall make pay out of funds or delivery of commodities as per the Exchange Rules, Bye-Laws, Business Rules and Circulars, as the case may be, to the Client on receipt of the payout 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.
- 37.** The Member shall send a complete Statement of Accounts’ for both funds and commodities 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.
- 38.** The Member shall send margin statements to the clients on daily basis. 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, warehouse receipts, securities etc.
- 39.** The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Member 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.
- 40.** In case, where a member surrenders his/her/its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to transactions executed on the trading system of the Exchange, ensure that client lodge a claim with the Exchange within the stipulated period and with the supporting documents.

(31/55) Signature of the person opening the trading A/c

41.A Protection from unfair conduct which includes misleading conduct & abusive conduct

- a. Unfair conduct in relation to financial products or financial services is prohibited.
- b. "Unfair conduct" means an act or omission by a Member or its financial representative that significantly impairs, or is likely to significantly impair, the ability of a Client to make an informed transactional decision and includes –
 - i. misleading conduct under point 41.B
 - ii. abusive conduct under point 41.C
 - iii. such other conduct as may be specified.

41.B.a. Conduct of a Member or its financial representative in relation to a determinative factor is misleading if it is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise, and the conduct involves –

- i. providing the Client with inaccurate information or information that the Member or financial representative does not believe to be true; or
- ii. providing accurate information to the Client in a manner that is deceptive.

b. In determining whether a conduct is misleading under point 41.B.a, the following factors must be considered to be "determinative factors" –

- i. the main characteristics of a financial product or a financial service, including its features, benefits and risks to the Client;
- ii. the Client's need for a particular financial product or financial service or its suitability for the Client;
- iii. the consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
- iv. the existence, exclusion or effect of any term in a financial contract, which is material term in the context of that financial contract;
- v. the nature, attributes and rights of the Member, including its identity, regulatory status and affiliations; and
- vi. the rights of the Client under any law or regulations.

41.C.a. A conduct of a Member or its financial representative in relation to a financial product or financial service is abusive if it –

- i. involves the use of coercion or undue influence; and
- ii. causes or is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise.

b. In determining whether a conduct uses coercion or undue influence, the following must be considered –

- i. the timing, location, nature or persistence of the conduct;
- ii. the use of threatening or abusive language or behavior;
- iii. the exploitation of any particular misfortune or circumstance of the Client, of which the Member is aware, to influence the Client's decision with regard to a financial product or financial service;
- iv. any non-contractual barriers imposed by the Member where the Client wishes to exercise rights under a financial contract, including –
 1. the right to terminate the financial contract;
 2. the right to switch to another financial product or another Member and
- v. a threat to take any action, depending on the circumstances in which the threat is made.

42. ELECTRONIC CONTRACT NOTES (ECN)

In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id (created by the client) to the Member (Kindly refer Appendix A of Annexure 3). Member shall ensure that all the rules/Business Rule/Bye-Laws/circulars issued from time to time in this regard are complied with. The client shall communicate to the Member 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.

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

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

45. The Member 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/circulars/guidelines issued by SEBI/Commodity 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 Member for the specified period under the extant rules/circulars/guidelines issued by SEBI/Commodity 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 Member 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 rules/circulars/guidelines issued by SEBI/Commodity exchanges.

Signature

(32/55) Signature of the person opening the trading A/c

46. The Member 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 Member shall send a physical contract note to the client within the stipulated time under the extant Regulations/Rules, Bye-Laws, Business Rules and Circulars of SEBI/commodity exchanges and maintain the proof of dispatch and delivery of such physical contract notes.
47. In addition to the e-mail communication of the ECNs to the client, the Member 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.
48. The Electronic Contract Note (ECN) declaration form obtained from the Client who opts to receive the contract note in electronic form. This declaration will remain valid till it is revoked by the client.

49. LAW AND JURISDICTION

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

50. The provisions of this document shall always be subject to Government notifications, any rules, guidelines and circulars/notices issued by SEBI and Circulars, Rules, Business Rules and Bye laws of the relevant commodity exchanges, where the trade is executed, that may be in force from time to time.
51. The Member 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, if either party is not satisfied with the arbitration award.
52. 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/Business Rules and circulars/notices issued thereunder of the Exchanges / SEBI.
53. All additional voluntary / non-mandatory clauses / document added by the Member should not be in contravention with Rules / Business Rules / 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.
54. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of SEBI or Bye-laws, Rules and Business Rules of the relevant commodity 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.
55. Members are required to send account statement to their clients every month.

(33/55) Signature of the person opening the trading A/C

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS TO CLIENT

MANDATORY

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

- Member is eligible for providing Internet based trading (IBT) and commodities 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 Member shall comply with all requirements applicable to internet based trading/commodities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
- The client is desirous of investing/trading in commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for commodities trading through use of wireless technology. The Member would provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to SEBI/Exchanges provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
- The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology/internet or any other technology should be brought to the notice of the client by the Member.
- The Member shall make the client aware that the Member's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
- 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 Member'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/commodities trading through order routed system and undertakes that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the Member.
- The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member'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.
- The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/commodities 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.
- The Member 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 Member shall send the order/trade confirmation on the device of the client.
- 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 Member and the Exchange do not make any representation or warranty that the Member's IBT Service will be available to the Client at all times without interruption.
- The Client shall not have any claim against the Exchange or the Member on account of any suspension, interruption, non-availability or malfunctioning of the Member'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/Member's/Exchange end for any reason beyond the control of the Member/Exchanges.

