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A Mandatory Documents

Sr. No.	Particulars of Document	Significance of Document	Page No.
1.	Know Your Client Form	KYC is the due diligence undertaken for client identification process which enables broker to know/understand their customers and their dealings to be able to serve them better).	6 to 10
2.	Member - Client Agreement (NSE)	MCA contains terms and conditions which are binding to member and clients who are desirous of investing / trading in securities / F & O / CD Contracts on the exchange.	11 to 14
3.	Member - Client Agreement (BSE)	MCA contains terms and conditions which are binding to member and clients who are desirous of investing / trading in securities / F & O Contracts on the exchange.	15 to 18
4.	Combine Risk Disclosure Document	This document contains important information on trading in Equity/F & O/CD Segment of the exchange & each client should read this document.	19 to 23
5.	Investor Rights' & Obligations for Cash & F&O	This document familiarizes clients with regard to his rights and obligations in the event of a default in the Cash/F&O/CD segment or member's insolvency or bankruptcy.	24 to 25
6.	Additional Mandatory Clauses	This document contains mandatory Policy and Procedural aspects.	26 to 27

B Non-mandatory Documents

3.	Running Account Authorisation	It authorises member to maintain running account of client instead of settlement wise accounting of funds and securities which results in faster and smoother business operations.	46
4.	Authorisation for Electronic Document	It authorise member to send documents through electronic mode instead of physical form.	47
7.	Financial Status and other details	The information is sought under the Prevention of Anti Money Laundering Act, 2002, the rules notified there under and SEBI and Exchange/s Guidelines issued on Anti Money Laundering.	57
10.	Confirmation of Noting	Intimation to clients and noting.	61

I/We have fully read and understood about the contents of KYC form including voluntary documents and do consent for the same.

I/We do hereby declare and confirm that NO ACTION* is/was ever initiated / completed by SEBI or any other authorities during last three years against me/us. In case, if any action is being initiated by SEBI or other authorities in future, I/We do hereby confirm to notify and provide required details to you.

Note : in case of any action is taken during last 3 years SEBI/other authorities, details on separate page(s) with documentary support duly signed are attached herewith.

Client
Signature



Date: - - 2 0 1

Branch :		Client Code :				
Brokerage Scheme :						
Brokerage Slab :						
Cash Segment :	Slab%		Minimum			
	First Leg	Second Leg	First Leg	Second Leg		
Delivery Based		Not applicable		Not applicable		
Daily Square Up						
F&O & CD Segment						
Slab for Future Contracts :	Slab%		Minimum			
	First Leg	Second Leg	First Leg	Second Leg		
Daily Square Up						
Settlement Square Up						
Slabs for Option Contracts :	Slab %		Min. per lot (Max Rs. 100 per Lot)			
	First Leg	Second Leg	First Leg	Second Leg		
Daily Square up						
Settlement Square up						
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> Checked by / Approved by : Authorised Person : (Name and Signature) </td> <td style="width: 50%; vertical-align: top;"> Account Code Updated by : (Name and Signature) </td> </tr> </table>					Checked by / Approved by : Authorised Person : (Name and Signature)	Account Code Updated by : (Name and Signature)
Checked by / Approved by : Authorised Person : (Name and Signature)	Account Code Updated by : (Name and Signature)					

PLEASE SIGN ALONGWITH THE SIGNATURE OF YOUR WITNESS, AT APPROPRIATE PLACES IN AGREEMENT(S).

Documents to be submitted

Sr. No.	Documents to be submitted by individual and non-individual clients (To be self certified on photocopy)	Tick
1.	PAN Card Photocopy - Mandatory	<input type="checkbox"/>
2.	Proof of Identity - Any one Mandatory a. PAN Card b. Passport c. Voter ID d. Driving License	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
3.	Address Proof - Any one Mandatory a. Passport b. Driving License c. Voter's Identity Card d. Ration Card e. Electricity Bill / Telephone Bill (should not be older than 2 months) f. Bank Passbook / Statement g. Rent Agreeent (On stamp paper or Notarised)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4.	Demat Proof - Any one Mandatory a. Client Master b. Transaction Statement c. Holding Statement (Latest)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
5.	Bank Proof - Any one Mandatory (should not be older than 6 months) a. Bank Passbook (bearing Name & Address of Client) b. Bank Statement (with proper logo, bearing Name & Address of client) c. Cheque Leaf with Account Holder Name pre-printed on it	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
6.	Income Proof (Mandatory for Client who wishes to trade in Derivative Segment) a. Copy of ITR Acknowledgement b. Copy of Annual Accounts c. Copy of Form-16 in case of Salary income d. Networth Certificate e. Salary Slip f. Bank Statement for last 6 months g. Copy of Demat Account Holding Statement h. Any other relevant documents substantiating ownership of assets i. Self Declaration alongwith relevant supporting	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
7.	Signature Verification a. Bank Verification b. Cheuqe favouring GENUINE STOCK BROKERS PVT. LTD. duly signed by Client	<input type="checkbox"/> <input type="checkbox"/>

