

**We Do Not Accept
Cash, Third Party
Cheque & DD**

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PART - A (Mandatory)

**We are not engaged in business
of accepting deposits from public.
Additionally we do not give any
assurances about return on capital.**

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PART - 1			
1	Account Opening Form	KYC form - Document captures the basic information about the constituent.	1-6
PART - 2			
1	Account Opening Form	A. Additional KYC Form for opening demat account	7-10
		B. Document captures the additional information about the constituent relevant to trading and Demat account and an instruction/check list.	11-17
2	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and using demat services.	18-22
3	Nomination Form	This Document contains details of the nominee appointed by the client.	23-24
4	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	25-30
5	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	31-34
6	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	35-36
7	Rights and Obligations - CDSL	Documents stating the rights & obligations of depository participants and client for availing depository service through DP.	37-38
8	Member Client Agreement (For Internet Based Client)	This document is the agreement between the broker & client which enables the client to trade through the internet.	39-40
9	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	41-44
10	Annexure-2 - CDSL	Terms & Conditions For Receiving SMS Alerts - CDSL <i>(This document is for receiving SMS alerts for the transactions executed in the demat account directly from the Depository.)</i>	45-47
11	Annexure-3 - CDSL	Electronics Access To Securities Information Registration Form - Beneficial Owner [BO] <i>(This document allows the BO to access their demat account online through CDSL.)</i>	48-51
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First Holder



Second Holder



Third Holder

PART - B (Non - Mandatory)

Sl. No.	Name of the Document	Brief Significance of the Document	Page No.
1	Supplementary Member Client Agent (NSE)	This document is the supplementary agreement between the broker & client which cover additional points not covered in the rights and obligations document.	54-63
2	Running Account Authority Letter	This document allows the client to authorise the broker to run his trading account in a particular way.	64-65
3	Authorisation For Electronic Communication	This document allows the client to receive electronic contract notes & other documents in electronic form.	66-67
4	Authorisation For Electronic Communication - CDSL	Agreement For Transaction Statement And Other Communication Through Internet.	68-69
5	Instruction To Send Password By SMS/Email (Trading)	This document allows the client to receive, trading & web-access passwords by SMS/e-mail.	70
6	Power of Attorney (DP)	This document allows the Depository Participant to execute the payin/payout on behalf of the Beneficial Owner.	71-72
7	An Instruction to send SMS/E-mail by Exchange	Facility of receiving SMS or E-mail alert facility issued by Exchange	73

Name of stock broker / trading member:		THIRANI SECURITIES PVT. LTD.	
SEBI Registration No. and date:		(CM) INB231204539 - 03.06.2004, (F&O) INF231204539 - 30.06.2004 (CDS)INE 231204539-24.11.2011, (DP)IN-DP-CDSL-592-2010 - 09.11.2010	
Registered office address:		Todi Chambers, 4th Floor, 2 Lal Bazar Street, Kolkata - 700 001	
Ph:	+91-033-40053131	Fax:	+91-033-22483724
Website:	www.tseonline.com		
Correspondence office address:		Todi Chambers, 4th Floor, 2 Lal Bazar Street, Kolkata - 700 001	
Ph:	+91-033-40053131	Fax:	+91-033-22483724
Website:	www.tseonline.com		
Compliance officer name :		SANJIB KUMAR DAS	
Ph:	+91-033-40053131	E mail id :	sanjib.das@tseonline.com
CEO name :		SANJIB KUMAR DAS	
Ph:	+91-033-40053131	E mail id :	sanjib.das@tseonline.com
For any grievance/dispute please contact THIRANI SECURITIES PVT. LTD. at the above address or email id- helpdesk@tseonline.com and Phone no. +91-033-40053131. In case not satisfied with the response, please contact NSE at ig_nse@nse.co.in and Phone no. +91-022-26598190			



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First Holder



Second Holder



Third Holder

PART - A
(MANDATORY)

**WE DO NOT ACCEPT CASH,
THIRD PARTY CHEQUE & DD**

T.S.E.C

**WE ARE NOT ENGAGED IN BUSINESS
OF ACCEPTING DEPOSITS FROM
PUBLIC. ADDITIONALLY WE DO NOT
GIVE ANY ASSURANCES ABOUT
RETURN ON CAPITAL.**



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First Holder



Second Holder



Third Holder

**Annexure - 2
KNOW YOUR CLIENT (KYC) APPLICATION FORM**

 4/51
PHOTOGRAPH
(Sole/First Holder)
Please affix your recent passport size photograph and sign across it

PHOTOGRAPH
(Second Holder)
Please affix your recent passport size photograph and sign across it

PHOTOGRAPH
(Third Holder)
Please affix your recent passport size photograph and sign across it

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS (SOLE / FIRST HOLDER)																		
1.	Name of the Applicant:																	
2.	Father's/ Spouse Name:																	
3.	a. Gender:	<input type="checkbox"/> Male	<input type="checkbox"/> Female	b. Marital status:				<input type="checkbox"/> Single	<input type="checkbox"/> Married									
	c. Date of birth:	D	D	M	M	Y	Y	Y	Y									
4.	a. Nationality:	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specified).....																
	b. Status:	<input type="checkbox"/> Resident Individual			<input type="checkbox"/> Non Resident			<input type="checkbox"/> Foreign National										
5.	a. PAN:																	
	b. Aadhaar Number, if any																	
6.	Specify the proof of Identity submitted:																	
B. ADDRESS DETAILS (SOLE / FIRST HOLDER)																		
1.	Address for correspondence:																	
	City/town/village:				Pin Code:				State:			Country:						
2.	Contact Details:	Tel. (Off.)				Tel. (Res.)												
	Mobile No:									Alt. Mobile No:								
	Email ID:																	