(34/55) Signature of the person opening the trading A/c

DO'S

1. Trade only through Registered Members of the Exchange. Check from the Exchange website at following link..... Details to see whether the Member is registered with the Exchange.
2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading.
3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
4. Insist on reading and signing a standard 'Risk Disclosure Agreement'.
5. Obtain a copy of your KYC and/or other documents executed by you with the Member, from the Member.
6. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the Exchange website at the following link.....The trades can be verified online where trade information is available up to 5 working days from the trade date.
7. Insist on a duly signed Contract Note in specified format for every executed trade within 24 hours of trade, highlighting the details of the trade along with your UCC.
8. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order Date, Order time, Trade No., Trade rate, Quantity, Arbitration Clause, etc.
9. Obtain receipt for collaterals deposited with the Member towards margins.
10. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities to know your rights and duties vis-à-vis those of the Member.
11. Ask all relevant questions and clear your doubts with your Member before transacting.
12. Insist on receiving the bills for every settlement.
13. Insist on Monthly statements of your ledger account and report any discrepancies in the statement to your Member within 7 working days. In case of unsatisfactory response report the discrepancy to the Exchange within 15 working days from the date of cause of action.
14. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.
15. Keep Delivery Instruction Slips (DIS) book issued by DP in safe possession.
16. Ensure that the DIS numbers are preprinted and your account number (UCC) is mentioned in the DIS book.
17. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
18. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.
19. Deliver the commodities in case of sale or pay the money in case of purchase within the time prescribed.
20. Understand and comply with accounting standards for derivatives.
21. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and the Member cannot be changed without your consent.
22. Get a clear idea about all brokerage, commissions, fees and other charges levied by the Member on you for trading and the relevant provisions/guidelines specified by SEBI/Commodity exchanges.
23. Make the payments by account payee cheque in favour of the Member. Ensure that you have a documentary proof of your payment/deposit of commodities with the Member, stating date, commodity, quantity, towards which bank/demat account such money or commodities (in the form of warehouse receipts) deposited and from which bank/demat account.
24. The payout of funds or delivery of commodities (as the case may be) shall not be made to you within one working day from the receipt of payout from the Exchange, in case you have given specific authorization for maintaining running account to the member. Thus, in this regard, the running account authorization provided by you to the Member shall be 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. You need to bring any dispute arising from the statement of account to the notice of the Member in writing preferably within 7 (seven) working days from the date of receipt of funds/commodities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Commodity exchanges without delay.
 - c. In case you have not opted for maintaining running account and pay-out is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the Member. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Commodity exchange.
 - d. Please register your mobile number and email id with the Member, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the commodity exchanges.
25. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the commodity derivatives or the member becomes insolvent or bankrupt.
26. Please ensure that you have a documentary proof of having made the deposit of such money or property with the member, stating towards which account such money or property deposited.
27. In case your problem/grievance/issue is not being sorted out by concerned Member/Authorised Person then you may take up the matter with the concerned Commodity Exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

(35/55) Signature of the person opening the trading A/c

DON'TS

1. Do not deal with any unregistered intermediaries.
2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
3. Do not enter into assured returns arrangement with any Member.
4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/implicit promise of returns, etc.
5. Do not make payments in cash / take any cash towards margins and settlement to/from the Member.
6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
7. Do not neglect to set out in writing, orders for higher value given over phone.
8. Do not accept unsigned/duplicate contract note/confirmation memo.
9. Do not accept contract note / confirmation memo signed by any unauthorized person.
10. Do not share your internet trading account's password with anyone.
11. Do not delay payment/deliveries of commodities to Member.
12. Do not forget to take note of risks involved in the investments.
13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities, deposits and/or keep them with Depository Participants (DP) or member to save time.
14. Do not pay brokerage in excess of that rates prescribed by the Exchange.
15. Don't issue cheques in the name of Authorized Person.

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(36/55) Signature of the person opening the trading A/c

NOMINATION DETAILS

☐ **I/We wish to make a nomination** (As per details given below)

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my/our death.

Nomination can be made upto three Nominees in the account	Details of I Nominee	Details of II Nominee	Details of III Nominee
1 Name of the Nominee(s) (Mr/Ms.)			
2 Share of each Nominee (Any odd lot after division shall be transferred to the first nominee mentioned in the form.)	Equally ☐ [If not equally, please specify percentage]		
	%	%	%
3 Relationship with the Applicant (If Any)			
4 Address of Nominee(s)			
PIN Code			
5 Mobile/Telephone No. of Nominee(s)			
6 E-mail ID of Nominee(s)			
7 Date of Birth* (In case of Minor Nominee(s))			
8 Nominee Identification details (Please tick (A) or (B) and provide details with self attested proof)			
(A) ☐ i) Photograph Nominee photograph	Affix recent passport size colour photograph of Nominee duly signed across photograph	Affix recent passport size colour photograph of Nominee duly signed across photograph	Affix recent passport size colour photograph of Nominee duly signed across photograph
ii) Signature of Nominee(s)	X	X	X

(B) ☐ Self attested copy of Nominee PAN / Passport / Voter ID / Driving Licence / Demat account details			
NOTE: * In case of Minor Nominee(s) Guardian details should be filled along with nominee age proof.			
SIGNATURE OF WITNESS FOR NOMINATION			
Name of Witness	Address	Signature of Witness	
		By X Date :	
To be filled-up (Sr. Nos. 9-14) only if Nominee is a minor : Kindly provide Birth Certificate / PAN Card Copy / Passport Copy in case of minor for age proof.			
Guardian Details	Details of I Guardian	Details of II Guardian	Details of III Guardian
9 Name of the Guardian(s) (Mr/Ms.) <i>In case of minor nominee(s)</i>			
10 Address of Guardian(s)			
PIN Code			
11 Mobile/Telephone No. of Guardian(s)			
12 E-mail ID of Guardian(s)			
13 Relationship of Guardian with Nominee			
14 Guardian Identification Details (Please tick (A) or (B) and provide details with self attested proof)			
(A) ☐ i) Photograph	Affix recent passport size colour photograph of Guardian duly signed across photograph	Affix recent passport size colour photograph of Guardian duly signed across photograph	Affix recent passport size colour photograph of Guardian duly signed across photograph
ii) Signature of Guardian(s)	By X	By X	By X
(B) ☐ Self attested copy of Guardian PAN / Passport / Voter ID / Driving Licence / Demat account details			

DECLARATION FORM FOR OPTING OUT OF NOMINATION

DECLARATION DETAILS

I/ We hereby confirm that I/ We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading/demat account.

Applicant(s)	Name(s) of the Applicant(s)	(37/55) Signature(s) of the Applicant(s)
Sole / First Applicant		 X
Second Applicant		 X
Third Applicant		 X

MOST IMPORTANT TERMS AND CONDITIONS (MITC) **(For non-custodial settled trading accounts)**

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed / fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/ stock exchanges for participation in such schemes.
11. Important notice :- To enhance investor protection, SEBI has introduced a new framework effective January 12, 2024. This allows investors to voluntarily freeze or block their trading accounts, similar to the process for blocking ATM, debit or credit cards. For detailed information and instructions, please visit : www.absolutebroking.com.

✍ X.....