Sr. No.	Documents to be submitted by individual and non-individual clients (To be self certified on photocopy)	Tick
8.	NRI Clients (not allowed for Currency Derivatives) <ul style="list-style-type: none"> a. Indian Address and Foreign Address proof b. Copy of Passport (all pages) c. Bank Verification letter indicating type of account as NRI / NRE / NRO d. Copy of Demat account client master list e. Copy of RBI approval / authorized dealer certificate f. PAN Card g. Incase place of birth not in India proof of applicant being person of Indian origin is required h. NRI client should furnish unique client code allotted by exchange for the trading in F&O segment 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Additional Documents required for Non-individual Clients		
Partnership		
	<ul style="list-style-type: none"> a. Certified true copy of Partnership deed and copy of Registration with ROF b. Certified true copy of last 2 years Balance Sheet c. Copy of Income Tax Return and Networth Certificate certified by Chartered Accountant d. Declaration by partnership firm e. PAN Card and Address proof of Partners 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
HUF		
	<ul style="list-style-type: none"> a. PAN Card as Photo Identity of Karta b. HUF Declaration 	<input type="checkbox"/> <input type="checkbox"/>
Corporate		
	<ul style="list-style-type: none"> a. Certification of Incorporation (Latest) b. Memorandum and Articles of Association c. Annual Reports - last 2 years d. Copy of Income Tax return and Networth Certificate certified by Chartered Accountant e. Share holding pattern latest with list of those holding more than 5% of Share capital certified by CA / CS / Director f. Certified copy of Resolution passed by Board of Directors g. In case change in Directors, mentioned in MOA / AOA, furnished copy of Form No. 32 filled with ROC h. PAN Card and Address proof of Directors 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

In all cases, constituent trading in derivatives will have to compulsory submit financial details.

NOTE : All the copies of aforesaid documents must be self certified with rubber stamp, wherever applicable.

MANDATORY DOCUMENTS

Client Registration Form



GENUINE STOCK BROKERS PVT. LTD.

Regd. Office : A-54, 3rd Floor, Industrial Estate, Goregaon (E), Mumbai-400063.

Corpo. Office : B-601, Gopal Palace, Opp. Ocean Park, Nehrunagar,
Ahmedabad-380015.

Tel. : +91-79-26769700, 30026175 Fax : +91-79-30004050

Grievances E-mail Id : Gsb96@yahoo.co.in

Please affix and
sign across
the photograph

Member : National Stock Exchange Ltd. (NSE) Member Code : 10477

SEBI Reg. No. NSE INB 231047730 (NSE Cash) INF 231047730 (NSE F & O); INE 231047730 (NSE CD).

NSE Self Clearing CM ID: M51431.

Bombay Stock Exchange Ltd. (BSE) Clg. Code 3184 SEBI Reg. No. BSE INB 011047736 (BSE Cash)

This information is the sole property of the trading member/brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients)

Client Information - Individual

Type of Account : Individual

Sub-Status : Resident Individual NRI Other _____ (specify)

	First Name	Middle Name	Last Name (Surname)
Sole/First Holder			
Father/Husband Name			
Correspondence Address			
			Pin Code
	City	Distt.	
	State		Country
Residence/ Permanent (If different)			
			Pin Code
	City	Distt.	
	State		Country
Telephone No.		Fax No.	
E-mail address			
Mobile No.		Sex (Pl. tick the relevant box) <input type="checkbox"/> Male <input type="checkbox"/> Female	
Nationality		Occupation	

Client
Signature



Marital Status Married Unmarried

Date of Birth | D | D | - | M | M | - | Y | Y | Y | Y |

Education Qualification Under Graduate Graduate Post Graduate Professional Others _____

Bank Account Details

(Copy of Passbook / Bank Statement containing name of the constituent & transaction of last six months)

Type of Account: Savings Current NRE/NRO Cash Credit Others _____

Name of Bank _____

(through which transaction will generally be routed)

Bank A/c. No. _____

Branch Address _____

Pin Code _____

City _____

Distt. _____

State _____

Country _____

Telephone No. _____ Fax No. _____

IFSC No. _____

MICR No. _____

Type of Account: Savings Current NRE/NRO Cash Credit Others _____

Name of Bank _____

(through which transaction will generally be routed)

Bank A/c. No. _____

Branch Address _____

Pin Code _____

City _____

Distt. _____

State _____

Country _____

Telephone No. _____ Fax No. _____

IFSC No. _____

MICR No. _____

Depository Account Details

(through which transaction will generally be routed)

DP ID _____ Client ID _____ Depository NSDL/CDSL _____

DP Name _____

DP Address _____

DP ID _____ Client ID _____ Depository NSDL/CDSL _____

DP Name _____

DP Address _____

Client
Signature 

Occupational Details

Employed Self-Employed Business Service Professional Housewife Others _____

Name of Employer/
Establishment

Office Address

Pin Code

City

Distt.

State

Country

Telephone No.
(with STD Code)

Mobile No.

Fax No.

E-mail

Financial Details of the Constituent

Annual Income Range (Please tick against the relevant box)

Below Rs. 1,00,000/-

Rs. 1,00,001/- to Rs. 2,00,000/-

Rs. 2,00,001/- to Rs. 5,00,000/-

Rs. 5,00,001/- to Rs. 10,00,000/-

Rs. 10,00,001/- to Rs. 25,00,000/-

Above Rs. 25,00,000/-

Annual Income for last three years (In Rs.) :


Year			
Income			

Investment / Trading Experience

Type of Instrument	Experience	Market Value of Portfolio	Market Value of Other Assets
Stocks			
Derivatives			
Others (Specify)			

Trading Preferences

Stock Exchange / Segment on which you want to trade (Stock Exchange and its segments to be hand written by client)

NSE CASH	Client Signature 
BSE CASH	Client Signature 
NSE F&O	Client Signature 
NSE CDS	Client Signature 

Client
Signature 

References

Introducer Details :

Name																									
Father's Name																									
Address																									
Relationship with Applicant													Relationship with TM												
PAN of Introducer, If any													Signature												
Identity of Introducer																									
Place of Issue													Date of Issue	D	D	-	M	M	-	Y	Y	Y	Y		

Client Interviewed by Employee/ Authorised Person/Sub Broker

Name																								
Designation																								
Signature													Date	D	D	-	M	M	-	Y	Y	Y	Y	

Whether registered with any other Broker-Member

Whether registered with any other Broker-Member(s) Yes No, If yes

Name of Member - Broker																									
Name of Exchange													Client Code												

Whether registered as a member with any Stock Exchange (s) Yes No, If yes

Name of Exchange																								
SEBI Registration No.																								

