

BCB BROKERAGE PRIVATE LIMITED (BBPL)

APPLICATION FORM FOR OPENING BROKING / DEMAT ACCOUNT - INDIVIDUALS

INDEX

PART I - MANDATORY DOCUMENTS

Sr. No.	Document	Brief Significance	Pages From - To
1	Cover Page	Cover page for Application Form for opening broking/demat account - Individuals	1
2	Index	Index of Application Form for opening broking/ demat account - Individuals with brief significance of each document	3-4
3	Documentary Requirements for individuals	List of documents that have to be provided by individual clients to the BBPL	5-7
4	Application/Client Registration Form	Application/ Client Registration Form for individuals	8-16
5	Member Client Agreement - BSE	Agreement between member and client for stock broking operations at BSE	17-21
6	Member Client Agreement - NSE	Agreement between member and client for stock broking operations at NSE	23-27
7	Member Client Agreement - USE	Agreement between member and client for stock broking operations at USE	29-33
8	Combined Risk Disclosure Document	Document informing of risks associated in dealings in securities on the stock exchanges (for all exchanges/all segments)	35-44
9	Letter of noting	Noting of website www.bcbbrokerage.com of BBPL and its contents including mandatory contents like client policy and procedures	45
10	Policy and procedures document	Copy of the Policy and procedure documents of BBPL dated 24 May 2010	46-48

PART II - VOLUNTARY DOCUMENTS FOR STOCK BROKING SERVICES

11	Letter for operations of account	Various operative instructions to the trading member for day to day running of the account including running account authorization and list of authorized signatories	49-50
12	Digitally Signed Contracts / Communications	Confirmation from the client that Digitally signed contracts/communications are acceptable to the client for broking	51

PART II - VOLUNTARY DOCUMENTS FOR STOCK BROKING SERVICES

Sr. No.	Document	Brief Significance	Pages From - To
13	Additional Clauses for BSE for Internet Based Trading	Additional Clauses in the Agreement with BBPL to activate and use Internet Trading facility for BSE	52-59
14	Additional Clauses for USE for Internet Based Trading	Additional Clauses in the Agreement with BBPL to activate and use Internet Trading facility for USE	60-62
15	Additional Clauses for NSE for Internet Based Trading	Additional Clauses in the Agreement with BBPL to activate and use Internet Trading facility for NSE	63-64
16	Additional Clauses for Cross Margin - NSE	Additional Clauses in the Agreement with BBPL to avail of inter segment cross margin benefit at NSE / NSCCL	65
17	Documents for Mutual Funds	Documents for availing of Mutual Funds services for BSE and NSE	66-67

PART III - VOLUNTARY DOCUMENTS FOR DEMAT SERVICES

18	DP BO Agreement	Agreement for opening demat account	69-71
19	Schedule of Demat Charges	Schedule for demat account charges	72
20	SMS Alert Services of CDSL (SMART)	Annexure for SMART (SMS) Services of CDSL (Compulsory for POA Clients)	73-76
21	POA for Demat account	Power of Attorney to BBPL for operations of Demat account	77-78
22	Nomination Form	Nomination Form for in case of death of the sole/ first holder	79-80
23	Specimen and Acknowledgements	Specimen Signature Card and Acknowledgements	81

DOCUMENTARY REQUIREMENTS FOR INDIVIDUAL CLIENTS - MANDATORY

Self certified copies of the following documents to be obtained
after due verification with the originals

Checkbox	Type of documents	Requirements
<input type="checkbox"/>	Proof of identity	Copy of PAN Card (with photograph) Copy of Passport (in case of NRIs/ Foreign Citizens) Other Proof of identity like passport, driving license, Voter's Identity Card issued by the Election Commission of India (in case name as preferred by the client different from name as appearing on the PAN Card/ Income Tax Database)
<input type="checkbox"/>	Proof of Bank	(i) Photocopy of the cancelled cheque having the name of the account holder (where the cheque book is issued) (ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (iii) Photocopy of the Passbook having name and address of the BO, (iv) Letter from the Bank. In case of options (ii), (iii) and (iv) above, MICR code/ ISFC Code for RTGS/NEFT of the branch should be present / mentioned on the document and it should be self-certified by the BO.
<input type="checkbox"/>	Proof of demat	Demat Master issued by the DP bearing DP Stamp and the PAN number of the client / Recent holding statement containing the name of the client (for demat accounts not with BCB Brokerage Private Limited)
<input type="checkbox"/>	Financial details	Compulsory for trading in Derivatives Segment - Illustrative list <ol style="list-style-type: none">1. Copy of ITR Acknowledgement2. Copy of Annual Accounts3. Copy of Form 16 in case of salary income4. Net worth certificate5. Salary Slip6. Bank account statement for last 6 months7. Copy of demat account Holding statement.8. Any other relevant documents substantiating ownership of assets.9. Self declaration along with relevant supporting



Checkbox	Type of documents	Requirements
<input type="checkbox"/>	Proof of Address	<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Ration Card <input type="checkbox"/> Voter ID Card <input type="checkbox"/> Bank Passbook </div> <div style="width: 45%;"> <input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence </div> </div> <p>Verified copies of :</p> <input type="checkbox"/> Electricity bills (Bill date not more than two months old), <input type="checkbox"/> Residence Telephone bills (Bill date not more than two months old), <input type="checkbox"/> *Leave and Licence Agreement *Agreement for Sale <input type="checkbox"/> Self-declaration by High Court & Supreme Court Judges, giving the address in respect of their own accounts. <p>Identity card/document with address, issued by :</p> <input type="checkbox"/> Central/State Government and its Departments, <input type="checkbox"/> Statutory/Regulatory Authorities, <input type="checkbox"/> Public Sector Undertakings, <input type="checkbox"/> Scheduled Commercial Banks, <input type="checkbox"/> Public Financial Institutions, <input type="checkbox"/> Colleges affiliated to universities, <input type="checkbox"/> Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their members. <p>Bank Statement as proof of Address : a computer-generated statement without signature/stamp of the bank (showing the name and address of the BO and bank transactions during a period, printed on the Bank stationery) can be accepted as a valid proof of address only if duly attested by the concerned Bank under the stamp and signature of the bank official.</p> <p style="text-align: center;">OR</p> <p>Bank Statement an proof of address: Original bank statement (showing the name of the BO, address of the BO and bank transactions during a period, printed on the bank stationery) self attested by the BO along with cancelled cheque (in original) pertaining to the said bank account, without bank attestation as mentioned above, provided that such original bank statement is not more than 2 quarters old can be accepted as valid proof of address.</p>



Checkbox	Type of documents	Requirements
		<p style="text-align: center;">OR</p> <p style="text-align: center;">Bank Statement as proof of address:</p> <p>A copy of the bank statement along with a copy of a cheque may be taken as proof of address.</p> <p>The copy of the bank statement shall clearly display the logo and the name of the bank, the BO's name, address, account number and transactions/balance. The date on the bank statement shall not be more than two quarters old, based on the date of receipt of the Account Opening Form.</p> <p>In the case of e-statements, the BO may provide an e-statement of his account as proof of address along with a copy of the cheque only if the name of the account holder is pre-printed on the cheque.</p> <p>The bank details (including account number) mentioned on the bank statement shall be identical to the details mentioned on the cheque.</p> <p>2.3.2 Correspondence address:</p> <p>If BOs wish to receive their correspondence at the address of some other entity - such as POA holder for NRI, for IPO / Margin financing, etc. the abovementioned proof of address documents in the name of such other entities may be accepted as proof of correspondence address of the BO, provided the same is mentioned in the account opening form.</p>

INSTRUCTIONS FOR THE APPLICANTS

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
5. All correspondence / queries shall be addressed to the first / sole applicant.
6. Strike off whichever option, in the account opening form, is not applicable.





APPLICATION / CLIENT REGISTRATION FORM - MANDATORY

(To be filled by the applicant / client in BLOCK LETTERS)

To,

BCB Brokerage Private Limited

1207/A P.J.Towers, Dalal Street, Fort, Mumbai 400 001

bbplmumbai@gmail.com

SEBI Registration No. INB011161131 (BSE) INF011161131 (BSE)

INB231161135 (NSE) INF231161135 (NSE)

INB271161135 (USE) IN-DP-CDSL-05-99 (CDSL)

I / We request you to open a Demat Account in my / our name as per the following details
AND / OR

I / We request you to register us as a client for Stock Broking as per the following details:-

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status	Sub Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Others (specify)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National Receipts	<input type="checkbox"/> Foreign National - Depository <input type="checkbox"/> Others (specify)

SOLE / FIRST HOLDER DETAILS

Name in which account is to be opened	(First Name) (Middle Name) (Last Name)
Name as per PAN Card	
Name as per IT Database	(to be filled by BBPL)
Father/ Husband Name	
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms <input type="checkbox"/> Other
Suffix	
PAN Number	
Sole Proprietary firm Name (if applicable)	
Unique Identity (AADHAR) Number	



Permanent Address											
City						State					
Country						PIN					
Telephone						Fax					
Email ID											
Correspondence Address (if different)											
City						State					
Country						PIN					
Telephone						Fax					
Email ID											
Mobile Number											
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female										
Date of Birth (dd-mm-yyyy)											
Marital Status											
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)										
Occupation Details (Tick whichever is applicable)	<input type="checkbox"/> Employed <input type="checkbox"/> Self Employed / Business Professional <input type="checkbox"/> House-Wife <input type="checkbox"/> Others										
Nature of Business (Products/Service Provided & Income Range)											
If Employed	Name of Employer										
	Office Address										
	City					Pin					
	State					Country					
	Tel. (Off.)					Fax					
If Self Employed / Business / Professional / Others	Name of the establishment										
	Office Address										
	City					Pin					
	State					Country					
	Tel. (Off.)					Fax					



**BANK DETAILS** [Dividend Bank Details]

Bank Code (9 digit MICR code)							
ISFC Code for NEFT							
ISFC Code for RTGS (If different)							
Bank Name							
Branch							
Bank Address							
City		State					
Country		PIN					
Account number							
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)						

DETAILS OF GUARDIAN (in case of Minor)

First Name							
Middle Name							
Last / Search Name							
Relationship with the minor							
Correspondence Address							
City		State					
Country		PIN					
Telephone		Fax					
Mobile							
PAN							
E-mail ID							
Broking UCC Code							

FOR NRIs/PIOs/FOREIGN CLIENTS ONLY

Foreign Address							
City		State					
Country		PIN					



Residential Status	<input type="checkbox"/> Resident <input type="checkbox"/> Non-resident <input type="checkbox"/> Others
Passport details	Passport Number
	Date of Issue Expiry date
	Place of Issue
RBI Permission details for investment under the Portfolio Investment Scheme (PIS) (for non automatic approval cases)	
DECLARATION	I/We declare that I/We have complied with, and will continue to comply with, FEMA regulations and other applicable laws.