Third Holder

Second Holder

First Holder

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First Holder



Second Holder



Third Holder

3.	Specify the proof of address submitted for correspondence address:							
4.	Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant):							
	City/town/village:		Pin Code:		State:		Country:	
5.	Specify the proof of address submitted for permanent address:							

A. IDENTITY DETAILS (SECOND HOLDER)

1.	Name of the Applicant:									
2.	Father's/ Spouse Name:									
3.	a. Gender:	<input type="checkbox"/> Male	<input type="checkbox"/> Female	b. Marital status:	<input type="checkbox"/> Single	<input type="checkbox"/> Married				
	c. Date of birth:	D	D	M	M	Y	Y	Y	Y	
4.	a. Nationality:	<input type="checkbox"/> Indian	<input type="checkbox"/> Other (Please specified).....							
	b. Status:	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident	<input type="checkbox"/> Foreign National						
5.	a. PAN:									
	b. Aadhaar Number, if any									
6.	Specify the proof of Identity submitted:									

B. ADDRESS DETAILS (SECOND HOLDER)

1.	Address for correspondence:							
	City/town/village:		Pin Code:		State:		Country:	



First Holder



Second Holder



Third Holder

2. Contact Details:	Tel. (Off.)		Tel. (Res.)	
Mobile No:			Alt. Mobile No:	
Email ID:				
3. Specify the proof of address submitted for correspondence address:				
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant):				
City/town/village:		Pin Code:	State:	Country:
5. Specify the proof of address submitted for permanent address:				

Third Holder

Second Holder

First Holder

A. IDENTITY DETAILS (THIRD HOLDER)	
1. Name of the Applicant:	
2. Father's/ Spouse Name:	
3. a. Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female b. Marital status: <input type="checkbox"/> Single <input type="checkbox"/> Married
c. Date of birth:	D D M M Y Y Y Y
4. a. Nationality:	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specified).....
b. Status:	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National
5. a. PAN:	
b. Aadhaar Number, if any	
6. Specify the proof of Identity submitted:	



First Holder

Second Holder

Third Holder

B. ADDRESS DETAILS (THIRD HOLDER)

1. Address for correspondence:																															
City/town/village:					Pin Code:				State:			Country:																			
2. Contact Details:	Tel. (Off.)								Tel. (Res.)																						
Mobile No:																Alt. Mobile No:															
Email ID:																															
3. Specify the proof of address submitted for correspondence address:																															
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant):																															
City/town/village:					Pin Code:				State:			Country:																			
5. Specify the proof of address submitted for permanent address:																															

DECLARATION

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



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First Holder



Second Holder



Third Holder

Date: ___ / ___ / _____

FOR OFFICE USE ONLY

- (Originals verified) True copies of documents received
- (Self-Attested) Self Certified Document copies received

For **Thirani Securities Pvt. Ltd.**

Authorised Signatory

Date: ___ / ___ / _____

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Non-Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS																							
1.	Name of the Applicant:																						
2.	Date of incorporation	D	D	M	M	Y	Y	Y	Y														
	Place of incorporation :																						
3.	Date of commencement of business :	D	D	M	M	Y	Y	Y	Y														
4.	a. PAN :																						
	b. Registration No. (e.g. CIN):																						
5.	Status (please tick any one):																						
<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP Others (please specify) _____																							
B. ADDRESS DETAILS																							
1.	Address for correspondence:																						
City/town/village:					Pin Code:						State:				Country:								
2.	Contact Details:	Tel. (Off.)								Fax :													
Mobile No:														Alt. Mobile No:									
Email ID:																							
3.	Specify the proof of address submitted for correspondence address:																						

Signature of the Authorised Signatory



Signature of the Authorised Signatory

4.	Registered Address	
	(if different from above)	

City/town/village:		Pin Code:		State:		Country:	
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5.	Specify the proof of address submitted for Registered Address:
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C. OTHER DETAILS	
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1.	Name, PAN, residential address and photographs of Promoters/Partners/ Karta/Trustees and whole time directors: (Please submit on Letterhead)
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2.	a) DIN of whole time directors :
----	---

	b) Aadhaar number of Promoters/Partners/Karta and :
--	--

DECLARATION We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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 are aware that we may be held liable for it.

 _____

Name & Signature of the Authorised Signatory

Date: ____ / ____ / ____

FOR OFFICE USE ONLY

- (Originals verified) True copies of documents received
- (Self-Attested) Self Certified Document copies received

For Thirani Securities Pvt. Ltd.