NRIs Only

Please tick type of account : NRO NRI NRI (Repatriable / Non Repatriable)

(1) RBI Ref.No. _____ (2) RBI Approval Date : D D - M M - Y Y Y Y

Local address of																								
Correspondece																								

(Please furnish the proof of local address)

Any action taken by SEBI / Stock Exchange / any other authority for violation of securities laws / other economic offences. Yes No

[If yes, please give details in separate annexure]

Client
Signature



Copy of any two of the following should be submitted :

1. Passport Number	<input type="text"/>	Date of Issue	<input type="text"/>
Place of Issue	<input type="text"/>	Date of Expiry	<input type="text"/>
2. Driving Licence Number	<input type="text"/>	Date of Issue	<input type="text"/>
		Date of Expiry	<input type="text"/>
3. Election ID Card Number	<input type="text"/>	Date of Issue	<input type="text"/>
Place of Issue	<input type="text"/>		
4. Ration Card Number	<input type="text"/>	Date of Issue	<input type="text"/>
Place of Issue	<input type="text"/>		

Details of any action taken by SEBI / Stock Exchange / any other authority against the constituent or its Partners / Promoters / Whole time directors / Authorized Persons-in-charge of dealing in securities for violation of securities laws / other economic offences. Yes No
[If yes, please give details in separate annexure]

Declaration

I/We hereby declare that all the information and particulars given by me/us in this application are true to the best of my/our knowledge and belief. I/We agree to immediately inform you if there is any change in any of the information given in this application or in the annexures(s) to this application. I/We also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted there from, I/We are liable to be debarred from time doing business in the Cash / Derivatives segment. I/We also agree to give further information as you or the Exchange / SEBI may require from me from time to time and I/We agree that if I/We fail to give such information, you shall have right to cancel my registration and you or the Exchange shall have the right to debar me from doing business in the cash / derivatives segment of the Exchange.

Name _____

Place _____

Date

Client
Signature



Note : Kindly take as many xerox copies of this format as required before filling as you have to fill this form for all partner / Directors / Authorized Persons.

Annexure-A

Please affix recent photograph and sign across the photograph

Personal Details of all Directors / Partners / Authorised Signatory

In connection with the Client Registration Application submitted to you by _____ of which I am the Director / Partner / Authorised Signatory I furnish you the following personal details relating to me :

Name																				
Father/Husband Name																				
Residence Address																Pin Code				
	City					Distt.														
	State										Country									
Correspondence Address																				
	City					Distt.					Pin Code									
	State										Country									
Telephone No.											Fax No.									
E-mail ID																				
Mobile No.											Sex (Pl. tick the relevant box) <input type="checkbox"/> Male <input type="checkbox"/> Female									
Marital Status	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried					Date of Birth D D - M M - Y Y Y Y														
Qualification											Equity Stack in Company									
Designation											Experience									
Incomex Tax PAN											Income Tax Circle/Ward No.									

Investment Experience

(in No. of years) and Market value of portfolio (in Rs.)

Type of Instrument	Experience	Market Value of Portfolio	Market Value of Other Assets
Stocks			
Derivatives			
Others (Specify)			

Bank Account Details

(Copy of Passbook / Bank Statement containing name of the constituent & transaction of last one month)

Type of Account : Savings Current NRE/NRO Cash Credit Others _____

Name of Bank																				
Bank A/c. No.																				
Branch Address																Pin Code				
Telephone No.											Fax No.									
IFSC No.											MICR No.									

Client
Signature



Annexure-A

Please affix recent photograph and sign across the photograph

Personal Details of all Directors / Partners / Authorised Signatory

In connection with the Client Registration Application submitted to you by _____ of which I am the Director / Partner / Authorised Signatory I furnish you the following personal details relating to me :

Name																				
Father/Husband Name																				
Residence Address																Pin Code				
	City					Distt.														
	State										Country									
Correspondence Address																				
	City					Distt.					Pin Code									
	State										Country									
Telephone No.											Fax No.									
E-mail ID																				
Mobile No.											Sex (Pl. tick the relevant box) <input type="checkbox"/> Male <input type="checkbox"/> Female									
Marital Status	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried					Date of Birth D D - M M - Y Y Y Y														
Qualification											Equity Stack in Company									
Designation											Experience									
Incomex Tax PAN											Income Tax Circle/Ward No.									

Investment Experience

(in No. of years) and Market value of portfolio (in Rs.)

Type of Instrument	Experience	Market Value of Portfolio	Market Value of Other Assets
Stocks			
Derivatives			
Others (Specify)			

Bank Account Details

(Copy of Passbook / Bank Statement containing name of the constituent & transaction of last one month)

Type of Account : Savings Current NRE/NRO Cash Credit Others _____

Name of Bank																				
Bank A/c. No.																				
Branch Address																Pin Code				
Telephone No.											Fax No.									
IFSC No.											MICR No.									