FINANCIAL / PMLA DETAILS

Purpose and intended nature of the business relationship	<input type="checkbox"/> Investment <input type="checkbox"/> Trading <input type="checkbox"/> Speculation <input type="checkbox"/> Others (please specify) <input type="checkbox"/> All of the above
Financial details of the client Income Range (Per Annum): (Tick where applicable)	<input type="checkbox"/> Upto Rs. 1,00,000
	<input type="checkbox"/> More than Rs. 1,00,000 upto Rs. 2,00,000
	<input type="checkbox"/> More than Rs. 2,00,000 upto Rs. 5,00,000
	<input type="checkbox"/> More than Rs. 5,00,000 upto Rs. 10,00,000
	<input type="checkbox"/> More than Rs. 10,00,000 upto Rs. 25,00,000
Net worth (preferably accompanied by certificate from a practicing CA)	
Are you or have you been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior government/ judicial/ military officers, senior executives of state-owned corporations, important political party officials? If yes, please give details	
Are you a family member and/ or close relatives of a person fulfilling the requirements of 4 above? If yes, please give details	
Investment / Trading Experience	<input type="checkbox"/> No Prior Experience
	___ Years in Securities
	___ Years in Currency/ Interest Rate Futures and Options
	___ Years in other investment related fields





Details of any action taken by SEBI/Stock exchange/ RBI / any other financial sector regulator during the last three years	
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FOR DEMAT ACCOUNT ONLY

I / We instruct BBPL to receive each and every credit in my/our Demat account [Automatic Credit]	<input type="checkbox"/> Yes <input type="checkbox"/> No
Demat Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
Do you wish to receive dividend / interest directly in to your bank account given above through ECS	<input type="checkbox"/> Yes <input type="checkbox"/> No

ADDITIONAL DETAILS

SMS Alert Facility for Demat Account	<input type="checkbox"/> Yes MOBILE NO. +91 _____ Refer to Terms & Conditions given as Annexure 2.4	<input type="checkbox"/> No
Easi for Demat Account	<input type="checkbox"/> Yes If yes, please contact BBPL for details [Facility through CDSL's website: www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	<input type="checkbox"/> No

JOINT HOLDER - SECOND HOLDER DETAILS FOR DEMAT ACCOUNT

Name	(First Name) (Middle Name) (Last Name)		
Father / Husband Name			
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms <input type="checkbox"/> Other		
Suffix			
Permanent Address			
City	State		
Country	PIN		
Telephone	Fax		
Mobile			



PAN	
E-mail ID	
Date of Birth (dd-mm-yyyy)	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
Occupation	<input type="checkbox"/> Service <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt.
	<input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body
	<input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired
	<input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify)
Nature of business : (Products/services provided)	

JOINT HOLDER - THIRD HOLDER DETAILS FOR DEMAT ACCOUNT

Name	(First Name) (Middle Name) (Last Name)		
Father / Husband Name			
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms <input type="checkbox"/> Other		
Suffix			
Permanent Address			
City		State	
Country		PIN	
Telephone		Fax	
Mobile			
PAN			
E-mail ID			
Date of Birth (dd-mm-yyyy)			
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)		
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female		
Occupation	<input type="checkbox"/> Service <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt.		
	<input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body		
	<input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired		
	<input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify)		
Nature of business : (Products/services provided)			

Note: Joint holders only for the purpose of demat account.
Trading/Broking accounts in name of sole/ first holder only.





FOR BROKING ACCOUNT ONLY

DEMAT DETAILS WITH OTHER DPS

Depository Participant Name	
DP ID	
BO Account Number	
Holders of this account (including joint holders)	

TRADING PREFERENCE (Please sign in the relevant boxes where you wish to trade)

EXCHANGE / SEGMENT

BOMBAY STOCK EXCHANGE (BSE)

- Cash
- Derivatives
- Debt Market
- Mutual Funds
- Securities Lending and Borrowing

NATIONAL STOCK EXCHANGE (NSE)

- Cash
- Derivatives
- Debt Market
- Mutual Funds
- Currency
- Interest Rate Futures
- Securities Lending and Borrowing

UNITED STOCK EXCHANGE (USE)

- Currency

		Sign
Please provide details of all your 'Member-Client' relationship with other trading member (an additional sheet may be used, if required)	Name of trading member:	
	Name of Exchange:	
	Unique Client Code:	
Settlement of accounts (You may choose)	<input type="checkbox"/> Monthly	
	<input type="checkbox"/> Quarterly	



		Sign
Adjustment of securities / funds of one segment against another segment of the same Exchange	<input type="checkbox"/> Yes (Please adjust)	
	<input type="checkbox"/> No (Please do not adjust)	
Adjustment of securities / funds of one exchange against another Exchange	<input type="checkbox"/> Yes (Please adjust)	
	<input type="checkbox"/> No (Please do not adjust)	
Power of Attorney for Bank account	<input type="checkbox"/> Yes (Desirous of giving Power of Attorney)	
	<input type="checkbox"/> No (Not desirous of giving Power of Attorney)	
Power of Attorney for Demat account	<input type="checkbox"/> Yes (Desirous of giving Power of Attorney)	
	<input type="checkbox"/> No (Not desirous of giving Power of Attorney)	
Internet Trading	<input type="checkbox"/> Yes (Desirous of Internet Trading facility)	
	<input type="checkbox"/> No (Not desirous of Internet Trading facility)	
Digitally signed Contracts/ Communication*	<input type="checkbox"/> Yes (Desirous of receipt of Digitally signed Contracts/Communication on email)	
	<input type="checkbox"/> No (Not desirous of receipt of Digitally signed Contracts/Communication on email)	
Communication via SMS	<input type="checkbox"/> Yes (Desirous of receipt of trade confirmation/ margin calls/password/other details and information via SMS on mobile)	
	<input type="checkbox"/> No (Not desirous of receipt of trade confirmation/margin calls/password/other details and information via SMS on mobile)	

* Kindly note the schedule of charges for dispatch of physical documents on the website www.bcbrokerage.com

REFERENCES

Introduction	To be Introduced by another client/demat account holder of BBPL
Name of the Introducer	(First Name) (Middle Name) (Last Name)
Signature of the Introducer	
UCC / demat account number of the Introducer	
Name and registration details of associated sub-broker / remisier / authorized person	
Signature of associated sub-broker / remisier / authorized person	








DECLARATION FOR DEMAT

I/We have read the terms & conditions DP-BO agreement and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

DECLARATION FOR BROKING

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

	First / Sole Holder	Second Joint Holder (for demat a/c only)	Third Joint Holder (for demat a/c only)
Passport size Photograph	 (Please sign across the photograph)	 (Please sign across the photograph)	 (Please sign across the photograph)
Name			
Signatures			
Place			
Date			

(Signatures should preferably be in black ink)

In case of minor holder, photograph of the guardian has to be affixed along with minor's photograph)

Name *	
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* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.





MEMBER CLIENT AGREEMENT - BSE - MANDATORY


This agreement is made and executed between:

M/s. BCB Brokerage Private Limited, a body corporate, incorporated under the provisions of the Companies Act, 1956, being a member of the Bombay Stock Exchange Limited/ BSE (hereinafter called "the Exchange"), and having its registered office at 1207/A P.J.Towers, Dalal Street, Fort, Mumbai 400 001 (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 Cash / 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 INB011161131 in the Cash segment and SEBI registration number INF011161131 in the Derivatives Segment

Whereas the client is desirous of investing/trading in those securities/ derivative 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 derivative 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 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 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.
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.
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.





ADDITIONAL ENABLING CLAUSE FOR VOLUNTARY DOCUMENTS (VOLUNTARY)

27. The trading member and client agree that they may enter into additional clause(s)/ documentation(s) which are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning in the day to day activities, and also for special facilities like internet trading facility offered by the trading member, Securities Lending Borrowing, etc. The client understands that he/she need not execute this document if he / she does not wish to use that facility. The client also understands his/her right to terminate the document, in which eventuality, the trading member may terminate the special facility. Such additional voluntary clauses shall form part and parcel of this agreement.

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 below written.

The client's Signature/ Authorised Signatory	For BCB Brokerage Private Limited
Signed by:  	Signed by:
Title:	Title: Director/ Authorised Signatory
Name of the client	Name of the stock broker: BCB Brokerage Private Limited
Place	Place
Date	Date
Witness:	Witness:
1.	1.
2.	2.

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.