Authorised Signatory

Date: ____ / ____ / ____

Signature of the Authorised Signatory

For Individuals**THIRANI SECURITIES PVT. LTD.**

Annexure – 3

Todi Chambers I 4th Floor I 2 Lal Bazar Street I Kolkata - 700 001

SEBI Regn. No. (DP) IN-DP-CDSL-592-2010

CDSL DP ID 12068200

Additional KYC Form for Opening a Demat Account													
Application No.							Date	D	D	M	M	Y	Y
DP Internal Reference No.													
DP ID	1	2	0	6	8	2	0	0	Client ID				
(To be filled by the applicant in BLOCK LETTERS in English)													

I/We request you to open a demat account in my/our name as per following details :-

Holders Details													
Sole/First Holder's Name							PAN						
Second Holder's Name							PAN						
Third Holder's Name							PAN						

Name*												
* 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.												

Type of Account (Please tick whichever is applicable)	
Status	Sub - Status
Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual-Director
	<input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual HUF / AOP
	<input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Others (specify) _____
NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> Nri Non-Repatriable
	<input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter
	<input type="checkbox"/> NRI Depository Receipts <input type="checkbox"/> Other (specify) _____
Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____

Details of Guardian (in case the account holder is minor)													
Guardian's Name													
Relationship with the applicant							PAN						

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No

Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

Bank Details [Dividend Bank Details]										
Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other (specify) _____									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN code				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.

In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

I/We request you to arrange the additional facilities offered by CDSL in compliance with regulations and guidelines :-			
Type of Facilities (Please tick whichever is applicable)			
BSDA Flag	Service Required	– Yes <input type="checkbox"/>	No <input type="checkbox"/>
RCESS Flag	Service Required	– Yes <input type="checkbox"/>	No <input type="checkbox"/>
Pledge Standing Instruction Flag	Service Required	– Yes <input type="checkbox"/>	No <input type="checkbox"/>
Email RTA Download Flag	Service Required	– Yes <input type="checkbox"/>	No <input type="checkbox"/>
Annual Report Flag	Service Required	–	Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both (Physical & Electronic) <input type="checkbox"/>

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures 9/51			

(Signatures should be preferable in black ink).

For Non-Individuals**THIRANI SECURITIES PVT. LTD.**

Todi Chambers | 4th Floor | 2 Lal Bazar Street | Kolkata - 700 001

SEBI Regn. No. (DP) IN-DP-CDSL-592-2010

CDSL DP ID 12068200

Additional KYC Form for Opening a Demat Account																
Application No.								Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																
DP ID	1	2	0	6	8	2	0	0	Client ID							
(To be filled by the applicant in BLOCK LETTERS in English)																

I/We request you to open a demat account in my/our name as per following details :-

Holder's Name								PAN							
Search Name															

Name*														
--------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--

* 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.

Type of Account (Please tick whichever is applicable)																
Status								Sub-Status								
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____								To be filled by the DP								
SEBI Registration No. (If Applicable)								SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If Applicable)								RBI Approval date	D	D	M	M	Y	Y	Y	Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____															

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No				
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly				
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No				

Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No				
---	--	--	--	--	--

Bank Details [Dividend Bank Details]										
Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other (specify) _____									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN code				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.

In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

I/We request you to arrange the additional facilities offered by CDSL in compliance with regulations and guidelines :-	
Type of Facilities (Please tick whichever is applicable)	
BSDA Flag	Service Required – Yes <input type="checkbox"/> No <input type="checkbox"/>
RGESS Flag	Service Required – Yes <input type="checkbox"/> No <input type="checkbox"/>
Pledge Standing Instruction Flag	Service Required – Yes <input type="checkbox"/> No <input type="checkbox"/>
Email RTA Download Flag	Service Required – Yes <input type="checkbox"/> No <input type="checkbox"/>
Annual Report Flag	Service Required – Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both (Physical & Electronic) <input type="checkbox"/>

I/We have read the DP-BO agreement including the schedules thereto and the terms and conditions and agree to abide by the be bound by the same and by the Bye Laws as are in force form 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 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.

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

(In case of more authorised signatories, please add annexure)













(Signatures should be preferable in black ink).

TRADING AND DEMAT ACCOUNT RELATED DETAILS

For Individuals & Non-individuals

A. BANK ACCOUNT(S) DETAILS					
Bank Name	Branch address	Bank account no.	Account Type:	MICR Number	IFS code

B. DEPOSITORY ACCOUNT(S) DETAILS				
Depository Participant Name	Depository Name	Beneficiary name	DP ID	Beneficiary ID (BO ID)
Thirani Securities Pvt. Ltd.	CDSL		12068200	

C. TRADING PREFERENCES						
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.						
Exchanges	Segments					
<table border="1"> <tr> <td rowspan="2">NSE</td> <td>Cash  <input type="checkbox"/></td> <td>Currency Derivative  <input type="checkbox"/></td> </tr> <tr> <td>F&O  <input type="checkbox"/></td> <td><input type="checkbox"/>  <input type="checkbox"/></td> </tr> </table>	NSE	Cash  <input type="checkbox"/>	Currency Derivative  <input type="checkbox"/>	F&O  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>	
NSE		Cash  <input type="checkbox"/>	Currency Derivative  <input type="checkbox"/>			
	F&O  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>				

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter is required

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

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS	
If client is dealing through the sub-broker, provide the following details:	
Sub-broker's Name:	
SEBI Registration number:	

Registered office address:			
Phone		Fax:	
Website:			
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)			
Name of stock broker:			
Name of Sub-Broker, if any:			
Client Code:			
Exchange:			
Details of disputes/dues pending from/to such stock broker/sub- broker:			