Client
Signature



Member - Client Agreement

NSE CASH, F&O, CURRENCY DERIVATIVES

This agreement is made and executed at _____ this ___ day of _____ 20___ between:

M/s. GENUINE STOCK BROKERS PVT. LTD., a body corporate, registered / incorporated under the provisions of the Companies Act, 1956, being a member of the **National Stock Exchange of India Ltd** (hereinafter called "the NSE"), and having its **Registered Office at** A-54, 3rd Floor, Industrial Estate, Goregaon (E), Mumbai-400063 and having **Corporate Office at** B-601, Gopal Palace, Opp. Ocean Park, Nehrunagar, Ahmedabad-380015. (hereinafter called "the trading member") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the Capital Market/ F&O / Currency Derivatives Segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

Mr./Ms/M/s _____, an individual/a sole proprietary concern/a partnership firm/a body corporate, registered/ incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/ registered office at _____

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

Whereas the trading member is registered as the trading member of the Exchange with SEBI registration number **INB231047730** in the Capital Market segment; SEBI registration number **INF231047730** in the F&O Segment and SEBI

registration number **INE231047730** in the Currency Derivatives Segment.

Whereas the client is desirous of investing/trading in those securities/ F&O contracts / currency derivatives contracts other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time.

Whereas the client has satisfied itself of the capacity of the trading member to deal in securities and / or F&O contracts / currency derivatives contracts and wishes to execute its orders through the trading member and the client shall from time to time continue to satisfy itself of such capability of the trading member before executing orders through the trading member.

Whereas the trading member has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment / trading objectives relevant to the services to be provided; and

Whereas the trading member has taken steps and shall take steps to make the client aware of the precise nature of the trading member's liability for business to be conducted, including any limitations, the liability and the capacity in which the trading member acts.

Whereas the trading member and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

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

1. The client agrees to immediately notify the trading member in writing if there is any change in the information in the 'client registration form' provided by the client to the trading member at the time of opening of the account or at any time thereafter.
2. The trading member declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the



Client
Signature



Client
Signature

significance of the said document. The client agrees that:

- a. He has read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his decisions and trades.
 - c. The failure of the client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segment
 - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the trading member or the Exchange or as may be directed by SEBI from time to time as applicable to the segment. The trading member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House / Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate / require.
3. The Client agrees to pay to the trading 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 trading member renders to the Client. The trading member agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange / SEBI.
 4. The client agrees to abide by the exposure limits, if any, set by the trading member or by the Exchange or Clearing Corporation or SEBI from time to time.
 5. Without prejudice to the trading member's other rights (including the right to refer a matter to arbitration), the trading 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.
 6. The trading member agrees that the money / securities deposited by the client shall be kept in a separate account, distinct from his / its own account or account of any other client and shall not be used by the trading member for himself / itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars / guidelines / Exchange's Rules / Regulations / Byelaws and circulars.
 7. The client agrees to immediately furnish information to the trading member in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
 8. The trading member agrees to 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 stock exchange.
 9. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving and paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities, the trading member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.
 10. The trading member agrees that it shall cooperate in redressing grievances of the client in



Client
Signature

respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.

11. The trading member shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
12. The trading member shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom it may have had transactions in securities.
13. The client and the trading member agree to refer any claims and / or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
14. The trading member hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment / delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity / partnership / proprietary firm or any other artificial legal entity, then the name(s) of director(s) / promoter(s) / Partner(s) / proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).
16. The trading member and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
17. The trading member and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The trading member and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo-moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; if the trading member for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the trading member's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
22. The trading member and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement 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.
23. In addition to the specific rights set out in this Agreement, the trading member and the client shall be entitled to exercise any other rights which the trading member or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.



Client
Signature

- 24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under.
- 25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
- 26. The trading member hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the

same to any person / authority except as required under any law / regulatory requirements; Provided however that the trading member may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement.

Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

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

Client Name :
<div style="display: flex; align-items: center;"> <div style="background-color: #008000; color: white; padding: 2px 5px; font-weight: bold;">Client Signature</div> <div style="margin-left: 10px;"> </div> </div>
Address :
Place :
Date : <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> - <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> - 2 0 1 <input style="width: 20px; height: 20px;" type="text"/>

Name : GENUINE STOCK BROKERS PVT. LTD.
Corporate Office at B-601, Gopal Palace, Opp. Ocean Park, Nehrunagar, Ahmedabad-380015.
Authorised Signatory :
Signed by (Title) :
Place :
Date : <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> - <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> - 2 0 1 <input style="width: 20px; height: 20px;" type="text"/>

For CLIENT

Witness Name :
Signature :
Address :

Witness Name :
Signature :
Address :

WITNESS

WITNESS

For Genuine Stock Brokers Pvt. Ltd.

Witness Name :
Signature :
Address :

Witness Name :
Signature :
Address :

Member - Client Agreement

This agreement is made and executed at _____ this _____ day of _____ 20_____.
between

M/s. GENUINE STOCK BROKERS PVT. LTD. (hereinafter called "the stock broker"/"trading member"), a body corporate, registered and incorporated under the provisions of the Companies Act, 1956, being a member of Bombay Stock Exchange Limited (hereinafter called "the Exchange"), and having its **Registered Office at** A-54, 3rd Floor, Industrial Estate, Goregaon (E), Mumbai-400063 and having **Corporate Office at** B-601, Gopal Palace, Opp. Ocean Park, Nehrunagar, Ahmedabad-380015, which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/ the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

Mr./Ms/M/s _____
an individual/a sole proprietary concern/a partnership firm/a body corporate, registered/ incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/registered office at _____

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

Whereas the trading member is registered as the trading member of the Exchange with SEBI registration number **INB011047736** in the Capital Market segment.

WHEREAS the client is desirous of investing/trading in those securities/ contracts/other instruments admitted to dealings on the Exchange as defined in

the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time.

WHEREAS the client has satisfied itself of the capacity of the stock broker/trading member to deal in securities and/or F&O contracts/deal in derivatives contracts and wishes to execute its orders through the stock broker/trading member and the client shall from time to time continue to satisfy itself of such capability of the stock broker/trading member before executing orders through the stock broker/trading member.