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MEMBER CLIENT AGREEMENT - NSE - MANDATORY

This agreement is made and executed between:

M/s. BCB Brokerage Private Limited, a body corporate, incorporated under the provisions of the Companies Act, 1956, being a member of the National Stock Exchange Limited of India (hereinafter called "the Exchange"), and having its registered office at 1207/A P.J.Towers, Dalal Street, Fort, Mumbai 400 001 (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 INB231161134 in the Capital Market segment and SEBI registration number INF231161134 in the F&O 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 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 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.
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.
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.





ADDITIONAL ENABLING CLAUSE FOR VOLUNTARY DOCUMENTS (VOLUNTARY)



27. The trading member and client agree that they may enter into additional clause(s)/ documentation(s) which are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning in the day to day activities, and also for special facilities like internet trading facility offered by the trading member, Securities Lending Borrowing, etc,. The client understands that he/she need not execute this document if he / she does not wish to use that facility. The client also understands his/her right to terminate the document, in which eventuality, the trading member may terminate the special facility. Such additional voluntary clauses shall form part and parcel of this agreement

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

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 below written.

The client's Signature/ Authorised Signatory	For BCB Brokerage Private Limited
Signed by:  	Signed by:
Title:	Title: Director/ Authorised Signatory
Name of the client	Name of the stock broker: BCB Brokerage Private Limited
Place	Place
Date	Date
Witness:	Witness:
1.	1.
2.	2.

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.

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MEMBER CLIENT AGREEMENT - USE - MANDATORY

This agreement is made and executed between:

M/s. BCB Brokerage Private Limited a body corporate, incorporated under the provisions of the Companies Act, 1956, being a member of the United Stock Exchange of India Limited (hereinafter called "Exchange" or "the Exchange"), and having its registered office at 1207/A P.J.Towers, Dalal Street, Fort, Mumbai 400 001 (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 Currency Derivatives Segment and/or Interest Rate Derivatives, 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 INE271161135 in the Currency Derivatives Segment and proposed to be registered in the Interest Rate Derivatives Segment.

- A. 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.
- B. Whereas the client has satisfied itself of the capacity of the trading member to deal in securities and / or deal in equity / 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.
- C. 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



- D. 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.
- E. 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 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.
4. 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.
5. The client agrees to abide by the exposure limits, if any, set by the trading member or by the Exchange or Clearing House/Clearing Corporation or SEBI from time to time.



6. 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.
7. 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.
8. 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.
9. 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.
10. 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.
11. 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.
12. 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.
13. 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).
14. 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.





15. The trading member and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
16. 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.
17. 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.
18. 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.
19. 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.
20. 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.
21. 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.
22. 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.
23. 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.
24. 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.







ADDITIONAL ENABLING CLAUSE FOR VOLUNTARY DOCUMENTS (VOLUNTARY)

25. The trading member and client agree that they may enter into additional clause(s)/ documentation(s) which are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning in the day to day activities, and also for special facilities like internet trading facility offered by the trading member. The client understands that he/she need not execute this document if he / she does not wish to use that facility. The client also understands his/her right to terminate the document, in which eventuality, the trading member may terminate the special facility. Such additional voluntary clauses shall form part and parcel of this agreement

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 below written.

The client's Signature/ Authorised Signatory	For BCB Brokerage Private Limited
Signed by:  	Signed by:
Title:	Title: Director/ Authorised Signatory
Name of the client	Name of the stock broker: BCB Brokerage Private Limited
Place	Place
Date	Date
Witness:	Witness:
1.	1.
2.	2.

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.

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**COMBINED RISK DISCLOSURE DOCUMENT
FOR CAPITAL MARKET / CASH SEGMENT, FUTURES & OPTIONS/DERIVATIVES/
CURRENCY DERIVATIVES / INTEREST RATE FUTURES SEGMENTS
(TO BE GIVEN BY THE TRADING MEMBER TO THE CLIENT) - MANDATORY**

This document is issued by **BCB Brokerage Private Limited**, the member of the National Stock Exchange of India(NSE)/ the Bombay Stock Exchange Limited(BSE)/ the MCX Stock Exchange Limited(proposed)/ the United Stock Exchange Limited/other Stock Exchanges (hereinafter referred to as the Exchanges) which has been formulated by the BSE/NSE/ other Exchanges 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 / Currency Derivatives/ Interest Rate Futures Segments of Exchanges. All prospective clients should read this document before trading in Equities / F&O / Currency Derivatives/ Interest Rate Futures Segments of the Exchanges.

Exchanges /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 Exchanges /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, Currency derivatives contracts, Interest Rate futures 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 Exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Exchanges, its Clearing Corporation/ House and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The client shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a currency derivative contract being traded on Exchanges.

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

Exchanges do 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 Exchanges





and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. 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 / currency derivatives contract/ Interest Rate futures contract undergoes when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security / F&O contract / currency derivatives contract/ Interest Rate futures contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / F&O contracts / currency derivatives contracts/ Interest Rate futures contract than in active securities / F&O contracts / currency derivatives contracts/ Interest Rate futures contract. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / F&O contracts / currency derivatives contracts/ Interest Rate futures 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 / currency derivatives contracts/ Interest Rate futures 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 / currency derivatives contracts/ Interest Rate futures contracts purchased or sold. There may be a risk of lower liquidity in some securities / F&O contracts / currency derivatives contracts/ Interest Rate futures contracts as compared to active securities / F&O contracts / currency derivatives contracts/ Interest Rate futures 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 / currency derivatives contracts/ Interest Rate futures contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / F&O contracts / currency derivatives contracts/ Interest Rate futures 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 / currency derivatives contract/ Interest Rate futures contracts.



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 / currency derivatives contract/ Interest Rate futures contracts 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 / currency derivatives contracts/ Interest Rate futures 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 client 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 / currency derivatives contract/ Interest Rate futures contracts.

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 client 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 / currency derivatives contract/ Interest Rate futures contracts, and such order gets activated if and when the security / F&O contract / currency derivatives contract/ Interest Rate futures contracts 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 / currency derivatives contract/ Interest Rate futures 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 / currency derivatives contract/ Interest Rate futures 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 / currency derivatives contract/ Interest Rate futures 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.

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 / currency derivatives contract/ Interest Rate futures contract due to any action on account of unusual trading activity or security / F&O contract / currency derivatives contract/ Interest Rate futures contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on Exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond 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, Currency Derivatives and Interest Rate Futures 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 involve 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 / currency 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/ currency derivatives contracts/ Interest Rate futures 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.
- 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 client or that a client 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 currency derivatives contracts through the mechanism provided by Exchanges.
- 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 Exchanges and who holds a registration certificate from SEBI.

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

Client Sign

Date:

Place:

(If Partner, Corporate, or other Signatory, then attest with company seal)



ANNEXURE-1

INVESTORS' RIGHTS AND OBLIGATIONS:

- 1.1 You should familiarise 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 / Currency Derivatives/ Interest Rate futures 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 Exchanges 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 Exchanges or its Clearing Corporation/House.
- 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 Exchanges 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 Exchanges and whether they are enabled to trade may be verified from Exchanges website (www.nseindia.com/ www.bseindia.com/ www.mcx-sx.com/ www.useindia.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 Exchanges / 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 Exchanges or its Clearing Corporation/ House 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 currency 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 Exchanges, without delaying.
 - 1.3.7 Facility of Trade Verification is available on Exchanges website (www.nseindia.com/ www.bseindia.com/ www.mcx-sx.com/ www.useindia.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 Exchanges.
 - 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 Exchanges or its Clearing Corporation/House. 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 Exchanges or its Clearing Corporation/House, 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 Exchanges.
 - 1.3.10 Every member is required to send a complete 'Statement of Accounts', for both settlements and margins, to each of its clients, 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 Exchanges, 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 Exchanges from time to time.
- 1.4 In case where a member surrenders his membership, Exchanges gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of Exchanges, ensure that you lodge a claim with Exchanges / Clearing Corporation/ House 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, Exchanges gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of Exchanges, ensure that you lodge a claim with Exchanges 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 Exchanges for the purpose of buying and / or selling of securities / F&O contracts / currency derivatives contracts through the mechanism provided by Exchanges.
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 Exchanges and who holds a registration certificate from SEBI.
3. The term 'contract' refers to a F&O / currency derivatives contract/ Interest Rate futures contract and the term 'underlying' refers to the underlying index / stock / currency/ interest rate/ security of such contract.