F. OTHER DETAILS

SOLE / FIRST HOLDER

1. Gross Annual Income Details (please specify): Income Range per annum:

Below Rs.	<input type="checkbox"/> 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lac	<input type="checkbox"/> 10-25 Lac	<input type="checkbox"/> >25 Lacs
-----------	--------------------------------	----------------------------------	-----------------------------------	------------------------------------	-----------------------------------

OR

Net-worth		as on (date)	D	D	M	M	Y	Y	Y	Y	(Net worth should not be older than 1 year)
------------------	--	---------------------	---	---	---	---	---	---	---	---	---

2. Occupation (please tick any one and give brief details):
--

<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Business	<input type="checkbox"/> Professional
---	--	---	-----------------------------------	---------------------------------------

<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student	Others_____
--	----------------------------------	------------------------------------	----------------------------------	-------------

Brief details :

3. Please tick, if applicable:

<input type="checkbox"/> Politically Exposed Person (PEP)	<input type="checkbox"/> Related to a Politically Exposed Person (PEP)
---	--

4. Any other information:

SECOND HOLDER

1. Gross Annual Income Details (please specify): Income Range per annum:												
Below Rs.	<input type="checkbox"/> 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lac	<input type="checkbox"/> 10-25 Lac	<input type="checkbox"/> >25 Lacs							
OR												
Net-worth		as on (date)	D	D	M	M	Y	Y	Y	Y	(Net worth should not be older than 1 year)	
2. Occupation (please tick any one and give brief details):												
<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Service			<input type="checkbox"/> Business			<input type="checkbox"/> Professional				
<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife		<input type="checkbox"/> Student		Others _____						
Brief details :												
3. Please tick, if applicable:												
<input type="checkbox"/> Politically Exposed Person (PEP)						<input type="checkbox"/> Related to a Politically Exposed Person (PEP)						
4. Any other information:												

THIRD HOLDER

1. Gross Annual Income Details (please specify): Income Range per annum:												
Below Rs.	<input type="checkbox"/> 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lac	<input type="checkbox"/> 10-25 Lac	<input type="checkbox"/> >25 Lacs							
OR												
Net-worth		as on (date)	D	D	M	M	Y	Y	Y	Y	(Net worth should not be older than 1 year)	
2. Occupation (please tick any one and give brief details):												
<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Service			<input type="checkbox"/> Business			<input type="checkbox"/> Professional				
<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife		<input type="checkbox"/> Student		Others _____						
Brief details :												
3. Please tick, if applicable:												
<input type="checkbox"/> Politically Exposed Person (PEP)						<input type="checkbox"/> Related to a Politically Exposed Person (PEP)						
4. Any other information:												

Non-Individual												
1.	Gross Annual Income Details (please specify): Income Range per annum:											
	Below Rs.	<input type="checkbox"/> 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lac	<input type="checkbox"/> 10-25 Lac	<input type="checkbox"/> >25 Lacs						
2.	Net-worth		As on (date)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	(Net worth should not be older than 1 year)
3.	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/ Trustees/whole time directors:											
	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)											
4.	Any other information:											

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

H. INTRODUCER DETAILS (optional)	
Name of the Introducer:	(Surname) (Name) (Middle Name)
Status of the Introducer:	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person
	<input type="checkbox"/> Existing Client <input type="checkbox"/> Employee <input type="checkbox"/> Others, please specify.....
Address of the Introducer:	
Phone No. of the Introducer:	
Signature of the Introducer:	
PAN/MAPIN UID No. of introducer, if any	

I.	NOMINATION DETAILS (for individuals only)
-----------	--

I/We wish to nominate or I/We do not wish to nominate

Name of the Nominee:																					
Relationship with the Nominee:																					
PAN of Nominee:	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>																				
DOB of Nominee:																					
Address of the Nominee:																					
Phone No. of the Nominee:																					

If Nominee is a minor, details of guardian:

Name :	
Address :	
Phone No. :	
Signature	

WITNESSES (Only applicable in case the account holder has made nomination)

Name		Name	
Signature		Signature	
Address		Address	

J.	Do you wish to receive dividend / interest directly in to your bank account given through ECS?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	I/We authorized you to receive each & every credits in my / our account without any instruction from me/us (Automatic Credit)	<input type="checkbox"/> YES <input type="checkbox"/> NO

K. ADDITIONAL DETAILS (FOR CDSL)

SMS Facility 		Mobile No.	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; text-align: center;">+</td> <td style="width: 20px; text-align: center;">9</td> <td style="width: 20px; text-align: center;">1</td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> </tr> </table>	+	9	1																			
+	9	1																							
	<input type="checkbox"/> Yes	Refer to Terms & Conditions given at Annexure - 2 [(Mandatory, if you are giving Power of Attorney (POA)) (If POA is not granted & you do not wish to avail of this facility, cancel this option).										<input type="checkbox"/> No													
	<input type="checkbox"/> Yes	If yes please contact your DP for Details - Annexure-3 [Facility through CDSL's website : www.cdslidia.com wherein a BO can view his ISIN balances, transaction and value of the portfolio online]										<input type="checkbox"/> No													

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I/We confirm that First Holder is the sole signatory or authorised to operate the Trading Account.
5. I/We have read and understood Schedule of Charges and agree that my/our opening of the Thirani Securities Trading and Beneficiary Account is subject to the payment of these charges. I/We agree that the charges as stated herein may be modified/revised and I/We agree to pay the charges including any modification / revision thereto from time to time.
6. I/We hereby agree to provide details to the Stock Broker from time to time to comply with the guidelines of Prevention of Money Laundering Act. I/We hereby confirm that I/We am/our the Beneficial Owner of the Trading / Demat Account opened with Thirani Securities Pvt. Ltd.
7. I/We hereby authorise Thirani Securities Pvt. Ltd., to debit all the Demat Account related charges to my/our Thirani Securities Trading Account.