WHEREAS the stock broker/trading member has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and Regulations of the Exchange and circulars issued there under from time to time.

WHEREAS the stock broker/trading member has taken steps and shall take steps to make the client aware of the precise nature of the Stock broker's/ trading member's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker/trading member acts.

WHEREAS the stock broker/trading member and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

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

1. The client agrees to immediately notify the stock broker/trading member in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker/trading member at the time of opening of the account or at any time thereafter.
2. The stock broker/trading member declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:



Client
Signature



Client
Signature

- a. He has read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his investment decisions and trades.
 - c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
 - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker/trading 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 stock broker/trading member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
3. The Client agrees to pay to the stock broker/trading 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 stock broker/trading member renders to the Client. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange/SEBI.
 4. The client agrees to abide by the exposure limits, if any, set by the stock broker/trading member or by the Exchange or Clearing Corporation or SEBI from time to time.
 5. Without prejudice to the stock broker's/trading member's other rights (including the right to refer a matter to arbitration), the stock broker/trading 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.
 6. The stock broker/trading member agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker/trading member for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Bye-laws and circulars.
 7. The client agrees to immediately furnish information to the stock broker/trading member in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
 8. The stock broker/trading member agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange.
 9. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker/trading member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.
 10. The stock broker/trading member agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.



Client
Signature

11. The stock broker/trading member shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
12. The stock broker/trading member shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom it may have had transactions in securities.
13. The client and the stock broker/trading member agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
14. The stock broker/trading member hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock exchange(s). In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).
16. The stock broker/trading member and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
17. The stock broker/trading member and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The stock broker/trading member and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; if the stock broker/trading member for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's/trading member's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
22. The stock broker/trading member and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement 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.
23. In addition to the specific rights set out in this Agreement, the stock broker/trading member and the client shall be entitled to exercise any other rights which the stock broker/trading member or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under.



Client
Signature

- 25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
- 26. The stock broker/trading member hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person/authority except as required under any law/regulatory requirements; Provided however that the stock broker/trading member may so disclose

information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

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

Client Name :
Client Signature
Address :
Place :
Date : <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

For CLIENT

Witness Name :
Signature :
Address :

Witness Name :
Signature :
Address :

WITNESS

WITNESS

Name : GENUINE STOCK BROKERS PVT. LTD.
Corporate Office at B-601, Gopal Palace, Opp. Ocean Park, Nehrunagar, Ahmedabad-380015.
Authorised Signatory :
Signed by (Title) :
Place :
Date : <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

For Genuine Stock Brokers Pvt. Ltd.

Witness Name :
Signature :
Address :

Witness Name :
Signature :
Address :

Note : All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

Combined Risk Disclosure Document

CAPITAL MARKET, F&O & CURRENCY DERIVATIVES SEGMENTS

This document is issued by the member of the National Stock Exchange of India (NSE)/ Bombay Stock Exchange Limited (BSE) which has been formulated by the Exchange in coordination with the Securities and Exchange Board of India (hereinafter referred to as "SEBI") and contains important information on trading in Equities / F&O / Derivatives Segments of NSE/BSE. All prospective constituents should read this document before trading in Equities / F&O / Currency Derivatives Segments of the Exchange.

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

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

You must know and appreciate that trading in Equity shares, F&O contracts, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on NSE/BSE and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE/BSE, its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no

guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a currency derivative contract being traded on NSE/BSE.

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

NSE/BSE does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any trading member of NSE/BSE and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security / F&O contract / derivatives contract undergoes when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security / F&O contract / derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / F&O contracts / derivatives contracts than in active securities / F&O contracts / derivatives 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

Client
Signature

got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / F&O contracts / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / F&O contracts / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / F&O contracts / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / F&O contracts / derivatives contracts as compared to active securities / F&O contracts / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / F&O contracts / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / F&O contracts / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / F&O contract / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / F&O contract / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / F&O contracts / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / F&O contract / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / F&O contract / derivatives contract, and such order gets activated if and when the security / F&O contract / derivatives 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 security / F&O contract / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / F&O contract / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / F&O contract / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumours:

Rumours about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumours.

Client
Signature

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

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

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

1.8 System/Network Congestion:

Trading on NSE/BSE is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Futures and Options segment and Currency Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing"

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with

the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

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

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the broker/member may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of F&O contracts/ derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.



Client
Signature

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

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

2.4 Risks of Option Writers

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

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

3. GENERAL

3.1 Commission and other charges

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

3.2 Deposited cash and property

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

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

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

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

Client
Signature

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

Client Name :

Client
Signature 

Address :

Place :

Date : - - 2 0 1

For CLIENT

Witness Name :

Signature :

Address :

Witness Name :

Signature :

Address :

WITNESS

WITNESS

Name : **GENUINE STOCK BROKERS PVT. LTD.**

Corporate Office at B-601, Gopal Palace, Opp. Ocean Park, Nehrunagar, Ahmedabad-380015.

Authorised Signatory :

Signed by (Title) :

Place :

Date : - - 2 0 1

For Genuine Stock Brokers Pvt. Ltd.

Witness Name :

Signature :

Address :

Witness Name :

Signature :

Address :

Investor's Rights and Obligations

1.1 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 Cash Market / F&O market / Derivatives market or the broking firm's insolvency or bankruptcy.

1.1.1 Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.

1.1.2 Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE/BSE and the scheme of the Investors' Protection Fund in force from time to time.

1.1.3 Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE/BSE or its Clearing Corporation.

1.2 Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.

1.3 You should exercise due diligence and comply with the following requirements of the NSE/BSE and/or SEBI:

1.3.1 Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE/BSE and whether they are enabled to trade may be verified from NSE/BSE website www.nseindia.com/www.bseindia.com

1.3.2 Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.