LETTER OF NOTING - MANDATORY

To,
BCB Brokerage Private Limited
1207/A P.J.Towers, Dalal street, Fort, Mumbai 400 001
Email bbplmumbai@gmail.com

Sir(s),

Re: Confirmation of Noting

I/We confirm that I/we have made note of the following:

1. That you trade in your OWN/ PRO account
2. That your website is www.bcbbrokerage.com and the same contains, inter alia
 - a. Investor grievance email ID
 - b. Policy for dealings with clients
 - c. Policy for dormant accounts
 - d. Risk Management Policy
 - e. Other policies and procedures of your organization relevant to us
 - f. Literature on AML requirements
 - g. Settlement Schedules
 - h. Links to websites of SEBI and Stock Exchanges of which you are a member
 - i. Name and address of Clearing Member of various segments
 - j. Other information that a trading member is required to furnish to his clients

Thank you

Client Signature

Place

Date



POLICIES AND PROCEDURES FOR CLIENT DEALINGS - ALL EXCHANGES - MANDATORY
(as required by SEBI circular MIRSD/ SE /Cir-19/2009 dated December 3, 2009)

Dated May 24, 2010 - Version 1.01

Policy a. refusal of orders for penny stocks

BCB Brokerage Private Limited (BBPL) does not place any restriction on trading of any listed security on any of the exchanges. Sale of all securities held in the demat account of the clients is allowed. Sale of physical securities is not allowed unless with the express approval of the Director. (In case securities that are part demat are purchased and the delivery is received in the physical form from the market, the client would be expected to transfer the securities into its name, demat the same and then sell it back)

If unusual trading patterns are observed in any security, trading in that securities may be debarred by BBPL at the discretion of the Directors

Policy b. setting up client's exposure limit

BBPL sets the exposure allowed to the client is based on the combination of the following factors:

1. The funds and securities of the client lying with BBPL in the form of margins/ balances in the bank and demat accounts of the of the client for which Power of Attorney has been given to BBPL
2. Past track record of the client in their dealings
3. Networth/ goodwill of the clients
4. Recommendations of the sub-brokers/ remisier/ authorized person who stand guarantee to the trade

Policy c. applicable brokerage rate (all securities/ all segments/ all exchanges)

The standard brokerage rate of the company is as under:

Description	Rate of Brokerage	Minimum per security
Square up brokerage (first side)	0.10%	(minimum 10 np per share)
Square up brokerage (second side)	0.10%	(minimum 10 np per share)
Delivery Brokerage	1%	(minimum 10 np per share)

Additionally, additional brokerage of maximum 0.01% may be recovered in the form of "other charges" from the clients in lieu of Stock Exchange charges, SEBI fees, Stamp Duty, demat charges and client account maintenance charges.

Based on the track record of the clients and/or the recommendations of the Branch Manager/ Remisier/Sub-Broker/Authorised Person, the trading member can charge lesser brokerage that the STANDARD rate above. However, the said concessional is discretionary and may be withdrawn by the trading member on non satisfactory conduct of account.

Policy d. imposition of penalty/delayed payment charges by either party, specifying the rate and the period not resulting in funding by the broker in contravention of the applicable laws



BBPL does not charge any interest to the clients unless under the "Margin Trading" facility. However, the following costs shall be borne by the client and will be recovered by the BBPL from the clients:

1. Twice the amount of any penalty/ fees/ fines/ penalties / other charges levied by any Exchange/ Clearing House/ Clearing Corporation/ SEBI/ any regulator on BBPL due to the acts/ actions/ orders/ trades of the clients
2. Rs.500/- plus charges of the Bank at actual for cases of cheque return
3. Interest to the clients at the rate of one and a half percent per month or part thereof in case of dues of the clients where the matter has been referred to arbitration in case of disputes

The client or a group of clients if they may so desire can place the funds with the Trading Member for the purpose of making FDR with a Bank. The interest earned from such FDRs shall be credited to the account of the client within one month of the receipt of the interest from the Bank/end of the financial year whichever is earlier

Policy e. the right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (Limited to the extent of settlement/margin obligation)

In case the client fails to meet his margin/ settlement obligations on the pay-in day or when they are due, the member shall have the right to sell clients' securities or close clients' positions, without giving notice to the client as permitted in the rules/ regulations/ bye laws/ circulars at the concerned exchanges. The client is expected to at all times monitor the stock exchanges websites for the latest real time prices and keep track of the mark to market losses, if any.

Policy f. shortages in obligations arising out of internal netting of trades

In case of internal positions, the same shall be sent for self auction facility where available. In case where the self auction facility is not available (as is presently not available in NSE), the securities shall be purchased back in the account of the seller who has not delivered and the securities so purchased shall be given to the buyer in the receipt of the same. In case the securities cannot be purchased back for any reason whatsoever, the same shall be closed out at 20% above. Any loss of corporate benefit to the buyer of the securities shall be recovered from the defaulting seller's account

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

The risk management policy of the client is put on the website of the client. Based on the said policy, the member may not allow the client to take further position in the market. Further, the existing position of the client may be closed and the securities of the client lying with the trading member may be sold when:

1. The client fails to meet his commitment for deposit of funds/ securities (including cases of cheque return for any reasons whatsoever attributable to the client)
2. Where the client is unable to provide funds/ securities in a manner that can be transferred to the exchange immediately for pay-in/ margin obligations





3. When the trading member has reasonable grounds to believe that the client is involved in illegal/ unethical activities
4. In case of high market volatility where the current margins of the clients with the Trading Member does not cover the value at risk of the client

Policy h. temporarily suspending or closing a client's account at the client's request

At the written/ verifiable verbal request of the client, the trading account of the client would be put in the suspended mode. The said account would remain in suspended mode till such time the client requests for the reactivation of account. Provided however that the account cannot be closed/ suspended in case the account of the client with the broker is in debit and there are amounts/ securities due from the client to the broker

Policy i. deregistering a client

A client will be deregistered on the following situations:

1. Where the client has defaulted at the trading member
2. When the clients request for the same



Signature of the Client

Place

Date

This policy has been adopted by the trading member as on May 24, 2010 and may have been revised over time. Latest version of the policy is available at the trading members' website www.bcbrokerage.com



LETTER FOR OPERATIONS OF ACCOUNT – ALL EXCHANGES - VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document)

Kindly tick the points acceptable and cross out the point not acceptable

To,

BCB Brokerage Private Limited
1207/A P. J.Towers, Dalal Street, Fort, Mumbai 400 001
Email : bbplmumbai@gmail.com

Sir(s),

Re: Letter for operations of account

For the smooth operations of my/our broking account, kindly note my/our following instructions:

- I/We are aware that as per the SEBI/ Exchange requirements, the settlement of funds/securities shall be done within one working day of the payout. However, I/we request you to kindly keep my account as a running account, which will entail that all securities and funds due to me/us on payout shall be withheld with yourselves and given to me/us only on demand. I/We understand that I/we can revoke this running account authorization at any time, and that you shall transfer the funds / securities lying in our credit within one working day of the request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/ Clearing Corporation/ Clearing House/ Exchanges
- You are requested to kindly accept my/our verbal instructions to place, modify and cancel the orders and other dealings in our broking account
- In the course of business, I/we may deal in various segments (cash, derivatives, currency, interest rate futures, mutual funds, securities lending borrowing, etc) of various exchanges (BSE, NSE, MCX SX, USE) that you are members of or any other Exchange/segment membership that you may take in the future. I/We understand that you are required to keep separate ledgers/ accounts for the separate segments and separate Exchanges. There will be many occasions when I/we shall be in credit in one segment/exchange in not in the other. In such cases, kindly do not refuse my orders placed in the segment/ exchange where I/we do not have sufficient credits and please utilize the credits lying in others segments/ exchanges account maintained with yourselves by passing journal entry, bank entry or any other manner or fashion you may deem fit. I/ we request you to kindly do not insist for specific instructions for the same from me/us and the same is not practical for me/us. I/We confirm that entries so made shall be binding on me/us in all circumstances
- The credits lying in my securities trading accounts with yourself may kindly be utilized against the dues for bills raised for my/our demat accounts maintained with yourselves
- I/We confirm and undertake that I/we will not deal as a sub-broker/ remisier/ authorized person unless with your prior approval. Under no circumstance will I/ we issue bills/ contracts/ confirmation notes to anyone else for trades done through you for which you have issued contracts in my/our name and thus deal as an unregistered intermediary. The trades done by me/ us under our code are for our own account and no other entity





- My/Our funds/securities lying with you whether for margins or any other purpose may be used by you at your discretion for placing with Exchanges/ Clearing Houses and Clearing Corporations/ Banks/ other Financial Institutions for the purpose of availing facilities for my/ our trades/ positions in a manner as permitted by the Exchanges/ SEBI. The above authorization is for my/own trades/ positions and not for any other client.
- I/We am/are aware of and have noted your corporate policy of discouraging physical correspondence in all forms and encouraging digitally communication via email/ website, etc. I/We further confirm that we find handling of physical documents tedious and are comfortable with email communication. Kindly send the documents to us via email as far as possible. In case I/we require any physical documents, I/We shall inform of the same to you
- We hereby give you our express permission to share our details (including trade details) with your associates/ group companies
- The following is the list of authorized signatories to represent us, their authority including but restricted to:
 - placing/ modifying/ cancelling orders on our behalf
 - acknowledging contract notes/ other communication issued by you to me/us
 - communicating changes in our KYC details, etc.
 - confirmation of account, etc.

Name of the signatory	Signature	Relation, if any

 _____ (any other point)

Thank you



(Client Sign)

Place:

Date:

Note: The authorization shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney



DIGITALLY SIGNED CONTRACTS/COMMUNICATIONS - ALL EXCHANGES - VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure smooth communication between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document)

To,

BCB Brokerage Private Limited

1207/A P.J.Towers, Dalal street, Fort, Mumbai 400 001

Email bbplmumbai@gmail.com

Re: Digitally signed contract/communication confirmation

I/We hereby consent for receiving contract notes in an electronic form (ECN) and other digitally signed communication via email on our email ID as provided in the Client Registration Form.