First Holder



Second Holder



Third Holder

Place : KOLKATA

Date: ___/___/_____

Clearing Members Details (For office use only)

Future & Option Segment

Name of Stock Exchange	NSE
Name of CC / CH	ICICI Bank Ltd. Securities Market Services, 414, Senapati Bapat Marg, Mumbai 400013
Trading ID	12045
Clearing Member ID	SEBI Regn. No. INF 231134745

Currency Derivatives Segment

Name of Stock Exchange	NSE
Name of CC / CH	ICICI Bank Ltd. Securities Market Services, 414, Senapati Bapat Marg, Mumbai 400013
Trading ID	12045
Clearing Member ID	SEBI Regn. No. INE 231308631

FOR OFFICE USE ONLY

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

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

For **Thirani Securities Pvt. Ltd.**

Authorised Signatory

Date: ___/___/_____

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in futures & options segment and currency derivatives segments - illustrative list:

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**THIRANI SECURITIES PVT. LTD.**

Todi Chambers | 4th Floor
 2 Lal Bazar Street | Kolkata - 700 001
 SEBI Regn. No. (CM) INB231204539
 SEBI Regn. No. (F&O) INF231204539
 SEBI Regn. No. (CDS) INE 231204539
 SEBI Regn. No. (DP) IN-DP-CDSL-592-2010
 CDSL DP ID 12068200

CHARGE STRUCTURE FOR TRADING ACCOUNT**I) APPLICABLE BROKERAGE RATE :**

BROKERAGE SLAB (Subject to Change on 15 days advance Notice)

CASH SEGMENT

Brokerage Slab	Slab %	Minimum Paise	One Side/Both side
Delivery Based	0.50	5	Both side
Daily Square up	0.10	5	Both side

FUTURES & OPTIONS SEGMENT / CURRENCY DERIVATIVES SEGMENT

Brokerage Slab	Slab %	Minimum	One Side/Both side
Future	0.10 / 0.05	5 paise/Share	Both side
Option	1% of premium	Rs. 100/Lot / Rs.25/- Lot	Both side

Or As Stated Below (Subject to Fullfilment of Conditions Discussed During Account Opening)

BROKERAGE SLAB (Subject to Change on 15 days advance Notice)

CASH SEGMENT

Brokerage Slab	Slab %	Minimum	One Side/Both side
Delivery Based			
Daily Square up			

FUTURES & OPTIONS SEGMENT / CURRENCY DERIVATIVES SEGMENT

Brokerage Slab	Slab %	Minimum	One Side/Both side
Future	/	/	/
Option	/	/	/

In addition to above statutory levies will be also be recovered from you which will reflect in your contract note.

Other Charges :

Account Opening Fees :	Rs. 500/- Plus Serice Tax & other statutory levies
Account Closure Fees :	Rs. 500/- Plus Serice Tax & other statutory levies
Late Payment Charge :	2.5% Per Month chargeable on a daily basis
Penalty for Cheque Bounce :	Rs. 500/-
Minimum Balance to be maintained :	Rs. 10000/-
KRA Charges :	At actual



14/51
 First Holder
 For Thirani Securities Pvt. Ltd.



Second Holder



Third Holder

Authorised Signatory



THIRANI SECURITIES PVT. LTD

Todi chambers | 2 Lal Bazar Street | Kolkata -700001

Phone: 033-40053131 | Fax: 033- 22483724

Website: www.tseconline.com | E-mail: helpdesk@tseconline.com

CDSL DP ID. 12068200 | SEBI Regn. No. : IN -DP-CDSL-592-2010



We agree to pay the charge as per following structure for our Demat account with Thirani Securities Pvt. Ltd. Effective from / /20 .

NAME:												
DP ID.	1	2	0	6	8	2	0	0	BO.ID			

CHARGE STRUCTURE FOR BENEFICIARY ACCOUNT(INDIVIDUAL)			
For Client having POA in favour of Thirani Securities Pvt. Ltd.			
	Scheme - 1	Scheme - 2	Scheme - 3
Stamp Paper Charges	Actual	Actual	Actual
Annual Maintenance Charges	Nil	Rs.200/- (Payable on quarterly basis)	Rs.600/- (Payable on quarterly basis)
Transaction Charges buy Incoming (Cr.)	Nil	Nil	Nil
Transaction Charges sell outgoing (Dr.)	Rs. 20/- per ISIN plus depository charges at actual.	Rs. 15/- per ISIN plus depository charges at actual.	Rs. 1/- per ISIN plus depository charges at actual.
Rematerialisation	Rs. 50/-	Rs. 50/-	Rs. 50/-
Dematerialisation	Rs.50/- as courier Charges and Rs. 3/- certificate.	Rs.50/- as courier Charges and Rs. 2/- certificate.	Rs.50/- as courier Charges and Rs. 2/- certificate.
Pledge Creation	Rs. 50/-	Rs. 50/-	Rs. 50/-
Pledge Closure	Rs. 50/-	Rs. 50/-	Rs. 50/-
Pledge Invocation	Rs. 50/-	Rs. 50/-	Rs. 50/-
Book Charges	No Charges for first Book, Rs. 25/- for subsequent book.	No Charges for first Book, Rs. 25/- for subsequent book.	No Charges for first Book, Rs. 25/- for subsequent book.
Failed /Rejection Transactions	Rs. 50/- per transaction	Rs. 50/- per transaction	Rs. 50/- per transaction
Demat Rejection Charges	Rs. 50/- per rejection	Rs. 50/- per rejection	Rs. 50/- per rejection
Non periodic statement request	Rs. 50/- (Rs. 500 for foreign address) per request upto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs. 20/-. Plus courier charges.		