1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving License or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by NSE/BSE/SEBI at any time, as is available with the investor.

1.3.4 Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE/BSE or its Clearing Corporation from time to time, because this may be useful as a proof of your dealing arrangements with the member.

1.3.5 Give any order for buy or sell of a security / derivatives contract in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.

1.3.6 Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/ sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE/BSE, without delaying.

1.3.7 Facility of Trade Verification is available on NSE/BSE website www.nseindia.com/www.bseindia.com, where details of trade as mentioned in the contract note may be verified from the trade date up to five trading days. Where trade details on the website, do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of NSE/BSE.



Client
Signature

1.3.8 Ensure that payment of funds against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE/BSE or its Clearing Corporation. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member.

1.3.9 In case pay-out of funds is not received on the next working day after date of pay-out announced by NSE/BSE or its Clearing Corporation, please follow-up with the concerned member for its receipt. In case pay-out is not received as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE/BSE.

1.3.10 Every member is required to send a complete 'Statement of Accounts' for both settlements and margins, to each of its constituents, at such periodicity as may be prescribed from time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE/BSE, without delaying.

1.3.11 In case of a complaint against a member, you should address the complaint to the Office as may be specified by NSE/BSE from time to time.

1.4 In case where a member surrenders his membership, NSE/BSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading

system" of NSE/BSE, ensure that you lodge a claim with NSE/BSE /Clearing Corporation within the stipulated period and with the supporting documents.

1.5 In case where a member is expelled from trading membership or declared a defaulter, NSE/BSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE/BSE, ensure that you lodge a claim with NSE/BSE within the stipulated period and with the supporting documents.

1.6 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/ Bye -laws and the scheme under the Investors' Protection Fund (IPF) may be payable as prescribed by SEBI.

Notes:

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE/BSE for the purpose of buying and / or selling of securities / F&O contracts / derivatives contracts through the mechanism provided by NSE/BSE.
2. The term 'member' shall mean and include a trading member or a broker or a stock broker, who has been admitted as such by NSE/BSE and who holds a registration certificate from SEBI.
3. The term 'contract' refers to a F&O / derivatives contract and the term 'underlying' refers to the underlying index / stock / currency of such contract.

Client
Signature



Policies & Procedure

MANDATORY DOCUMENT DEALING WITH POLICIES PROCEDURES PURSUANT SEBI'S CIRCULAR NO. MIRSD/SE/CIR-19/2009 DATED 3rd DECEMBER, 2009

Policies and Procedures forms integral part of the Member Constituent agreement.

1. Refusal of order for Penny Stocks:

Member shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stocks, illiquid stocks, stocks having low liquidity, illiquid "options", far month "options", writing of "options", stocks in S, Z and B2, T and TS category and any other contracts which as per the perception of Member are extremely volatile or subject to market manipulation.

Member may permit restrictive acceptance of orders in such scrips / contracts in controlled environments like orders received from clients being forwarded by branches to centralized desk at HO instead of allowing trading in such scrips / contracts at branch level or through Online trading platform. Member shall not be responsible for delay in execution of such orders and consequential opportunity loss or financial loss to client.

Member may cancel orders in such scrips received from clients before execution or after partial execution without assigning any reason thereof.

2. Setting up client's Exposure Limits

The client agrees and confirms to abide by the exposure limits, if any, set by Member or by the exchange or Clearing Corporation or SEBI from time to time.

The Stock Broker/ Trading Member may from time to time, at its sole discretion, impose and vary limits on the orders that the client place (including exposure limits, turnover limits, market level limits, limits as to number, value and / or kind of securities / contracts in respect of which buy or sell orders can be placed etc.) The client is aware and agree that the stock broker/ trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of Member's risk perception and other factors considered relevant by Member and Stock Broker/ Trading Member may be unable to inform to the client of such variation, reduction, imposition in advance. The client agrees that the Stock Broker/ Trading Member shall not be

responsible for such variation, reduction and imposition of limits.

3. Applicable Brokerage Rate

The Client confirms and agrees that the brokerage shall be paid in the manner intimated by the Member to the client from time to time, including as a percentage of the value of the trade or as a flat fees or otherwise, together with the service tax as may be applicable from time to time on the same.

The Client hereby agrees to the brokerage slabs/ rates, as mentioned in this document, which do not exceed the maximum limits prescribed by the SEBI/NSE.

4. Imposition of penalty/delayed Payment Charges (This must not result in funding by the broker in contravention of the applicable laws)

The client understands and agrees that applicability of delayed payment charge by either party is solely at the discretion of the Stock Broker.

Without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from a client toward settlement obligation or margin obligation either in cash segment and/ or derivative segment may attract delayed payment charges at the rate of 2 % per month or part thereof or such other rate as may be determined by the stock broker.

5. The right to sell clients' securities or close clients' positions without giving notice to the client on account of non-payment of clients' dues

Without prejudice to the member's other rights (including the right to refer a matter to arbitration), the Member shall be entitled to liquidate / close out all or any of the Client's positions for non-payment of margins or settlement obligations without giving prior notice. Member may also sell off all or any securities of the client lying with member as collateral or otherwise for any amounts due by the client and adjust the proceeds of such liquidation/close out 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.



Client
Signature

6. Internal Shortage

In case of purchase of securities by the Client at times Member may be unable to deliver the securities to the said purchaser on the pay out day due to non receipt of the said securities from another Client of Member who has sold the securities against the said purchase transaction. In such cases, member may buy the shares from the market on T + 1 day or on settlement day and deliver the same to the client or he may give close out at the rate as determined by the member.