I/We understand that:

- you shall be issuing ECNs and other communications authenticated by means of digital signatures after obtaining digital signature certificate from Certifying Authority under the IT Act, 2000
- all communications sent by you through the e-mail shall be digitally signed, encrypted, non tamperable and shall comply with the provisions of the IT Act, 2000. In case the communication is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable
- You will allot a unique user name and password to enable me/us to access the ECNs posted on the website www.bcbbrokerage.com in a secured way with an option to access the same and save the contract note electronically or take a print out of the same
- I/We have noted that non-receipt of bounced mail notification from our email ID shall amount to delivery of the ECNs/ communication at our e-mail ID
- Wherever the ECNs have not been delivered or has been rejected, you shall send a physical contract note / communication to me/us.
- Any change in the email ID shall be communicated by me/us through a physical letter to yourselves

[Redacted Signature Area]



(Client Sign)

Place:

Date:



SCHEDULE FOR INTERNET BASED TRADING - BSE - VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker and the client. The same are required in order to ensure smooth functioning of internet trading facility offered by the stock broker. The client need not execute this document if he / she does not wish to use that facility. The client has the right to terminate the document, in which eventuality; the stock broker may terminate the special facility)

1. DEFINITIONS:

1.1 For this schedule, unless the context otherwise requires the following words shall have the following meanings:-

- (i) "The Exchange" means the Bombay Stock Exchange Ltd and includes a segment of the Exchange.
- (ii) "Exchange Provisions" means the Rules, Bye-laws, Regulations, Business Requirement, Specifications, handbooks, notices, circulars and resolutions of the Exchange or any segment of the Exchange in force from time to time and includes the Minimum Requirements Handbook for ITORS prescribed by the Exchange, as amended from time to time.
- (iii) "ITORS" means Internet based Trading Through Order Routing System, being a system approved by the Exchange for enabling clients to route their orders to their Stock Broker/s over the internet.
- (iv) "ITORS Account Application" means the application submitted by the Client to the Stock Broker to permit the Client to avail of the Stock Broker's ITORS Service.
- (v) "ITORS Service" or "Service" means the service offered by the Stock Broker to its clients through ITORS whereunder the clients can route their orders for purchase, sale and other dealings in securities through the Stock Broker's ITORS System.
- (vi) "Stock Broker's ITORS System" or "Stock Broker's ITORS WebSite" means the web site hosted by the Stock Broker on the internet through which the Stock Broker offers the ITORS Service and includes the hardware and software used for hosting and supporting the WebSite.
- (vii) "Password" means an alphanumeric code used by the Client to validate his/her username and access the Service.
- (viii) "SEBI" means the Securities & Exchange Board of India.
- (ix) "Username" means an alphanumeric login identification used by the Client for accessing the Service.

1.2 In this Agreement, headings are used for convenience and ease of reference only and shall not affect the construction or interpretation of any provision of this Agreement.

1.3 In this Agreement, unless the context otherwise requires, reference to the singular includes a reference to the plural and vice-versa, and reference to any gender includes a reference to all other genders.



- 1.4 In this Agreement, unless the context otherwise requires, references to Recitals and Clauses shall be deemed to be a reference to the recitals and clauses of this Agreement.
- 1.5 References to any enactment are to be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order or other provision made under it.

2. AGREEMENT TO PROVIDE AND AVAIL OF THE ITORS SERVICE:

The Stock Broker agrees to provide the Stock Broker's ITORS Service to the Client, and the Client agrees to avail of the Stock Broker's ITORS Service, on and subject to the terms and conditions of this Agreement, the Exchange Provisions and the terms of the Stock Broker's ITORS Web Site.

3. USER NAME AND PASSWORD:

- 3.1 The Client will be entitled to a username and password, which will enable him to access the Stock Broker's ITORS System for availing of the Service.
- 3.2 The Client is aware that the Stock Broker's ITORS System itself generates the initial password and that the Stock Broker is aware of the same. The Client agrees and undertakes to immediately change his initial password upon receipt thereof. The Client is aware that subsequent passwords are not known or available to the Stock Broker.
- 3.3 The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock Broker's ITORS System using the Client's Username and/or Password whether or not such person was authorised to do so.
- 3.4 The Client shall immediately inform the Stock Broker of any unauthorized use of the Client's Username or Password with full details of such unauthorised use including the date of such unauthorised use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorised use, etc.
- 3.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorised use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on the Stock Broker's ITORS System and unauthorisedly routing orders on behalf of the Client through the System. The Client agrees that he shall be fully liable and responsible for any and all unauthorised use and misuse of his Password and/or Username and also for any and all acts done by any person through the Stock Broker's ITORS System on the Client's Username in any manner whatsoever.
- 3.6 The Client shall log off from the ITORS Service at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall borne solely by the Client.





- 3.7 Without prejudice to the provisions of Clause 3.5, the Client shall immediately notify the Stock Broker in writing with full details if :
- (i) he discovers or suspects unauthorised access through his Username, Password or account,
 - (ii) he notices discrepancies that might be attributable to unauthorised access,
 - (iii) he forgets his password or
 - (iv) he discovers a security flaw in the Stock Broker's ITORS System.
- 3.8 In any of the above events specified in Clause 3.7, the Client shall immediately change his Password. However, if the Client is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request the Stock Broker in writing to discontinue his old Password; and thereupon the Stock Broker shall cause the Stock Broker's ITORS System to discontinue the use of the Client's old Password and the Stock Broker's ITORS System shall generate a new Password for the Client which shall be communicated to the Client. At no point in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the Password.

4. TRANSACTIONS AND SETTLEMENTS:

- 4.1 All orders for purchase, sale or other dealings in securities and other instructions routed through the Stock Broker's ITORS System via the Client's Username shall be deemed to have been given by the Client.
- 4.2 The orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions.
- 4.3 The Stock Broker may from time to time impose and vary limits on the orders which the Client can place through the Stock Broker's ITORS System (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). The Client is aware and agrees that the Stock Broker may need to vary or reduce the limits or impose new limits urgently on the basis of the Stock Broker's risk perception and other factors considered relevant by the Stock Broker, and the Stock Broker may be unable to inform the Client of such variation, reduction or imposition in advance. The Client agrees that the Stock Broker shall not be responsible for such variation, reduction or imposition or the Client's inability to route any order through the Stock Broker's ITORS System on account of any such variation, reduction or imposition of limits. The Client understands and agrees that the Stock Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities through the Stock Broker.
- 4.4 Though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by the Client on the Stock Broker's





ITORS System, the Stock Broker shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.

- 4.5 The Client agrees that the Stock Broker may, at its sole discretion, subject any order placed by a Client to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.
- 4.6 In case of a market order, the Client agrees that he will receive the price at which his order is executed by the exchange's computer system; and such price may be different from the price at which the security is trading when his order is entered into the Stock Broker's ITORS System.

5. MARGIN:

The Client agrees and undertakes to immediately deposit with the Stock Broker such cash, securities or other acceptable security, which the Stock Broker may require as margin. The Client agrees that the Stock Broker shall be entitled to require the Client to deposit with the Stock Broker a higher margin than that prescribed by the Exchange. The Stock Broker shall also be entitled to require the Client to keep permanently with the Stock Broker a margin of a value specified by the Stock Broker so long as the Client desires to avail of the Stock Broker's ITORS Service.

6. CANCELLATION REQUESTS

- 6.1 When the Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the Client's request for cancellation is received and the order is successfully cancelled before it is executed.
- 6.2 The Client shall not be entitled to presume an order as having been executed or canceled until a confirmation from the Stock Broker is received by the Client.
- 6.3 The Exchange may annul a trade suo-moto without giving a reason therefor. In the event of such annulment, the Stock Broker shall be entitled to cancel the relative contract(s) with the Client.

7. BROKERAGE, COMMISSIONS AND FEES

- 7.1 The Client agrees to pay the Stock Broker brokerage, commission, fees, service tax and other taxes and transaction expenses as they exist from time to time and as they apply to the Client's account and transactions, and the services that he receives from the Stock Broker.
- 7.2 A schedule of brokerage, fees and commissions, applicable service and other taxes and other transaction expenses shall be provided by the Stock Broker to the Client from time to time upon request by the Client.

8. CONFIRMATIONS

Online confirmation will be available to the Client upon execution or cancellation of an order placed by him through the Stock Broker's ITORS System. This shall be followed by a confirmation, which may be sent by postal mail, electronic mail or other electronic means. It is the responsibility of the Client to review upon first receipt, whether delivered to him online, by postal mail, by electronic mail, or other electronic means, all confirmations of transactions or cancellations.





9. INVESTMENT ADVICE

- 9.1 The Client acknowledges that the Stock Broker shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.
- 9.2 The Client also acknowledges that the Stock Broker's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Stock Broker or any of its employees.
- 9.3 The Client agrees that in the event of the Stock Broker or any employee or official of the Stock Broker providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Stock Broker shall not be liable or responsible for the same.
- 9.4 The Client assumes full responsibility with respect to his investment decisions and transactions.
- 9.5 The Stock Broker, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

10. SUPPLEMENTAL TO MAIN STOCK BROKER - CLIENT AGREEMENT:

This Agreement is supplemental to, and does not supersede, the Main Stock Broker-Client Agreement. Save and except as modified expressly or by implication by this Agreement the Exchange Provisions or the terms of the Stock Broker's ITORS WebSite, the provisions of the Main Stock Broker- Client Agreement shall apply mutatis mutandis to the extent applicable to dealings between the Stock Broker and the Client pursuant to or otherwise relating to the Stock Broker's ITORS Service.

11. REPRESENTATIONS AND WARRANTIES OF CLIENT

The Client represents and warrants to the Stock Broker that:

- 11.1 All the information provided and statements made in the Client's ITORS Account Application are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and the Client is aware that the Stock Broker has agreed to provide the Stock Broker's ITORS Service to the Client on the basis, inter alia, of the statements made in the Client's ITORS Account Application.
- 11.2 The Client is aware and acknowledges that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and the Stock Broker's ITORS Service may at any time be unavailable without further notice. The Stock Broker and the Exchange do not make any representation or warranty that the Stock Broker's ITORS Service will be available to the Client at all times without any interruption. The Client agrees that he shall not have any claim against the Exchange or the Stock Broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock Broker's ITORS System or Service or the Exchange's service or systems for any reason whatsoever.