(38/55) Signature of the person opening the trading A/c

FOR NRO NON – PIS CLIENTS

NRI UNDERTAKING – INVESTING UNDER NON – REPATRIATION BASIS

I hereby agree and undertake as follows:

- Whereas, I have registered with M/s Absolute Broking Private Limited, Shri Devi Park, No 1 Ground Floor, Hanumantha Road, Thyagaraya Nagar, Chennai, Tamil Nadu-600017 as an NRI Client under NRO status (Non – Repatriation basis) as per the KYC Terms and Conditions & Rights and Obligations executed on to trade on the Stock Exchanges in India.
- Whereas, the Securities and Exchange Board of India (SEBI) and Reserve Bank of India (RBI) have promulgated special rules and regulations applicable to NRIs who trade on Indian Stock Exchanges.
- I affirm and agree to abide by the SEBI/RBI rules that prohibit short-selling securities and netting of trades.
- I affirm and agree that the Sale / Maturity proceeds of the securities or units acquired shall be credited to my NRO account irrespective of the type of account from which the considerations for acquisition were paid.
- I affirm and agree that Absolute Broking Private Limited shall calculate and deduct the applicable taxes as per the prevailing tax norms in India and shall pay only the net amount after taxes to my NRO account for which TDS certificate shall be issued.
- I shall intimate Absolute Broking Private Limited and give a suitable declaration of the cost and date of purchase of the securities held by me.
- Further, I shall intimate Absolute Broking Private Limited about any change in the status of security holdings on account of corporate actions or otherwise (IPO/FPO, Rights, Buy back, ESOPs, off market transfers etc) to facilitate proper capital gains computations.
- I shall, on demand, provide the proof of cost and date of acquisition of the shares so declared. Absolute Broking Private Limited shall have the right to disallow selling of shares for which I have not given complete declaration.
- I understand and agree that Absolute Broking Private Limited can outsource the tax calculations and other related activities to a third party who may have access to my account/transactions besides levy service charges for providing such services.
- I undertake and agree that I shall be entirely liable for any tax liabilities that arise on account of the transactions executed through Absolute Broking Private Limited and that I shall cooperate with Absolute Broking Private Limited in this regard.
- I undertake and agree to pay in full all the dues, losses, liabilities, charges, taxes, fees, interest, penalty, fine, etc. that may arise on account of my trading activities with Absolute Broking Private Limited.
- I undertake to abide by all the applicable rules, regulations, laws, notifications, circulars under FEMA, RBI, SEBI, Income Tax, government, ministries, etc. for NRO trading in the Stock Exchanges in India as an NRI, existing or as announced from time to time.
- In the event of my committing a breach of any of the above described regulations, Absolute Broking Private Limited shall be at liberty to deactivate my NRO trading account and I shall not raise any claim or dispute against Absolute Broking Private Limited, for the said action.

✍ X.....

(39/55) Signature of the person opening the trading A/c

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts".
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not more than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have

the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances within a period of two working days or rematerialize such security balances as per procedure specified from time to time by the depository. If the Beneficial Owner has outstanding dues at the time of submitting the request, the Participant shall give a maximum of 30 calendar days to clear the outstanding dues. Participant shall process request within two working days from the date of clearance of its outstanding dues from the Beneficial Owner. If the Beneficial Owner fails to clear the dues within the prescribed timeline, the Participant shall reject the request within two working days. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

26. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

27. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

28. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI.
32. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
33. 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 Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

1. Introduction

This policy outlines the procedures for voluntary freezing of trading accounts for clients of Absolute Broking (hereinafter referred to as AB) in accordance with SEBI's circular SEBI/HO/MIRSD/MIRSD- PoD-1/P/CIR/2023/24 dated February 6, 2023 and NSE circular NSE/INSP/61529 dated April 08, 2024.

2. Purpose

This policy aims to guide AB clients on the process, modes, timelines, and other details for facilitating the voluntary freezing of their trading accounts upon noticing any suspicious activity.

3. Scope and Applicability

This policy is applicable to all AB clients who wish to voluntarily freeze their online trading accounts.

4. Review

This policy is part of AB's Risk Management Policy and shall be reviewed annually by the Board of Directors or earlier if necessary to ensure compliance with regulatory changes.

5. Procedure to Freeze Online Trading Account**Using the App:**

- Log in to the Absolute Broking app, go to the Accounts page, and click on the Profile Widget.
- Select the "Temporary Account Freeze" option.
- Follow the on-screen instructions.
- Enter the OTP received via SMS and email for verification.
- Upon entering the correct OTP, the account will be frozen.

Using Dedicated Email:

- Clients/Customer has to send an Email from his registered email address to support@absolutebroking.com
- Upon verification trading account will be frozen within 15 minutes.

Calling a Dedicated Support Line:

- Call AB at the dedicated number 044 4796 1590 (between 8:30 am – 5:30 pm excluding Sundays and public holidays).
- The customer support agent will verify the client's identity and may request additional information.
- Once verified, the agent will freeze the account.

6. Procedure to Unfreeze Online Trading Account

Clients can call dedicated support line at 0044 4796 1590 and follow the agent's instructions. After necessary due diligence, the account will be unfrozen within approximately 30 minutes.

- After the account has been unfrozen, the client can resume trading.
- Clients will be allowed to trade through both online and offline modes, i.e. call and trade or through AP terminal.

7. Important Points to Note:

- It is advised that the client close all his open positions before freezing the account.
- Client's account will be blocked, and an acknowledgement will be shared within 15 minutes of receiving the freeze request.
- Confirmation of the freeze will be sent via email and SMS, including instructions to unfreeze the account.
- All pending orders, whether placed online or offline, will be cancelled by the system and trading access will be blocked.
- Clients will receive details of any open positions within an hour of freezing the account.
- Upon freezing, the client will be logged out of the app but can log in for exploratory purposes without the ability to place trades.
- New SIPs will not be executed while the account is frozen.
- Fund addition and withdrawal will be allowed, but profile modifications will not be permitted.
- It is recommended to change the login PIN immediately after freezing the account. This can be done by navigating to Accounts → Settings → Change PIN.
- Clients with open positions can call 044 4796 1590 to close them.
- To unfreeze the account, clients can call the support line at 044 4796 1590.

- In case client MTM is 80% or above, all the open positions will be auto squared off as per risk management policy.
- In case of margin shortage, client position will be auto squared off to the extent of margin shortage.
- If client's account has a negative balance, their investments will be sold to cover the amount owed.
- Any open position under Intraday product will be auto squared off by the system as per the Intraday product policy.

8. Clarifications:

It is clarified that

- a. Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of Absolute Broking. Clients will be liable to adhere to the existing risk policy already in place.
- b. The request for freezing/blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.
- c. Client will be able to access the account in frozen state, although trading or profile modification options will be blocked.
- d. Freeze Request once submitted cannot be cancelled. Although the client can call us at 044 4563 0555 and place a request for unfreeze.