7. Close out in case of internal Shortages:

The Client hereby agrees that if he/she/it has short delivered any securities against his/her/its pay-in- obligation which resulted into internal shortage (i.e. buy position of another client of Member and could not be auctioned in the market), close out shall be debited to his account at the rate which is in the range of 5% to 20% above the purchase price or the closing price on auction day or such other percentage as may be revised by Member from time to time.

8. Restrictions/Prohibition to take further position or closing existing position

The Member may, in its sole discretion not allow taking further position to the client or may close the existing position of a client due to any restrictions in relation to volume of trading / manipulating or fraudulent trades/ outstanding business or margins stipulated by the exchange, clearing corporation/ clearing house and/or the Member and / or any other extraordinary event warranting such restrictions. The Client waives any and all claims for loss or damage arising directly or indirectly from any such restrictions.

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

The Client may suspend or close his/her/its trading account temporarily by giving written request to the member. Such temporary closing or suspending of trading account will not affect the rights and obligation incurred prior to such suspension or closure. Any request for temporary suspension or closure shall not be processed by the member unless all the dues are paid by the client.

10. Deregistering the Client

The Member may, at its sole discretion, deregister clients' account to protect his interest which may include

1. Member may de-register the client account based on action taken by SEBI/NSE/BSE or being

part of list of debarred entities published by SEBI or member is compelled by law to do so

2. On the basis of the information found in sites of CIBIL
 3. Any breach of the terms of this agreement
 4. Upon the death, winding up, bankruptcy, liquidation or lack of legal capacity of the client
 5. The Client having misrepresented facts at the time of entering into this agreement or at the time of giving instructions or otherwise
 6. Member has reasons to believe that account is being used for fraudulent purposes.
 7. The client fails to fulfill his /its payment obligations under this agreement or otherwise due to member
 8. Any other reason which member thinks reasonable for deregistering the account
- The Client waives any and all claims for loss or damages arising directly or indirectly from such deregistering. The deregistering will not affect any liability of the Client resulting directly or indirectly from any transactions made at any time before such deregistering. Member shall have right to close out the existing positions, sell the collateral to recover its dues if any before de-registering the client.

11. Policy for in active Clients

In case client has not used his account for a period exceeding 6 months but not later than 2 years across the exchanges, then his account shall be frozen for further trades and the said account shall be re-activated only after client gives account reactivation request , in writing, along with the proofs, if any, required. Further if client has not used his account for more than 2 years, his account shall be deregistered and his account shall be re-activated only after proper recording of reason for such non use, either orally or in writing, and after taking all the required proof.

I/We have read and clearly understood the above policies & procedures and shall abide by the same. Further, I/We know that this policy has been adopted by Member at the given time and may have been revised overtime. Latest version of the policy is available at the member's Web Portal www.guinnessstockbrokers.com

Client
Signature 

Intimation to Client and Noting

To,

GENUINE STOCK BROKERS PVT. LTD.

Registered Office at A-54, 3rd Floor, Industrial Estate, Goregaon (E), Mumbai-400063.

Corporate Office at B-601, Gopal Palace, Opp. Ocean Park, Nehrunagar, Ahmedabad-380015.

Dear Sir / Madam,

Re. : Confirmation of noting

We confirm that we have made note of the following :

1. That you trade in your OWN/PRO account.
2. That your investor grievance email ID is gsb96@yahoo.co.in
3. That I have read all the mandatory and voluntary terms and conditions and do consent for the same.
4. That we have to furnish / update Financial Details every year to the Member as per SEBI / PMLA requirements.
5. That I/We have read/understood the Anti Money Laundering Policy & Procedure and I know that the same is made available on your website www.guinnessstockbrokers.com
6. That I/We agree/s that I/We am/are responsible for clearing out my debit leader balance to NIL at least once in every month / quarter.

Thank you,

Client Code : _____

Client Name : _____

Client
Signature



Date : - -

Financial Status and Other Details

The information is sought under the Prevention of Anti Money Laundering Act, 2002, the rules notified there under and SEBI and Exchange/s Guidelines issued on Anti Money Laundering

(a) Annual Income (Last 3 years from the date of the opening of this account)

1st Year :

- Upto Rs.1 lakhs Rs.1 lakhs to Rs. 2 lakhs Rs.2 lakhs to Rs.5 lakhs
 Rs.5 lakhs to Rs.10 lakhs Rs.10 lakhs to Rs.25 lakhs Rs.25 lakhs to Rs.50 lakhs
 Rs.50 lakhs to Rs.1 crore Rs.1 crore above

2nd Year :

- Upto Rs.1 lakhs Rs.1 lakhs to Rs.2 lakhs Rs.2 lakhs to Rs.5 lakhs
 Rs.5 lakhs to Rs.10 lakhs Rs.10 lakhs to Rs.25 lakhs Rs.25 lakhs to Rs.50 lakhs
 Rs.50 lakhs to Rs.1 crore Rs.1 crore above

3rd Year :

- Upto Rs.1 lakhs Rs.1 lakhs to Rs.2 lakhs Rs.2 lakhs to Rs.5 lakhs
 Rs.5 lakhs to Rs.10 lakhs Rs.10 lakhs to Rs.25 lakhs Rs.25 lakhs to Rs.50 lakhs
 Rs.50 lakhs to Rs.1 crore Rs.1 crore above

(b) Networth Details (as on the date of account opening)

- Upto Rs.1 lakhs Rs.1 lakhs to Rs.2 lakhs Rs.2 lakhs to Rs.5 lakhs
 Rs.5 lakhs to Rs.10 lakhs Rs.10 lakhs to Rs.25 lakhs Rs.25 lakhs to Rs.50 lakhs
 Rs.50 lakhs to Rs.1 crore Rs.1 crore above