- 11.3 The Client has the required legal capacity to, and is authorised to, enter into this Agreement and is capable of performing his obligations and undertakings hereunder.
- 11.4 All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into pursuant to this Agreement with all applicable laws, shall be completed by the Client prior to such transaction being entered into.
- 11.5 The Client shall abide by the Exchange Provisions and the terms of the Stock Broker's ITORS WebSite in force from time to time.
- 11.6 Any instructions given by an authorised representative of the Client to the Stock Broker (or to the Stock Broker's representative) shall be binding on the Client.

12. REPRESENTATIONS AND WARRANTIES OF THE STOCK BROKER:

The Stock Broker represents and warrants to the Client that :-

The Stock Broker's ITORS System has been approved by the Exchange. Where the ITORS system has not been approved by the Exchange, the Stock Broker has applied/ proposes to apply to the Exchange to approve the said ITORS System and the Stock Broker will commence the Stock Broker's ITORS Service only after the Exchange has approved the Stock Broker's ITORS System.

13. MARKET DATA

- 13.1 The Client understands that the Exchange asserts a proprietary interest in all of the market data it furnishes, directly or through the Stock Broker or otherwise. The Client understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market data or any other market information, or any messages disseminated by it. Neither the Stock Broker nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information and, if the Client acts on the basis of the same, he shall do so at his own risk and cost.
- 13.2 The Client shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the Client uses such information he shall do so at his own risk and cost.

14. NOTICES

- 14.1 Any notice or other communication to be given by any party to the other in connection with this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by facsimile transmission or by prepaid registered post or by e-mail to the addressee at the address or (as the case may be), the e-mail or facsimile number (if any), to the Stock Broker at its Registered office at 1207/A P.J.Towers, Dalal Street, fort, Mumbai 400 001 and to the client at the address/email as provided in the Client Registration Form or at such other address, facsimile number or e-mail address as the party to be served may have notified the other in accordance with the provisions of this Clause. Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between the Stock Broker and the Client may be communicated orally.





15. EXTRAORDINARY EVENTS

The Stock Broker and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond the Stock Broker's control.

16. AMENDMENT TO AGREEMENT

The Client understands and agrees that the Stock Broker may discontinue his ITORS Service in part or in its entirety and change the terms of the Service (including the terms on the Stock Broker's ITORS WebSite) at any time and from time to time, without prior notice.

17. TERMINATION OF AGREEMENT:

17.1 The Client agrees that the Stock Broker may at any time terminate this Agreement. The Client is aware and accepts that in view of the nature of the transactions and dealings involved in providing the Service it may not be possible for the Stock Broker to give advance notice of such termination or suspension to the Client.

17.2 The Client may at any time terminate this Agreement by not less than seven days notice to the Stock Broker, provided that unless the Stock Broker otherwise permits, the Client shall not be entitled to terminate this Agreement so long as any amount is payable or securities are deliverable by the Client to the Stock Broker.

17.3 The termination of this Agreement shall not affect any rights or obligations of either party which have accrued prior to the termination or which may arise out of or in connection with acts done or omitted prior to the termination.

17.4 The provisions of Clauses 14, 20 and 21 of this Agreement shall survive the termination of this Agreement.

18. SEVERABILITY

In the event of any provisions of this Agreement being held to be or becoming invalid, unenforceable or illegal for any reason, this Agreement shall remain otherwise in full force apart from the said provision which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.

19. WAIVER

No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of this Agreement shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provision of this Agreement or be considered to be a waiver of any right, unless specifically agreed in writing.

20. LAW AND JURISDICTION

20.1 This Agreement shall be governed by and construed in all respects in accordance with the laws of the Republic of India and, subject to the provisions of Clause 21,







the courts at Mumbai, India shall have jurisdiction over this Agreement and the arbitration proceedings in relation to the Agreement.

20.2 This Agreement and all contracts and transactions between the Stock Broker and the Client pursuant hereto shall be subject to the Exchange Provisions, the Rules, Bye-Laws, Regulations, and other provisions of its clearing house, if any, the provisions of the Securities and Exchange Board of India Act, 1992, the Securities Contracts (Regulation) Act of 1956 and the rules and regulations made thereunder and as amended from time to time.

21. DISPUTE RESOLUTION

Any claim, dispute or difference arising between the Parties hereto in respect of this Agreement or any contracts, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Agreement or the interpretation or construction of this Agreement shall be subject to the grievance redressal procedure of the Exchange and shall be subject to the arbitration procedure as prescribed by the Exchange Provisions.

The client's Signature/ Authorised Signatory	For BCB Brokerage Private Limited
Signed by:  	Signed by:
Title:	Title: Director/ Authorised Signatory
Name of the client	Name of the stock broker: BCB Brokerage Private Limited
Place	Place
Date	Date



ADDITIONAL CLAUSES FOR INTERNET BASED TRADING - USE - VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning of internet trading facility offered by the trading member. The client need not execute this document if he / she does not wish to use that facility. The client as the right to terminate the document, in which eventuality, the trading member may terminate the special facility)

In consideration of the mutual understanding as set forth in this schedule, the parties hereto have agreed to the following terms and conditions

1. Definitions

"IBT" means internet based trading, being a system approved by the Exchange for enabling clients to route their orders to their Member over the internet.

"IBT Service" means the service offered by the Member to its clients through IBT where under the clients can route their orders for purchase, sale and other dealings in securities / contracts on the Exchange through the Members Web Site.

"Password" means alpha, numeric or alphanumeric code used by the client to validate his username and access the IBT Service.

"System" means the system hosted by the Member on the internet through which the IBT Service is offered, the Member's system for accepting orders over the telephone and also includes any other system offered by the Member for accepting orders from a client and performing any part of the Service.

"Member's Site" means the Member's web site at or such other web site as may be hosted by the Member for access through the internet, through which the Member offers the Services.

2. The client will be entitled to a unique User Name, Password and Customer User identification Number or other identification or security code (herein after referred to as 'IBT account'), which will enable the client to access the Member's System or Service through the Member's website.
3. The client acknowledges that he is fully aware of and understands the risk associated with trading through IBT, including the risk of misuse and unauthorized use of the User Name, Password and Customer User identification Number. And being so fully aware he desires to avail of such facility out of his own free will and is agreeable to bear all associated risks and responsibility.
4. The client shall be responsible for keeping the User Name, Password and Customer User identification Number allotted to him confidential and secure. The client shall be wholly accountable for all the trades executed from the IBT account allotted to him.
5. The client shall immediately inform the Member in case he
 - o discovers any flaw in the member's IBT security system
 - o discovers or suspects unauthorized access through his IBT account
 - o notices any discrepancies in use of IBT account allotted.







- o he does not, on the same day as the receipt or execution of an order by the member, receive a message from the member indicating that the order has been received or executed; he does not receive an accurate written confirmation of an execution; or receives confirmation of an order and/or execution which he did not place; or receives inaccurate information about his account balances or positions taken or transaction history along with all the particulars including the date, manner of use, the transactions effected, etc.
6. In any of the above events, the Member will allot new user name, password or User identification Number or other identification or security code to the client to secure the authenticity of the orders placed by the client through his IBT account on the Member's web site.
 7. The client shall log off from his IBT account when he completes a session. The client will be solely liable for the consequences of failure to log off his IBT account.
 8. The client agrees and undertakes to immediately deposit with the Member such cash, securities of other acceptable security, which the trading member may require as margin. The Member is entitled to require the client to keep permanently with him a margin of a specified value as long as the client desires to avail the facility of trading through IBT system.
 9. The client acknowledges that an instruction to modify or cancel an order placed on the trading system of the Exchange may not be carried out if -
 - (a) the order was executed before such instruction was received by the Member's IBT System or
 - (b) it was executed within a short time thereafter, which turns out to be insufficient for the Member's IBT System to place a corresponding instruction in the Exchange's trading system prior to its execution
 10. The Member will send an online confirmation to the client on his IBT account upon the execution or cancellation of order placed by the client using the IBT service.
 11. This schedule is supplemental to and does not supersede, the Member Client Agreement. Save and except as modified expressly or by implication by this schedule the Member Client Agreement shall apply to transactions done through IBT system also.
 12. The client acknowledges that all the information provided while applying for IBT facility are true and correct and are not misleading and the client is aware that the Member has agreed to provide the facility of trading through IBT system on the basis of such information.
 13. The client is aware that trading over internet involves many uncertain factors and complex hardware, software systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and it is possible that the Member's service may become unavailable without notice The Member and the Exchange do not make any representation nor warranty that the IBT Service will be available to the client at all times without any interruption. The client agrees that he shall not have any claim against the Exchange and the Member on account of any suspension, interruption, non-availability or malfunctioning of the member's System or Service or the Exchange's service or systems for any reason whatsoever.





14. The Member and the client shall abide by the Exchange requirements and the terms of the IBT service provided by the Member, in force from time to time.
15. The Member will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, natural calamities, accident, power failure, equipment or software malfunction, strikes or other conditions beyond the Member's control.
16. The client agrees that the Member may at any time discontinue this schedule, by giving not less than seven days notice. Provided that in exceptional circumstances the member may terminate this schedule without advance notice to the client. The client may at any time terminate this schedule by not less than seven days notice to the Member, provided that unless the Member otherwise permits, the client shall not be entitled to terminate this schedule so long as any amount is payable by the client to the Member.
17. In the event of any provisions of this schedule being held to be or becoming invalid, unenforceable or illegal or any reason, this schedule shall remain otherwise in full force apart from the said provisions which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.
18. No forbearance, relaxation or inaction by any party at any time to require the performance of that or any other provision of this schedule or be considered to be a waiver of any right, unless specifically agreed in writing.
19. The Member and the client are aware of the provisions of rules, bye-laws and regulations of the Exchange relating to resolution of disputes / differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions
20. All trades, transactions and contracts are subject to the rules, bye-laws and regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the rules, bye-laws and regulations of the Exchange.