9. Circular references:

NSE/INSP/61529 dated April 08, 2024 and

SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024

MCX/INSP/218/2024 dated April 09, 2024

NCDEX/COMPLIANCE-025/2024 dated April 09, 2024

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(40/55) Signature of the person opening the trading A/c

POLICY ON HANDLING OF GOOD TILL CANCELLED (GTC) ORDERS / GOOD TILL TRIGGER (GTT) ORDERS

This document outlines the policy adopted by Absolute Broking in accordance with the requirements prescribed under NSE Circular No. NSE/INSP/62528 dated June 21, 2024 regarding handling of Good Till Cancelled (GTC), Good Till Triggered (GTT) or similar type of orders.

1. Background

Pursuant to the directions issued by the National Stock Exchange of India Limited (NSE) via circular NSE/INSP/62528 dated June 21, 2024, trading members are required to frame a clear and transparent policy regarding handling Good Till Cancelled (GTC) / Good Till Triggered (GTT) orders, or orders of similar nature. This policy is to ensure investor protection and consistency in order handling practices across members.

2. Scope and Applicability

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered/Orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

3. Details of Good Till Triggered / orders –

- Absolute Broking enables its clients to place “Good Till Trigger” (GTT) orders.
- Absolute Broking is not offering “Good Till Cancel” (GTC) orders.
- Currently orders placed by the client are by default valid only for the day as NSE and BSE allow orders only with day or IOC validity in equity segment. The client has to re-punch the orders again the subsequent day if the stock does not reach the expected price. To overcome this short coming we are introducing the GTT feature wherein the Buy and Sell Limit order remains active till the time trigger is not hit or 365 days whichever is earlier.
- All existing and new clients of Absolute Broking who are eligible to trade in Equity Cash (NSE & BSE) product can avail GTT facility for order placement.
- The facility of placing a GTT order is available in Equity Cash (NSE & BSE) segment and CNC product only. It is not available for other products like (Equity, Futures & Options, Commodity and Currency) As and when, GTT orders are introduced in new segments the same shall be displayed through the Absolute Broking website and subsequently updated in the policy.
- GTT orders are allowed and can be placed at market price, Limit price, SL and SLM order types. Client shall ensure that necessary Funds/Margins/Holdings are available to place GTT orders in their account.
- The orders are valid for 365 days or till triggered, whichever is earlier. Once a GTT order is trigger the order is placed as a normal order with day validity and reflects in normal order book. Irrespective of whether the order gets executed or remains pending, the order is not carried forward for subsequent day.
- The client can modify and cancel GTT orders from GTT order book. Once triggered, the price can be modified, or order can be cancelled from normal Order book.
- All securities in BSE & NSE except securities in Mutual Fund, Debt Segment, NCD and Bonds are eligible for the placing GTT order.
- GTT Buy Order

GTT Buy order placed below LTP: When the client wants to buy a stock when the price goes down, he can place GTT Buy order with trigger price below LTP. The order will get triggered when LTP is at or below the trigger price.

Example as below:

LTP	Trigger	Limit	Trigger Logic
100	95	94	GTT will get triggered when LTP <= Trigger price LTP at or below 95

GTT Buy order placed above LTP: When the client wants to buy a stock when the price goes up, he can place GTT Buy order with trigger price above LTP. GTT Buy orders above LTP can be as stop loss order. The order will get triggered when LTP is at or above the trigger price.

Example as below:

LTP	Trigger	Limit	Trigger Logic
100	110	111	GTT will get triggered when LTP >= Trigger price LTP at or above 110

k. GTT Sell Order

GTT Sell order placed above LTP: When the client wants to Sell a stock and book profit above a certain price, he can place GTT Sell order with trigger price above LTP. The order will get triggered when LTP is at or above the trigger price.

Example as below:

LTP	Trigger	Limit	Trigger Logic
100	110	111	GTT will get triggered when LTP >= Trigger price LTP at or above 110

GTT Sell order placed below LTP: When the client wants to sell a stock below LTP, he can place GTT Sell order with trigger price below LTP. This can be used for setting stop loss for client's holdings. The order will get triggered when LTP is at or below the trigger price.

Example as below:

LTP	Trigger	Limit	Trigger Logic
100	95	94	GTT will get triggered when LTP <= Trigger price LTP at or below 95

OCO GTT Order: OCO orders are applicable only for Sell orders. One-Cancels-theOther (OCO) order is a type of order that combines a regular limit order with a stop loss market order. OCO is a single order (one order ID is generated) with two prices 'Target Price' and 'SL' price.

- The client enters two price -Target price and Stop loss price. Each price will have a trigger.
- There are two trigger prices entered and when one trigger is hit the other gets cancelled.
- That is, if the stop-loss price of this OCO order gets triggered, the target price order gets cancelled.
- In case of OCO orders the target price is above LTP and SL is below LTP. However, in case the client places SL order above LTP, the order will get triggered.

4. Handling in Case of Corporate Actions

We shall be sending a communication through an email regarding corporate action related to GTT orders, and the client has to take action accordingly.

5. Updating Clients of upcoming Corporate Actions:

Clients shall review their GTT orders pro-actively whenever there may be impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

6. Client Communication and Disclosure

The said policy shall be made part of the Account Opening Form/Kit under heading "Policy on Handling of Good Till Cancelled Orders of Client" of Policy and Procedures document and shall also be displayed on the Absolute Broking website.

7. Policy Review

The said policy shall be reviewed on an annual basis.

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(41/55) Signature of the person opening the trading A/c

MARGIN TRADING FACILITY (MTF)

Margin Trading Facility (MTF) is the facility offered by M/s Absolute Broking Private Limited to fund its clients for the purchase of shares and securities and allow them to take a benefit of trading opportunities by taking delivery of shares based on margin. (The product hereinafter called as MTF).

I / we wish to avail the Margin Trading Facility (MTF) on the platform of National Stock Exchange of India Ltd., (NSE) as per the framework prescribed by SEBI vide its Circular No. CIR/MRD/DP/54/2017 dated, 13th Jun 2017.

Further I / we have read and understood "Rights and Obligation of Stockbrokers & Client for Margin Trading Facility (MTF)" as prescribed by NSE vide its Circular No. NSE/COMP/35260 dated, 30th Jun 2017 and BSE Vide its Circular No. 20170619-26 dated 19th Jun 2017.

I / we have read and understood the "Policies & Procedures for MTF" as specified by Absolute Broking Private Limited (ABPL) regarding terms and conditions and method of communication for confirmation of orders / trades, margin calls and calls for liquidation of collateral / securities / positions etc. and agreed to abide by the clauses mentioned therein all the times. Further, I/we will refer to ABPL website www.absolutebroking.in from time to time for any updation w.r.t. Policies and Procedures.