Note:

1. All charges are subject to revision at the discretion of Thirani Securities Pvt. Ltd. after giving a notice of 15 days.
2. A penalty of 24% p.a. on the value outstanding on the bill after 15 days from the due date will be charged.
3. Registration email id is mandatory , Periodical statement to be sent via email.
4. Any service not listed above will be charged extra.

Please place my/our account under Scheme "-----".

Signature of Sold / First Holder

Signature of Second Holder

Signature of Third Holder



THIRANI SECURITIES PVT. LTD

Todi chambers | 2 Lal Bazar Street | Kolkata -700001

Phone: 033-40053131 | Fax: 033- 22483724

Website: www.tseconline.com | E-mail: helpdesk@tseconline.com

CDSL DP ID. 12068200 | SEBI Regn. No. : IN -DP-CDSL-592-2010



We agree to pay the charge as per following structure for our Demat account with Thirani Securities Pvt. Ltd. Effective from / /20 .

NAME:												
DP ID.	1	2	0	6	8	2	0	0	BO.ID			
CHARGE STRUCTURE FOR BENEFICIARY ACCOUNT (INDIVIDUAL)												
For Client having Non POA account.												
Stamp Paper Charges	Actual											
Annual Maintenance Charges	Rs.500 (Payable on quarterly basis)											
Transaction Charges buy Incoming (Cr.)	Nil											
Transaction Charges sell outgoing (Dr.)	Rs. 25/- per ISIN plus depository charges at actual.											
Rematerialisation	Rs. 50/-											
Dematerialisation	Rs.50/- as courier Charges and Rs. 3/- per certificate.											
Pledge Creation	Rs. 50/-											
Pledge Closure	Rs. 50/-											
Pledge Invocation	Rs. 50/-											
Book Charges	No Charges for first Book, Rs. 25/- for subsequent book.											
Failed /Rejection Transactions	Rs. 50/- per transaction											
Demat Rejection Charges	Rs. 50/- per rejection											
Non periodic statement request	Rs. 50/- (Rs. 500 for foreign address) per request upto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs. 20/-. Plus courier charges.											

Note:

1. All charges are subject to revision at the discretion of Thirani Securities Pvt. Ltd. after giving a notice of 15 days.
2. A penalty of 24% p.a. on the value outstanding on the bill after 15 days from the due date will be charged.
3. Registration email id is mandatory , Periodical statement to be sent via email.
4. Any service not listed above will be charged extra.

Signature of Sold / First Holder

Signature of Second Holder

Signature of Third Holder



THIRANI SECURITIES PVT. LTD
 Todi chambers | 2 Lal Bazar Street | Kolkata -700001
 Phone: 033-40053131 | Fax: 033- 22483724
 Website: www.tseconline.com | E-mail: helpdesk@tseconline.com
 CDSL DP ID. 12068200 | SEBI Regn. No. : IN -DP-CDSL-592-2010



We agree to pay the charge as per following structure for our Demat account with Thirani Securities Pvt. Ltd. Effective from _____ / _____ /20_____.

NAME:												
DP ID.	1	2	0	6	8	2	0	0	BO.ID			

CHARGE STRUCTURE FOR BENEFICIARYACCOUNT (NON INDIVIDUAL)			
For Client having POA in favour of Thirani Securities Pvt. Ltd.			
	Scheme - 1	Scheme - 2	Scheme - 3
Stamp Paper Charges	Actual	Actual	Actual
Annual Maintenance Charges	Rs.500/- (Payable on quarterly basis)	Rs.1000/- (Payable on quarterly basis)	Rs.3000/- (Payable on quarterly basis)
Transaction Charges buy Incoming (Cr.)	Nil	Nil	Nil
Transaction Charges sell outgoing (Dr.)	Rs. 20/- per ISIN plus depository charges at actual.	Rs. 15/- per ISIN plus depository charges at actual.	Rs. 1/- per ISIN plus depository charges at actual.
Rematerialisation	Rs. 50/-	Rs. 50/-	Rs. 50/-
Dematerialisation	Rs.50/- as courier Charges and Rs. 3/- certificate.	Rs.50/- as courier Charges and Rs. 2/- certificate.	Rs.50/- as courier Charges and Rs. 2/- certificate.
Pledge Creation	Rs. 50/-	Rs. 50/-	Rs. 50/-
Pledge Closure	Rs. 50/-	Rs. 50/-	Rs. 50/-
Pledge Invocation	Rs. 50/-	Rs. 50/-	Rs. 50/-
Book Charges	No Charges for first Book, Rs. 25/- for subsequent book.	No Charges for first Book, Rs. 25/- for subsequent book.	No Charges for first Book, Rs. 25/- for subsequent book.
Failed /Rejection Transactions	Rs. 50/- per transaction	Rs. 50/- per transaction	Rs. 50/- per transaction
Demat Rejection Charges	Rs. 50/- per rejection	Rs. 50/- per rejection	Rs. 50/- per rejection
Non periodic statement request	Rs. 50/- (Rs. 500 for foreign address) per request upto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs. 20/-. Plus courier charges.		