The client's Signature/ Authorised Signatory	For BCB Brokerage Private Limited
Signed by:  	Signed by:
Title:	Title: Director/ Authorised Signatory
Name of the client	Name of the stock broker: BCB Brokerage Private Limited
Place	Place
Date	Date



SCHEDULE FOR INTERNET BASED TRADING - NSE - VOLUNTARY



(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning of internet trading facility offered by the trading member. The client need not execute this document if he / she does not wish to use that facility. The client as the right to terminate the document, in which eventuality, the trading member may terminate the special facility)

1. The provisions of this SCHEDULE shall always be subject to Government notifications, any rules, regulations and guidelines issued by SEBI and Stock Exchange rules, regulations and Bye-laws that may be in force from time to time.
2. In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, Trading Member may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result therefrom.
3. The schedule entered into between the Trading Member and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one month written notice. Such cancellation or termination shall not have any effect on transaction executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have same obligations in respect of such transactions.
4. The instructions issued by an authorized representative of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the client.
5. The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party.
6. The CLIENT agrees that the Trading Member shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/ MEMBERS/EXCHANGE end.
7. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, Trading Member shall be entitled to cancel relative contract(s) with CLIENT.
8. The Trading Member shall also send the Order/Trade confirmation slip through E-mail to the CLIENT at his request, within 24 hours (time period as specified by the Client) from the time of execution of order/trade on the NEAT system, as the case may be. The CLIENT agrees that the information sent by Trading Member by E-mail is deemed to be a valid delivery of such information by the MEMBER.
9. The CLIENT is aware that the Trading Member has provided on the web site a facility for reconfirmation of orders, which are larger than that specified by the MEMBER's risk management, by the Trading Member and is also aware that the Trading Member has the discretion to reject the execution of such orders based on his risk perception.





10. The Member and the Client are aware of the provisions of Bye-Laws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
11. All trades, transactions and contracts are subject to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.
12. In case of Internet Trading facility through Dotex International Limited, Dotex International Limited shall, in no event be liable to Trading Member or the CLIENT or to any third party for any loss, damage, loss of profits or for any other consequential damages, however caused and on any theory of liability.



The client's Signature/ Authorised Signatory	For BCB Brokerage Private Limited
Signed by:  	Signed by:
Title:	Title: Director/ Authorised Signatory
Name of the client	Name of the stock broker: BCB Brokerage Private Limited
Place	Place
Date	Date

ADDITIONAL CLAUSE FOR CROSS MARGINING - NSE - VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning of internet trading facility offered by the trading member. The client need not execute this document if he / she does not wish to use that facility. The client as the right to terminate the document, in which eventuality, the trading member may terminate the special facility)

21A. Cross Margining

- a. The Stock Broker agrees to request NSCCL to extend cross margining facility to the Client in the Capital Market Segment subject to the terms and conditions as contained herein and the Client agree to avail the same.
- b. The parties agree to be bound by SEBI Circular No SEBI/DNPD/Cir-44/2008 dated 2nd December, 2008 and Circulars issued by SEBI from time to time with respect to cross margining.
- c. The parties agree to be bound by the Rules, Byelaws, Regulations and Circulars issued from time to time by NSEIL/NSCCL including provisions with respect to cross margining.
- d. The parties agree that cross margin benefit shall be for such positions in one or more trading segments/clearing segments and shall be subject to such terms and conditions as may be prescribed by NSEIL/NSCCL if any from time to time.
- e. In case of default by the Stock Broker arising out of the positions in one or more clearing segments, the Client agrees and understands that NSCCL may utilise the margins or any other monies furnished in any clearing segment by its Clearing Members, who are clearing and settling the transactions pertaining to the Client, in order to meet the obligations arising out of such positions.
- f. In case of default by the Stock Broker arising out of the positions in one or more clearing segments, the Client agrees and understands that the outstanding positions of the Stock Broker in any or all clearing segments may be closed out by NSCCL in accordance with Rules, Byelaws, Regulations and Circulars issued from time to time by NSCCL.
- g. In case where cross margin benefit is to be availed by the Client for transactions executed in Futures and Options Segment, the Client agrees that the Stock Broker shall request the Clearing Member of NSCCL to avail the cross margin benefit for such transactions on behalf of the Client and such cross margin benefit shall also be subject to the terms and conditions mentioned in Clearing Member and Trading Member agreement entered into between the Clearing Member and the Stock Broker through whom transactions are cleared and settled by the Stock Broker in Futures and Options Segment and terms and conditions mentioned hereinabove shall be applicable for cross margining in Futures and Options Segment also.
- h. The parties agree that notwithstanding anything contained in the Client Agreement to the contrary, the parties shall be bound by the above provisions with respect to cross margining.

The client's Signature/ Authorised Signatory	For BCB Brokerage Private Limited
Signed by:  	Signed by:
Title:	Title: Director/ Authorised Signatory
Name of the client	Name of the stock broker: BCB Brokerage Private Limited
Place	Place
Date	Date



ADDITIONAL CLAUSE FOR MUTUAL FUNDS - VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning of internet trading facility offered by the trading member. The client need not execute this document if he / she does not wish to use that facility. The client as the right to terminate the document, in which eventuality, the trading member may terminate the special facility)

Sir,

Sub: BSE STAR MF/ NSE New Mutual Fund Service System (MFSS) facility

I/We am/are/ registered as your client/ applied to be your client and have executed the Trading Member and Client Agreement for the purpose of trading in the Equity Segment of BSE/ NSE

I/We am/are interested in availing the trading facility of BSE/ NSE for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF/ NSE New MFSS.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF/ NSE New MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the BSE Notice dated December 2, 2009/ NSE circular dated November 24, 2009 and as may be specified by BSE/ NSE from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in BSE StAR MF/ NSE New MFSS.

Client Sign

Date

Place

Details of Terms & Conditions for the Investor / Client for using BSE STAR MF/ NSE New MFSS platform

1. Pre-requisites for becoming Investor / Client for the BSE STAR MF/ NSE New MFSS platform
 - 1.1. The client who is desirous of investing in units of mutual fund schemes through the BSE STAR MF/ NSE New MFSS

- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the broker who is a Participant/ Mutual fund Intermediary (MFI) of the BSE STAR MF platform/ NSE New MFSS
- 1.3. The client has satisfied itself of the capacity of the Participant/ MFI to deal in Mutual Fund units and wishes to execute its instruction through the PARTICIPANT/ MFI and the client shall from time to time continue to satisfy itself of such capability of the PARTICIPANT/ MFI before executing transacting through the PARTICIPANT/ MFI.
- 1.4. The Client has approached to the PARTICIPANT/ MFI with the application for availing the BSE STAR MF/ NSE NEW MFSS platform.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the PARTICIPANT/ MFI

2. Terms and Conditions

- 2.1. The client shall be bound by circulars issued by NSE/ BSE's Rules, Regulations and Notices/circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the PARTICIPANT/ MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the PARTICIPANT/ MFI at the time of registering as a client for participating in the BSE STAR MF/ NSE NEW MFSS platform or at any time thereafter.
- 2.3. The client shall submit to the PARTICIPANT/ MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the PARTICIPANT/ MFI.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of the BSE, SEBI and AMFI.
- 2.7. The Client shall pay to the PARTICIPANT/ MFI fees 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 PARTICIPANT/ MFI renders to the Client.
- 2.8. The client will furnish information to the PARTICIPANT/ MFI 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.
- 2.9. In the event of non-performance of the obligation by the PARTICIPANT/ MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL) or from any fund of NSEIL or NSCCL
- 2.10. In case of any dispute between the PARTICIPANT/ MFIs and the investors arising out of the BSE STAR MF/ NSE NEW MFSS platform, BSE and / or ICCL and/or NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.



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Agreement between a participant and a person seeking to open a beneficial owner's account

This Agreement made and entered into at _____ this _____ day
of _____ between **BCB Brokerage Pvt. Ltd.** having his office at 1207-A,
P.J. Towers, Dalal Street, Mumbai 400 001. hereinafter called "**the Participant**" of the One
Part; AND _____
_____ (description of the legal
entity) having his/its office/registered office/address at _____
_____ hereinafter
called "**the Beneficial Owner**" of the Other Part.

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded hereinbelow:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS :

General Clause

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

Fees, Charges and deposits

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid ¹[not exceeding 18%] per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

Statement of Account

- 3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter [The statement of accounts to be provided to the Beneficial Owner under this agreement shall be in the form specified in operating instructions or as communicated by CDSL from time to time]. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.





- 3.2 It is agreed that if a participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the participant than the participant will furnish to the Beneficial Owner the statement of accounts under its digital signature as governed under the Information Technology Act 2000 provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the participant shall be obliged to provide a physical copy thereof to the BO.
- 3.3 It is agreed and understood between the parties that if the participant does not have the facility of providing the statement of account in the electronic mode than the participant shall be obliged to forward the statement of account only in physical form.

Beneficial Owner shall intimate change of particulars

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

Depository not liable for claims against Beneficial Owner

5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

Authorised Representative

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Closure of Account

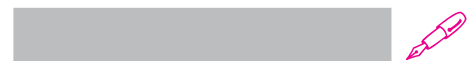
7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

Stamp Duty

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal





conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

10. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posting. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

Arbitration

11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

Jurisdiction

12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Mumbai.