Collection of Margin:

The margin is collected in Cash & Securities by way of pledge from the client who wish to trade in MTF Segment. Approved Securities List is available in our Website (www.absolutebroking.in) download page along with the Hair-cut valuenaming Acceptance of Approved Securities List.

Kindly refer the same before Pledging. Please find below the DP Account details to pledge the securities:

Account Type	DP ID	DP NAME	CLIENT ID
TM Client Securities Margin Pledge A/C	IN304789	ABPL	

Setting of Exposure: Trading is allowed only against available margin in client's MTF account. For this purpose, margin should be available at the time of entering trade in the cash segment of NSE in the form of credit balance either cash or pledged securities value in the MTF segment of the client's trading account. The shares purchased by the client will be given to Pledge in the below mentioned DP Account of Client Security Margin Funding Account. The securities will be delivered to the clients own Beneficiary account on making the full payment and based on the request or delivered to the Exchange Pool a/c on obligations / selling of shares automatically.

Account Type	DP ID	DP NAME	CLIENT ID
Client Security Margin Funding A/C	IN304789	ABPL	

Exposure for Approved Securities Buying under Product MTF :

The facility will be applicable only for approved securities. List of approved securities details are updated in our website (www.absolutebroking.in) download page naming "Approved Securities List for Buying".

At the time of order placing, always select the product code as "MTF" and place orders using the exe or mobile application provided for trading. Approved Securities List will be reviewed on monthly basis and the changes can take place with addition / removal of stocks. The clients will be provided additional One Time Migration for purchase of approved securities and the payment needs to be made to Absolute Broking Private Limited whenever required. For purchase of unapproved stocks, client must use the product code "CNC" for placing and Unapproved Stocks are not allowed under MTF.

Adjustment of Credit Balances in Regular Account with MTF Account:

Client has to make separate request by sending mail to accounts@absolutebroking.in / via MTF fund transfer option available in the application to transfer the Credit balance from Normal Account to MTF Ledger and vice versa. The fund transfer will not be happened automatically from normal ledger to MTF Ledger and on receipt of request only transfer will be affected. Whenever there is short fall in margins, company having to move the funds from the normal ledger to MTF ledger without intimation to the clients. Further, if there is debit in normal ledger, excess margin available in the MTF margin account, the same will be adjusted with the debit in the normal account automatically.

Interest Charges for MTF:

Interest will be levied @ 18 % p.a. for MTF Funded value after adjusting the Cash Margin available in the client's MTF margin ledger. In case, if the client provided securities through pledge as non-cash component towards margin, the same will not be considered towards interest calculation and interest will be charged for entire Funded value. Interest Charges will be calculated on a daily running balance and debited to the client ledger by end of the week. While calculating interest, the credit lying in Normal Ledger will not be considered and hence, please make the fund transfer request as explained above. Increasing the interest rates will be done by the company with the prior intimation notice to the clients.

Liquidation of the position under MTF:

If the client is not made good the Mark to Market (M2M) losses or margin short fall with 5 working days from the date of margin call, position will be squared off to the extend of the M2M losses or margin call with the discretion of the stockbroker.

If the securities are moved out of approved securities list by Absolute Broking Private Limited or Group 1 securities list provided by exchange / SEBI, client is expected to clear the debit and take delivery to his demat account immediately. Otherwise, position will be squared off by Absolute Broking Private Limited without giving any intimation.

In case if the client is not fulfilled the Mark to Market (M2M) losses or Margin shortfall and the same reaches 75% and the client is not made good on the Mark to Market losses and or margin shortfall, MTF Funded stock will be squared off immediately. Even after the square off the funded stock, there is shortfall in margin or debit in the trading account, collateral securities pledged towards margin also will be squared off and set off the losses occurred on the trading account of the client. Absolute Broking Private Limited cannot guarantee the price at the time of square off and the orders are placed on market and the position will be squared off on the prevailing market price which is traded on the exchange.

If the securities are purchased in the market and the said securities are not received from the exchange or due to internal matching and the auction / Closed Out rates are provided by the exchange or as per policy, then the said MTF position will be liquidated and the necessary credits are passed on the client account.

In the event of any corporate action on a particular scrip held in the client's account, the funding amount associated with the scrip will be liquidated. The client must clear any resulting debit within T+1 day.

Failure to clear the debit within the stipulated time will grant ABSOLUTE BROKING the right to square off the client's positions without further notice

Terms and Conditions:

1. Absolute Broking Private Limited reserves the absolute right to either allow or refuse the aforesaid facility without giving any reasons to the clients and I agree that I shall not dispute the result in any manner whatsoever.
2. All Transactions in my account shall be subject to Margin Trading Facility rules and regulations of the exchange / SEBI.
3. The Maximum credit limit for a client will not exceed 10% of the net worth of the company computed as per SEBI Guidelines. However, Absolute Broking Private Limited reserves the right to reduce the maximum credit limit at any time without any prior intimation or assigning any reasons thereof.
4. The maximum single scrip funding limit for a client will not exceed Rs.50 Lakhs where the scrip is part of Nifty, CNX 100 and Junior Nifty collateral and will not exceed Rs.25 Lakhs where the scrip is not part of Nifty, CNX 100 and Junior Nifty.
5. In order to avail margin trading, initial margin and maintenance margin required at all times shall be as prescribed by SEBI which is as under.

Category of Stock	Initial margin & maintenance margin as prescribed by SEBI	Initial margin and maintenance margin required at all times as set-in trading platform
Group I stock available for trading in F&O Segment	VaR + 3 times applicable ELM	VaR + 4 times applicable ELM with minimum margin of 25% The margin will be determined as the highest of the following: (i) VAR + 4x applicable ELM, (ii) 25% of buy value, or (iii) Exchange-prescribed applicable margin (VAR+ELM+Adhoc) for the respective stock.
Group I stock other than F&O stocks	VaR + 5 times ELM	VaR + 6 times ELM with minimum margin of 25% The margin will be determined as the highest of the following: (i) VAR + 6x applicable ELM, (ii) 25% of buy value, or (iii) Exchange-prescribed applicable margin (VAR+ELM+Adhoc) for the respective stock.