(c) Please tick mark the additional applicable category to you

- Non resident client
 High net-worth client (Having annual income + networth of more than Rs. 1 crore)
 Trust, Charities, NGOs and organizations receiving donations
 Company having close family shareholdings or beneficial ownership
 Civil Servant or family member or close relative of civil servant
 Bureaucrat or family member or close relative of bureaucrat
 Current or Former MP, MLA or MLC or their family member or close relative
 Politician or their family member or close relative
 Current or Former Head of State or of Governments or their family member or close relative
 Senior government/judicial/military officers or their family member or close relative
 Senior executives of state-owned corporations or their family member or close relative
 Companies offering foreign exchange offerings
 None of the above

Client Code : _____

Client Name : _____

Client
Signature



FOR OFFICE USE ONLY

Risk Categorisation

- Low Medium High

CSC

- Yes No

Employees
Signature



Running Account Authorisation

I/We hereby authorize(s) the MEMBER to maintain a running account, instead of settlement to settlement clearance of funds / securities due to me/us.

The payout of funds / securities may be retained by the MEMBER and no interest shall be payable, by the MEMBER on such securities / funds so retained.

I/We also authorize(s) the MEMBER to consider the funds/securities so retained by the MEMBER towards collateral margin for allowing enhanced gross exposure to me/us.

I/We agree(s) that the MEMBER shall not be liable for any claim for loss of profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities / funds under this agreement or otherwise.

On written request of the CLIENT the MEMBER may release funds/securities to him, if sufficient margins in respect of his trading, across the Stock Exchange(s) and across the segments of the stock exchange(s) are available with the MEMBER, within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation..

Notwithstanding anything contained in this authorization, the actual settlement of funds and securities, except for funds received from the clients

towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR), shall be done by the member, at least once in a calendar **quarter or month** (*Strike off anyone option*). For the clients having outstanding obligations on the settlement date, the Member may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. There shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

This authorization may be revoked at any time by me/ us by giving written notice to the member. This authorization is valid up to one year from the date of execution of this authorization.

Client Code : _____


Client Name : _____

Date of Authorization : - -

Client
Signature 

(To be signed by client himself and not by any authorised person on his behalf or holder of the Power of Attorney)

Authorisation for receiving digitally signed electronic documents

1. Whereas the Client has requested Member to transmit contract notes, statement of accounts, daily margin information, bills, circulars, debit-credit notes, confirmations, periodical submissions of statement of accounts for securities and margins and such other communication in soft form under digital signature obtained from a valid certifying authority as provided under the Information Technology Act, 2000 and in accordance with circulars, clarifications, guidelines, rules, regulations of SEBI and the Stock Exchange. And whereas Member having agreed, both the parties to this agreement hereby agree as under:
- a. Member shall be duly discharged from its obligations upon transmission of the contract notes, confirmation of trades executed on behalf of the client and all such other communications as stated hereinabove at the Client's digital address. However stock broker/trading member shall send/issue Statement of Funds and Securities as on 31st March every year, in hard form, to the client. The client further agrees and understands that all information transmitted by Member shall be binding on the Client, subject to the Client pointing out error, if any in writing within 24 hours from the transmission of documents in soft form. However the period of error reporting in case of statement of funds and securities shall be 7 days in stead of 24 hours.
 - b. In case of non-receipt of digitally transmitted documents, from Member, the client may request Member to send duplicate copy of such document either in soft form or hard copy thereof.
 - c. The client shall communicate to Member his/her electronic/e-mail address, and undertakes the responsibility to ensure the secrecy of login name and password. The client hereby agrees to communicate in writing regarding any change in their electronic/e-mail address forthwith.
 - d. The Client shall be provided with a login ID and password to login on Member's portal and undertakes the responsibility to ensure the secrecy of login name and password.
The term "Portal" here means an Internet portal or Website where the Client can view these documents after login id and password to log in to the said portal for viewing these documents after login as specified by the Member from time to time.
 - e. Upon login the Client shall be able to view these documents after verifying them online using a "verify" button on the Portal. A "Verifier Software" utility residing at the server end of the Portal would carry out this verification.
 - f. The viewing of the documents without the "Verifier Software" utility is not valid. Any printouts of the contract notes and the documents, which have been opened without using "Verifier Software" utility are also not legally valid documents.
 - g. Due to capacity constraints, it would not be possible to keep such documents ad-indefinitum on the server. In such a case, the documents older than three months would be removed and shall be made available to the Clients upon request.
 - h. Non receipt of bounced mail notification by the member shall amount to delivery of contract note at the e-mail id of the client.
 - i. I/we confirm that sending of e-mail on any of the following id shall be sufficient delivery to me.
- My/our e-mail id(s) are
1. _____
 2. _____
 3. _____
- Client Code : _____
- Client Name : _____
- Client Signature** 
- (To be signed by client himself and not by any authorised person on his behalf or holder of the Power of Attorney)

**ACKNOWLEDGEMENT**

Form No. :

GENUINE STOCK BROKERS PVT. LTD.**Regd. Office :** A-54, 3rd Floor, Industrial Estate, Goregaon (E), Mumbai-400063.**Corpo. Office :** B-601, Gopal Palace, Opp. Ocean Park, Nehrunagar,

Ahmedabad-380015. Tel. : +91-79-26769700, 30026175 Fax : +91-79-30004050

Accepted / rejected the application from Mr. / Ms. _____
as the sole / first holder along with _____ and _____
as the second and third holders respectively for opening of a Trading account residing at
_____ on dated _____.

Your Client Id will be intimated to you shortly on acceptance. Please quote the DP Id and Client Id allotted to you in all your future correspondence.

For, **Genuine Stock Brokers Pvt. Ltd.**Date :

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(Authorised Signatory)