Note:

1. All charges are subject to revision at the discretion of Thirani Securities Pvt. Ltd. after giving a notice of 15 days.
2. A penalty of 24% p.a. on the value outstanding on the bill after 15 days from the due date will be charged.
3. Registration email id is mandatory , Periodical statement to be sent via email.
4. Any service not listed above will be charged extra.

Please place my/our account under Scheme "-----".

Signature of Sold / First Holder

Signature of Second Holder

Signature of Third Holder



THIRANI SECURITIES PVT. LTD

Todi chambers | 2 Lal Bazar Street | Kolkata -700001

Phone: 033-40053131 | Fax: 033- 22483724

Website: www.tseconline.com | E-mail: helpdesk@tseconline.com

CDSL DP ID. 12068200 | SEBI Regn. No. : IN -DP-CDSL-592-2010



We agree to pay the charge as per following structure for our Demat account with Thirani Securities Pvt. Ltd. Effective from / /20 .

NAME:																		
DP ID.	1	2	0	6	8	2	0	0	BO.ID									
CHARGE STRUCTURE FOR BENEFICIARY ACCOUNT (NONINDIVIDUAL)																		
For Client having Non POA account.																		
Stamp Paper Charges	Actual																	
Annual Maintenance Charges	Rs.5000 (Payable on quarterly basis)																	
Transaction Charges buy Incoming (Cr.)	Nil																	
Transaction Charges sell outgoing (Dr.)	Rs. 25/- per ISIN plus depository charges at actual.																	
Rematerialisation	Rs. 50/-																	
Dematerialisation	Rs.50/- as courier Charges and Rs. 3/- per certificate.																	
Pledge Creation	Rs. 50/-																	
Pledge Closure	Rs. 50/-																	
Pledge Invocation	Rs. 50/-																	
Book Charges	No Charges for first Book, Rs. 25/- for subsequent book.																	
Failed /Rejection Transactions	Rs. 50/- per transaction																	
Demat Rejection Charges	Rs. 50/- per rejection																	
Non periodic statement request	Rs. 50/- (Rs. 500 for foreign address) per request unto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs. 20/-. Plus courier charges.																	

Note:

1. All charges are subject to revision at the discretion of Thirani Securities Pvt. Ltd. after giving a notice of 15 days.
2. A penalty of 24% p.a. on the value outstanding on the bill after 15 days from the due date will be charged.
3. Registration email id is mandatory, Periodical statement to be sent via email.
4. Any service not listed above will be charged extra.

Signature of Sold / First Holder

Signature of Second Holder

Signature of Third Holder

NOMINATION FORM

To,

THIRANI SECURITIES PVT. LTD.

Todi Chambers | 4th Floor
 2 Lal Bazar Street | Kolkata - 700 001
 SEBI Regn. No. (CM) INB231204539
 SEBI Regn. No. (F&O) INF231204539
 SEBI Regn. No. (CDS) INE 231204539
 SEBI Regn. No. (DP) IN-DP-CDSL-592-2010
 CDSL DP ID 12068200

Photograph of
Nominee

Nominee / Guardian
should sign
across photograph

Dear Sir / Madam,

I / We the sole holder / Joint 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	6	8	2	0	0	Client ID						
Name of the Sole / First Holder															
Name of the Second Holder															
Name of the Third Holder															
Nominee Details															
Name															
				(First Name)				(Middle Name)				(Last Name)			
Date of Birth (If nominee is a minor)															
				Date				Month				Year			
Address															
City			State			Country			PIN						
Telephone No. <small>(with STD Code)</small>						Mobile No.									
Fax No.						Relationship with BO (if any)									
E-mail ID															

As the nominee is a minor as on date, I / We appoint following person to act as guardian 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.

Name		(First Name)			(Middle Name)			(Last Name)			
		Address									
City		State		Country		PIN					
Relationship of Guardian with Nominee											

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us

	Sole / First Holder	Second Holder	Third Holder
Name			
Specimen Signature (Please sign in black ink)	 16/51		

Details of Witness [Two witnesses shall attest signature(s) / Thumb Impression(s)]		
	First Witness	Second Witness
Name of Witness		
Address of Witness		
Signature of Witness		

Nomination accepted and registered wide Registration No. dated

Place KOLKATA

Date ____ / ____ / ____

For Thirani Securities Pvt. Ltd.

Authorised Singatory

Annexure – 4
RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS
as prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

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

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete `Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person

was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

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Annexure – 5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock 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 have Stock 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 relationship into which you are entering and the extent of your exposure to risk.

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

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. 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/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order 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 / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

Rumors 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 rumors.

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 / derivatives contract due to any action on account of unusual trading activity or security / derivatives 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 Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / 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 stock broker 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 derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

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

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

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

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

4. GENERAL

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

Annexure-6

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

- b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.