6. Mark to Market (MTM) loss if any on the funded stocks should be paid immediately under this funding facility.
7. Margin call will be initiated by Absolute Broking Private Limited at any time if the client fails to meet the daily mark to market. Margin calls to the client shall be made in the form of E-Mail to the registered email id or SMS to the registered mobile number or both by the company.
8. Upon receipt of the margin call, I agree to bring additional margin amount within the specified time to cover the margin short fall and make good of such deficiency in the amount of margin placed with the company. Margin shortfall can be replenished by way of online fund transfer / by pledging additional collateral stocks / by transferring the funds from the normal trading account to the MTF account.
9. If there is a margin call on MTF account and have the credit balance in the normal trading account, Absolute Broking Private Limited reserves the right to transfer any clear credit balance from the normal trading account to MTF Account. By agreeing to this terms and conditions, I give my/our explicit permission to move the MTF trades to my/our MTF account daily basis.
10. The brokerages and other regulatory charges etc. are applicable for each trade that is executed through the Margin trading facility.
11. By signing and agreeing to the terms and conditions of MTF, I/we give my/our explicit permission to move the MTF trades to my/our MTF account daily basis.
12. I/we have the right to terminate this facility if, at any time, I/we breach its terms and conditions.
13. I/we agree that, have received the Risk Disclosure document, Rights & obligations, Policies and procedures, and read, understood and accepted the same.

14. Absolute Broking Private Limited will have a discretion to alter / change any of the information / parameter defined in the policy on the basis of prevailing market conditions with or without intimation to the clients and can use their discretion to grant any kind of exemption / permission in case they deem fit on a case to case basis.
15. I/we hereby confirm that I/we will continuously monitor the positions and the Margin Calls issued to me/us by Absolute Broking Private Limited and I/we will top up the margin immediately. I/we hereby confirm that I/we am/are aware that the Policy is tends to be dependent on the market scenario and we will update myself/ourselves accordingly at regular intervals.
16. Absolute Broking Private Limited will forfeit and close-out / sell shares, a part of or whole position if I fail to meet the margin call made by the company within the specified time, without any prior intimation to me.
17. Absolute Broking Private Limited has full lien on cash and security balances in my trading / depository account and Absolute Broking Private Limited may sell such securities lying with this demat account on account of any loss arising out of squaring off or sale of securities. Absolute Broking Private Limited will not be liable for any cost or damage or any consequences thereof.
18. If there is no transaction for 90 days in the MTF Account and where MTF Account is in credit, then the same would be settled as per the running account settlement process.
19. I / We shall log / protest our disagreement with any transactions done under the Margin trading facility within 2 days from the receipt of contract note.
20. The stock valuation of fully paid securities in the Collateral account will be determined by Absolute Broking Private Limited after applying the necessary haircuts from time to time.
21. Absolute Broking Private Limited reserves the absolute right to withdraw this aforesaid facility at any time without giving any reasons thereof, and I shall not protest or take a stand against them.
22. If this MTF facility is granted to me/us, I/we shall have no right to revoke the POA or withdraw the Collateral, unless and until all the claims, demand, loss, damages, penalties and liabilities are settled with Absolute Broking Private Limited.
23. By signing and agreeing to the terms and conditions of MTF, I/we give my/our explicit permission to move the MTF trades to my/our MTF account daily basis.

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(42/55) Signature of the person opening the trading A/c

CLIENT RIGHTS

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stockbroker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

CLIENT OBLIGATIONS

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the timelines specified by the broker failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as the Stockbroker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stockbroker within such time as the Stockbroker may specify.
5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

STOCK BROKER RIGHTS

1. Stockbroker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Stockbroker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stockbroker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility..
3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

STOCK BROKER OBLIGATIONS

1. Stockbroker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stockbroker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.
3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stockbroker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
4. The Stockbroker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.

8. The Stockbroker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there were no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with the stockbroker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount.
13. Stockbroker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

TERMINATION OF RELATIONSHIP

1. The margin trading arrangement between the stockbroker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stockbroker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stockbroker. The Stockbroker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stockbroker to make such adjustment.
4. After such adjustment, if any further amount is due from the client to the Stockbroker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stockbroker, the Stockbroker shall release the balance amount to the client.
5. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

✍ X.....

(43/55) Signature of the person opening the trading A/c

Dear Client,

Subject: Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden. It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note that to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or apart of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti-money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with SEBI, which includes a Commodity Brokers and any other intermediary associated with Commodities Market. As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your association with us.

DISCLOSURE BY CLIENT UNDER PMLA 2002

Client Name: _____

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

S. No	Name	Entity Type	Nature of Business	Relationship	PAN

I/We hereby submit and agree to submit as the commitment every financial year the following documents to Absolute Broking Private Limited

1. Audited Annual Accounts
2. Self-attested copy of Income Tax Return or
3. Any other financial information as requested by the Absolute Broking Private Limited.

I/We further confirm that I/we invest in the Stock / Commodity Market with:

My/Our Owned Funds

Borrowed Funds from Bank/NBFC or

Borrowed Funds from others

I/We hereby declare that I/We am/are not doing any benami transactions in my/our account. I/We understand that in case of any Cash/ Suspicious/ Benami transactions being observed into my account, the Member may report the same to Director FIU-IND, New Delhi under the provisions of PMLA, 2002 and thereafter I/We will be liable for any enquiry or penalty which might be levy by the Regulatory Authority under the said Act.

✍ X.....

(44/55) Signature of the person opening the trading A/c

To

M/s. Absolute Broking Private Limited
Shridevipark, Ground Floor, No 1, Hanumantha Road,
Thyagarayanagar, Chennai – 600 017

Sub: Acknowledgement

S. No	Brief significance of the Document
1	Duly Executed Copy of KYC
2	Rights and Obligations
3	Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies Segments
4	Guidance Note – Do's and Dont's for trading on the Exchange(s) for investors
5	Absolute Broking Private Limited Tariff Sheet
6	Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009
7	General Terms & Conditions governing securities trading and broking services of Absolute Broking Private Limited
8	Running account authorization, Mobile declaration & Client defaulter declaration
9	Most Important Terms and Conditions (MITC) (NSE /INSP/60147)
10	Voluntary freezing of the Online Trading account policy

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Absolute Broking Private Limited.

All future regulatory or exchange updates or implementations will be communicated via email, SMS, and other channels, and published on our official website.

Yours faithfully

✍ X.....

(45/55) Signature of the person opening the trading A/c

TRADING TARIFF SHEET

To,

M/s. Absolute Broking Private Limited
Shrivedipark, Ground Floor, No 1, Hanumantha Road,
Thyagarayanagar, Chennai – 600 017

Charges for Absolute Broking Private Limited Trading Services:

I/ We agree to pay the charges as per following charges structure for our Trading account with Absolute Broking Private Limited effective_____.