Governing Law

13. The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/seals to this Agreement in duplicate on the day, month year and place first hereinabove mentioned.



SIGNED AND DELIVERED)
by the withinnamed the Beneficial Owner)
_____)
_____)
_____)
in the presence of _____)
_____)

SIGNED AND DELIVERED)
by the withinnamed the)
Participant BCB BROKERAGE PVT. LTD.)
by the hands of its authorised)
representative _____)
in the presence of _____)
_____)



BCB BROKERAGE PRIVATE LIMITED

CDSL DP IDS 12010400

SCHEDULE OF CHARGES W.E.F. 1-1-2008

Statutory Charges at the time of Account Opening	Stamp Duty at actuals
Refundable Deposit	Rs. 1,000/-
Account Maintenance	Rs. 300/- p.a.
Demat	Rs. 5/- per certificate (min. Rs. 30/-)
Remat	0.03% (min. Rs. 100/-)
Debit Transaction to empanelled Clearing Member* Pool accounts transferred for pay-in obligations using POA of DP/CM	0.01% (min. Rs. 10/-)*
Debit Transaction through internet using CDSL Easiest facility	0.01% (min. Rs. 10/-)*
Debit transactions using physical instruction slips where target account is with DP BCB Brokerage Private Limited or DP Ratnakar Securities Private Limited	0.02% (min. Rs. 20/-)*
All other debit transactions using physical instruction slips	0.05% (min. Rs. 100/-)
All Pledge Transactions	0.03% (min. Rs. 50/-)
Lost DIS charges	Rs. 20/- per DIS slip (max Rs. 200/- per booklet)

*CDSL charges extra

Notes :

1. The Empanelled Clearing Members are 1. M/s. BCB Brokerage Private Limited, member BSE, 2. M/s. Ratnakar Securities Private Limited, member NSE and 3. M/s. Dilip C. Bagri, member BSE
2. Any activity not mentioned above will be charged extra.



Sign - Joint Holder 1



Joint Holder 2



Joint Holder 3

Annexure 2.4

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

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

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

Availability:

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





number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

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



9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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



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

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

BOID

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+91																	
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

--	--	--	--	--	--

Signatures Sole / First Holder Second holder Third Holder

Place :

Date :




POWER OF ATTORNEY (VOLUNTARY)

TO ALL TO WHOM THESE PRESENTS SHALL COME I/We _____ 

_____ (names of the BO)

SEND GREETINGS.

Whereas I/we hold a Beneficiary account no. 12010400_____ (BO-ID) with  Central Depository Services (India) Limited through Depository Participant BCB Brokerage Private Limited bearing DP-IDs 12010400 to 12010407 and am/are client/ investor/ trader engaged in buying, selling and dealing in securities through the said BCB Brokerage Private Limited who are stock brokers/ trading members of the Stock Exchanges and are registered with the Securities and Exchange Board of India

AND whereas I am desirous that the securities I/we may deal with be routed as far as possible through my/our aforesaid beneficiary account

AND whereas as a part of the risk management practices of BCB Brokerage Private Limited,

1. Securities purchased by me/ any one of us may not transferred to my/our aforesaid beneficiary account unless full purchased considerations paid by me/any one of us is received by BCB Brokerage Private Limited and the instruments for payment are confirmed as honoured by the bankers of BCB Brokerage Private Limited
2. Orders for securities placed by me/ any of us may not be accepted by BCB Brokerage Private Limited if sufficient margins are not placed by me/us with BCB Brokerage Private Limited
3. BCB Brokerage Private Limited does not accept blank signed delivery instructions slips for my/our aforesaid beneficiary account

AND whereas I am/ we are therefore required to actively manage the aforesaid beneficiary account

And Whereas due to exigency and paucity of time and for other reasons and for operational and administrative convenience, I/we am/are hereby jointly/severally nominate, constitute and appoint an agent/attorney to operate the aforesaid beneficiary account on my/any of our behalf for the purposes in the manner hereinafter appearing

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/WE THE ABOVENAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT the said BCB Brokerage Private Limited as my/our true and lawful attorney for me/us and on my/any of our behalf and in my/our name to

- i. Transfer securities from the aforesaid beneficiary account towards stock exchange related margin / delivery obligations arising out of trades executed by the me/any one of us on any segment of any stock exchange through BCB Brokerage Private Limited
- ii. Pledge the securities of the aforesaid beneficiary account in favour of BCB Brokerage Private Limited for the limited purpose of meeting my/any of our our margin requirements
- iii. Apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to my/any of our instructions (including verbal instructions) from the aforesaid beneficiary account





Our above authority to transfer/pledge is restricted to the following accounts of BCB Brokerage Private Limited. The updated list of which is displayed on the website of BCB Brokerage Private Limited www.bcbbrokerage.com and the latest extract of which is annexed to this Power of Attorney.

1. Pool/ principal accounts of BCB Brokerage Private Limited with CDSL/ NSDL as intimated to the Stock Exchanges from time to time
2. Client margin/ Client beneficiary accounts of BCB Brokerage Private Limited with CDSL/ NSDL
3. Accounts of the Stock Exchanges / Clearing House/ Clearing Corporation of the Stock Exchanges




I/We further authorize BCB Brokerage Private Limited to modify/update the list of accounts mentioned in the Annexure from time to time

I/We further authorize BCB Brokerage Private Limited to return the securities that may have been received by it erroneously and/or which BCB Brokerage Private Limited was not entitled to receive

I/We further authorize BCB Brokerage Private Limited to send consolidated summary of scrip-wise buy and sell positions taken with average rates to me/ any one of us by way of SMS / email on a daily basis, notwithstanding any other document to be disseminated as specified by Securities and Exchange Board of India (SEBI) from time to time.

I/We ratify the instructions given by BCB Brokerage Pvt. Ltd. in the manner specified herein.

This Power can be revoked by serving notice on BCB Brokerage Private Limited by Registered Post AD at the registered office of BCB Brokerage Private Limited at 1207/A P.J.Towers, Dalal Street, Fort, Mumbai 400 001.

(Signed, sealed and delivered By the within named beneficial Owner/s)	For HUF (Name of Co-parceners)	Signature of Co-parceners
BO1 	1.	
BO2 	2.	
BO3 	3.	
Place:	4.	
Date:		
In the presence of (Name & Address of Witness)	We Accept For BCB Brokerage Private Limited (Director/Authorised Signatory)	

ANNEXURE – Extract of the list of pool/ principal/ client margin/ client beneficiary accounts of BCB Brokerage Private Limited as displayed on the on website www.bcbbrokerage.com

- | | | |
|----------------------|-----------------------|-----------------------|
| 1. 12010400 00000241 | 6. 12010400 00013761 | 11. 12010401 00013806 |
| 2. 12010400 00000256 | 7. 12010400 00014613 | 12. IN301707 20005500 |
| 3. 12010400 00000640 | 8. 12010400 00014818 | 13. IN301707 20005479 |
| 4. 12010400 00013717 | 9. 12010400 00014968 | 14. IN301707 20000195 |
| 5. 12010400 00013721 | 10. 12010401 00000921 | |



NOMINATION FORM

To,

BCB BROKERAGE PRIVATE LIMITED

1207-A, Phiroze Jeejeebhoy Towers,

Dalal Street, Mumbai - 400 001.

Dear Sir / Madam,

I/We the Sole holder / Joint holders / Guardian (in case of minor) hereby declare that :

- I / We **do not wish to nominate any one for this demat account**
[Strike out what is not applicable] (Signatures of all account holders should be obtained on this form)
- I / We **nominate** the following person who is entitled to receive security balances lying in my / our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint holders.

BO ACCOUNT DETAILS

DP ID	1	2	0	1	0	4	0	0	Client ID	0	0	0						
Name of Sole / First Holder																		
Name of Second Joint Holder																		
Name of Third Joint Holder																		

NOMINEE DETAILS

First Name																		
Middle Name																		
Last Name																		
Address																		
City											State							
Country											PIN							
Telephone						Fax						Mobile						
Email ID																		
Relationship with BO (if any)																		
Date of Birth (DD MM YYYY) (If nominee is a minor)																		





As the nominee is a minor as on date, I/We appoint the following person at act as **Guardian** :




First Name			
Middle Name			
Last Name			
Address			
City		State	
Country		PIN	
Age			

to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders.

This nomination is in accordance with the **Section 109A of the Companies Act, 1956** and shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Place : _____

Date : _____

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note : Two witnesses shall attest signature(s) / Thumb impression(s).

Details of the Witness

	First Witness	Second Witness
Name of the Witness		
Address of Witness		
Signature of Witness		

(To be filled by BBPL)

Nomination **FORM** accepted and registered vide Registration No. _____

dated _____

For BCB Brokerage Private Limited
(Authorised Signatory)



SPECIMEN SIGNATURE CARD

DP ID	1	2	0	1	0	4	0	0	Client ID	0	0	0						
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--	--

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Specimen Signatures			

(Please tear here)

Acknowledgement Receipt for Account Opening Form (To be filled and given by BBPL)

Application No.		Date			
-----------------	--	------	--	--	--

We hereby acknowledge the receipt of the Account Opening Application Form from :

Name of the Sole / First Holder	
Name of the Second Holder	
Name of the Third Holder	

Depository Participant Seal and Signature

(Please tear here)

ACKNOWLEDGEMENT RECEIPT

Received nomination request form from :

DP ID	1	2	0	1	0	4	0	0	Client ID	0	0	0						
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Name																		
Address																		
Nomination in Favour of																		
No Nomination	<input type="checkbox"/> Does not wish to nominate																	
Registration No.									Registered on (DD MM YYYY)									

Depository Participant Seal and Signature