Client ID: _____

Charge Head	Brokerage/Charges
Equity Intraday	0.05% of Turnover (Per crore)
Equity Delivery	0.50% of Turnover (Per Crore)
Futures	0.05% of Turnover (Per Crore)
Option	0.05% of Turnover (Per Crore)
Commodity Futures	0.05% of Turnover (Per Crore)
Commodity Options*	0.05% of Turnover (Per Crore)

Disclaimer: For Delivery based trades, a minimum of Rs. 0.01 will be charged per contract note. Clients who opt to receive physical contract notes will be charged Rs. 50 per contract note plus courier charges. A brokerage of 0.5% of the contract value will be charged for contracts where physical delivery happens. In addition to the brokerage charge the following charges will also be levied. If the account is in debit balance.

Additional Charges	Applicable
1. Exchange Transaction Charges	As per Exchange Circular
2. Clearing Charges	As per Clearing Member Agreement
3. Securities Transaction Tax (STT)	As per Exchange Circular
4. Commodity transaction tax (CTT)	As per Exchange Circular
5. Goods and Service tax (GST)	As per Exchange Circular
6. SEBI Turnover Fees	As per Exchange Circular
7. Stamp Duty	As per Exchange Circular
8. SMS subscription charges	NILL
9. KRA Charges	Rs.150 +GST
10. Cheque Bounce	NILL
11. Interest on delay payment	NILL
12. Payment Gateway	NILL
13. Software Charge	NILL
14. Account Opening Charge	Rs.5,000 + GST

Note: Brokerage will not exceed the rates specified by SEBI and the Exchanges. All Statutory and Regulatory charges will be levied as per exchange, SEBI, and depository circulars published from time to time.

Brokerage is also charged on expired, exercised, and assigned Options contracts.

**** Above Brokerage charges subject to change at any time if changes happened communication sent via Email, SMS, Etc.,

✍ X.....

(46/55) Signature of the person opening the trading A/c

TARIFF CARD FOR BENEFICIARY OWNER ACCOUNT HOLDERS

Dear Sir/Madam,

The appended tariff will be applicable for the customer opting Regular/Basic services Demat Account.

ANNEXURE - REGULAR / BASIC SERVICES DEMAT ACCOUNT (BSDA)				
☐ I wish to open a Regular Demat Account		☐ I wish to open Basic Services Demat Account (BSDA)		
S. No	Nature of Services	Regular Demat Account	Basic Services Demat Account (BSDA)	
		Fees Min	Fees Min	
1	Account Opening Charges	NIL	NIL	
2	Debit Transaction Equity/ Mutual Funds (Market)	Rs. 50/-	Rs. 25/-	
3	Debit Transaction Equity/ Mutual Funds (Off Market)	0.03% of the value or Min Rs.50/-	Rs. 50/-	
4	Credit Transactions	NIL	NIL	
5	Settlement/Transaction Fees DP Charges (Per debit instruction)	20/- per transaction	20/- per transaction	
6	Pledge Creation NSDL Charges (Per instruction)	25/- per pledge creation	25/- per pledge creation	
7	Pledge Creation DP Charges (Per instruction)	25/- per ISIN number (Exclusive of NSDL charges)	25/- per ISIN number (Exclusive of NSDL charges)	
8	Pledge Creation Confirmation (Per instruction)	50/- per ISIN number	50/- per ISIN number	
9	Pledge Closure (Per instruction)	50/-	50/-	
10	Pledge Closure Confirmation (Per instruction)	50/-	50/-	
11	Pledge Invocation (Per instruction)	50/-	50/-	
12	Reissuance of Delivery Instruction Booklet (DIB)	Rs.50/-per Booklet + Courier charges as Applicable	Rs.50/-per Booklet + Courier charges as Applicable	
13	Demat Charges	A flat fee of 50/- per certificate plus 100/- courier charges	A flat fee of 50/- per certificates plus 100/- courier charges	
14	Remat Charges	A flat fee of 50/- per certificates plus 100/- courier charges (Inclusive of NSDL charges)	A flat fee of 50/- per certificates plus 100/- courier charges (Inclusive of NSDL charges)	
15	Margin Pledge NSDL Charges (Per instruction)	5/- per instruction	5/- per instruction	
16	Margin Pledge DP Charges (Per instruction)	15/- per instruction (Exclusive of NSDL charges)	15/- per instruction (Exclusive of NSDL charges)	
17	Failed Instruction Charges	NIL	NIL	
18	Other Charges	NIL	NIL	
19	Courier/Postal Charges only (Adhoc Statement)	Charges as applicable	Charges as applicable	
20	Annual Maintenance Charges	Rs. 500/- + GST	Value of Holdings	AMC
			Upto Rs. 4 Lakhs	Nil
			More than Rs. 4 Lakhs but up to Rs. 10 Lakhs	100

DDPI Charges: Rs. 300 + GST.

REMARKS : The above charges are subject to Taxes and duties as applicable as per government policies

1st..... 2nd..... 3rd.....

(47/55) Signature of the Applicant(s)

Terms & Conditions:

1. Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions
2. The above charges are exclusive of GST levied @ 18% and other taxes/statutory charges levied by government bodies/statutory authorities from time to time, which will be charged as applicable.
3. In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Regular Demat account without further reference to the respective customers and will be levied standard pricing.
4. In case if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
5. The value of the transaction will be in accordance with rates provided by Depositories (NSDL/CDSL)
6. The transaction charges will be collected upfront & debited in Ledger. The charges quoted above are for the services listed. Any services not quoted above will be charged separately.
7. Interest @ 13% p.a. will be charged for non-payment of bills.
8. The operating instructions for the joint accounts must be signed by all the holders.
9. All instructions for transfer must be received at the designated DP servicing branches at least 24 hours before the execution date.
10. The charges for processing of instructions submitted on the execution date (accepted at client's risk) will be 0.25% on the value of transaction, minimum of Rs.20/- per instruction.
11. In case of non-recovery of Debit charges due to inadequate balance in your linked trading account or inadequate advances fees or invalid trading account, the Depository services for your account will be temporarily discontinued. Any request for resuming the services will be charged at Rs. 250/- and services will be resumed in a minimum of three working days from the date of receipt of request with Absolute Broking Private Limited and post payment of all outstanding dues towards depository charges.
12. In case the Demat accounts are with nil balances/transactions or incase if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of year. However the electronic statement of holding will be sent only to the customers whose email Ids are registered for e-statement.

1st.....2nd.....3rd.....**(48/55) Signature of the Applicant(s)**

With respect to the client - member relationship with you, we authorize you to do the following:

1. Adjustment of account between exchanges and segments :

I/we hereby inform you that I have executed/intend to execute an agreement with you for trading on different exchanges, i.e., NSE, BSE & MSEI in cash and derivative segments. I/We request you to transfer, make adjustments and/or set off a part or whole of the securities placed as margin and/or any surplus funds in any of the accounts maintained with you against the outstanding dues payable if any, by me/us to any of my/our account(s) maintained with you. You will have lien on the credit balance in any of my/our account for meeting the debit or obligations in progress in any other of my/our account. Any entries passed by you in accordance with this authorization will be binding on me/us.

2. Authorization to debit Demat Account operating charges :

I/We opened/ have a Beneficiary account with you and I/we have a trading account with you for investment and trading purpose. It will be very difficult for me/us to issue separate cheques against your depository bills. Hence, I authorize you to debit the trading account for the debit charges payable to you as Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

3. Authorization For Communication Of Financial Products

I/We have opened an account with you and am/are interested in knowing about other financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which Absolute Broking Private Limited, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute; through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

Please score out whatever not accepted/ not agreed with.

✍ X.....

(49/55) Signature of the person opening the trading A/c

DEMAT DEBIT AND PLEDGE INSTRUCTION
VOLUNTARY

I/We, the client(s) mentioned herein below, holding BO ID

authorize the Stock Broker and Depository Participant M/s. Absolute Broking Pvt. Ltd (ABSOLUTE BROKING) to access our BO account for the limited purpose of meeting pay-in obligations for settlement of trades executed by me/us.

I/We further authorize ABSOLUTE BROKING to pledge securities held in my/our BO account for the limited purpose of meeting my/our margin obligations in connection with trades executed on recognized Stock Exchange(s) through ABSOLUTE BROKING, and to further repledge the same in favour of Clearing Corporation/Clearing Member as may be required for meeting my/our margin obligation(s).

These instructions shall continue to be valid and operative until revoked by me/us in writing by sending a revocation letter in hard copy to the registered office of ABSOLUTE BROKING, duly signed by me/us. The revocation shall be operative from the next working day after receipt at the registered office in hard copy.

I/We understand that providing this DDPI is voluntary on my/our part and there is no compulsion to sign the same. I/We declare that I/we have signed the same voluntarily on our own volition.

PURPOSE OF DDPI

1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange-related deliveries/settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.		
Specimen Signatures (50/55)	First/Sole Holder	Second Holder	Third Holder
2.	Pledging/re-pledging of securities in favour of trading member (TM)/clearing member (CM) for meeting margin requirements of the clients in connection with trades executed on the Stock Exchange. Any other transactions allowed by SEBI/CDSL from time to time.		
Specimen Signatures (51/55)	First/Sole Holder	Second Holder	Third Holder
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.		
Specimen Signatures (52/55)	First/Sole Holder	Second Holder	Third Holder
4.	Tendering shares in open offers through Stock Exchange platforms.		
Specimen Signatures (53/55)	First/Sole Holder	Second Holder	Third Holder

DEPOSITORY / DP DETAILS FOR PAY-IN & MARGIN ACCOUNTS

Depository	DP Name	DP ID	DP A/c No.	A/c Holder Name	Sub Type
CDSL	GLOBE CAPITAL MARKET LIMITED-12020600	12020600	2870934	ABSOLUTE BROKING PRIVATE LIMITED-POOL	POOL ACCOUNT
NSDL	ABSOLUTE BROKING PRIVATE LIMITED-IN304789	IN304789	10000037	ABSOLUTE BROKING PRIVATE LIMITED	POOL ACCOUNT
NSDL	ABSOLUTE BROKING PRIVATE LIMITED-IN304789	IN304789	10000115	ABSOLUTE BROKING PRIVATE LIMITED	CLIENT SECURITIES UNDER MARGIN FUNDING ACCOUNT
NSDL	ABSOLUTE BROKING PRIVATE LIMITED-IN304789	IN304789	10000070	ABSOLUTE BROKING PRIVATE LIMITED	CLIENT UNPAID SECURITIES PLEDGEE ACCOUNT
NSDL	ABSOLUTE BROKING PRIVATE LIMITED-IN304789	IN304789	10000061	ABSOLUTE BROKING PRIVATE LIMITED	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT

LIST OF THE STOCK BROKER DESIGNATED DEMAT ACCOUNT

Sr No	Demat Account Number	Exchange & Segment	Account Type
1		All Exchanges – All Segments	TM/CM Clients Securities Margin Pledge Account
2		All Exchanges – All Segments	TM/CM Margin Funding

	First/Sole Holder	Second Holder	Third Holder
Signatures (54/55)			

Accepted by Absolute Broking Private Limited

(55/55) Signature

DETAILS OF TRADING AND CLEARING MEMBER

Name Of Stock Broker	ABSOLUTE BROKING PRIVATE LIMITED
Registered Office	Shri Devi Park, No 1 Ground Floor, Hanumantha Road, Thyagaraya Nagar, Chennai, Tamil Nadu, India-600017
Corporate Office	No 4/8, North Crescent Road, Thyagaraya Nagar, Chennai, Tamil Nadu, India-600017
Telephone Number	+91 044-47961590
Email	support@absolutebroking.com
CIN	U66120TN2023PTC164720
PAN	AAZCA5923E
SEBI Registration No.	INZ000317833
NSDL DP ID	IN304789 (SEBI Reg. No. of NSDL DP: IN-DP-789-2024)
Membership No.	NSE: 90421 BSE: 6869 MCX: 57370
Clearing Member MCX Commodity	GLOBE CAPITAL MARKET LIMITED (Clearing Member Code – C06637)
Compliance Officer	Mr. Karthik KS • 044-47961590 • compliance@absolutebroking.com
CEO / Director	Mr. Karthik KS • 044-47961590 • support@absolutebroking.com

For any grievance/dispute please contact ABSOLUTE BROKING PRIVATE LIMITED at the above address or email id: compliance@absolutebroking.com and Phone no. 044-47961590. In case not satisfied with the response, please contact the concerned exchange(s) at the contact details given below:

BSE Limited (BSE)	NSE Limited (NSE)
Tel: +91-22-2272-1234/33 Investor Services: is@bseindia.com	Tel: 1800-266-0058 Investor Services: ignse@nse.co.in
MCX	NSDL
Tel: 022-6731 8888 Investor Services: grievance@mcxindia.com	Tel: 022-48867000 Web: https://nsdl.co.in

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact the SEBI office or toll-free Helpline at 1800-22-7575 / 1800-266-7575.