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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the

Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

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

to forward the statement of demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to

freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

MEMBER-CLIENT AGREEMENT

(For Internet Based Trading)

This agreement is made at _____ this _____ day of _____ 20____
between M/S. Thirani Securities Pvt. Ltd. (member of National Stock Exchange of India Ltd. with SEBI Registration No. :INB/INF/INE 231204539), hereinafter called MEMBER and having its registered office at Todi Chambers, 4th Floor, 2, Lal Bazar Street, Kolkata – 700 001 and _____ a individual/ company/ trust/ firm or any other body duly formed and registered under the relevant Act, hereinafter called the CLIENT, having its residence/registered office at _____

Third Holder

WITNESSTH :

Whereas the MEMBER is registered as TRADING MEMBER of National Stock Exchange of India Ltd. With SEBI Registration No. INB/INF/INE 231204539

Whereas the CLIENT is desirous of investing/trading in those securities admitted for dealing on the Exchange as defined in the Bye-Laws of the Exchange.

Whereas the CLIENT has satisfied itself of the capability of the MEMBER to deal in securities and wishes to execute his orders through him and the CLIENT shall continue to satisfy itself of such capability of the MEMBER before executing orders through him.

Whereas the MEMBER has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the CLIENT and investment objectives relevant to the services to be provided.

Whereas the MEMBER has taken steps and shall take steps to make the CLIENT aware of the precise nature of the MEMBER's liability for business to be conducted, any limitations on that liability and the capacity in which it acts.

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 provisions of this agreement 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, 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 there from.
3. The agreement entered into between the 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 authorized representative are not revealed to any third party.
6. The CLIENT agrees that the MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENTS 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, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.
8. The MEMBER shall also send the Order/trade confirmation slip through e-mail to the CLIENT

Second Holder

First Holder

For Thirani Securities Pvt. Ltd.

Authorised Signatory

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First Holder



Second Holder



Third Holder

POLICIES AND PROCEDURES

Stated below are the policies and procedures as followed by TSPL for its clients :

A) REFUSAL OF ORDERS FOR PENNY STOCKS :

Thirani Securities Pvt. Ltd. ("TSPL") normally offers trading facility to its clients in all the compulsorily dematerialised stocks which are listed on the Stock Exchanges. However TSPL discourages / restricts trading in penny stocks by the clients as they are susceptible to manipulation and risky for investors and in turn to TSPL. "Penny Stocks" for this purpose shall include:

- a. Stocks appearing in the list of illiquid securities issued by the Exchanges from time to time.
- b. Stocks which are highly illiquid and have a low market capitalization and 'Z' Group Securities.
- c. Any securities as may be restricted for trading by Exchanges.
- d. Any other securities as may be restricted for trading by TSPL based on its internal evaluation.

As a part of Risk Management System, TSPL restricts clients to buy / sell in penny stocks only on the basis of 100% upfront margin and on delivery basis. Also the trading in penny stocks may be permitted only upto quantity / value together as notified by its extant circulars. Further in case of Internet Trading clients, TSPL may at any time at its sole discretion block / restrict the client's online trading terminal to prevent the client from placing orders in such penny stocks through the Online Trading Platform of TSPL. Further in case the client is able to place an order for penny stocks which are restricted by TSPL through Online Trading Platform or otherwise, TSPL may not accept such order.

TSPL shall not be held liable for restricting / prohibiting trade in penny stocks at any time. Further TSPL shall not be held liable or responsible in any manner whatsoever for any refusal/cancellation of orders for trading in penny stocks/other securities and the Client shall indemnify TSPL in respect of any loss caused to TSPL by virtue of the Client trading in penny stocks.

B) SETTING UP CLIENT'S EXPOSURE LIMITS

As part of risk management, Thirani Securities

Pvt. Ltd. ("TSPL") shall set client's exposure limits depending on the type of securities provided as Margin / available funds in the client's ledger plus Fixed Deposits / Bank Guarantees provided by the client and the client profile/ financial status. Exposure limits are also set based on categories of stocks / position (derivatives) client can trade. Securities that are acceptable as margin and their categorization may be changed by TSPL from time to time at its sole discretion. Further client categorization may also be changed based on various factors including trading pattern of clients, profile / residential status / financial status of client.

TSPL from time to time shall apply such haircuts as may be decided by TSPL on the approved securities against which the Exposure limits are given to the client. TSPL may from time to time change the applicable hair cut or apply a haircut higher than that specified by the Regulators/ Exchanges as part of its Risk Management System.

Subject to the client's exposure limits, client may trade in securities and / or take positions in the futures and options segment. Client shall abide by the exposure limits, if any, set by TSPL or by the Exchange or Clearing Corporation or SEBI from time to time. Limits/Exposure provided shall vary based on the intraday/ delivery / carry forward positions made by the client.

The exposure limits set by TSPL does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to compensate TSPL in the event of TSPL suffering any loss, harm or injury on account of exposure given and/or withdrawn.

In case of sale of Securities, such sale may at the discretion of TSPL be provided only to the extent of the availability of securities in the account of the client (DP free Stock, DP lien/hold marked securities, beneficiary and collateral stock). Further the credit received against sale may be used for exposure as may be decided by TSPL from time to time.

In case of derivatives, Clients shall be allowed to trade only upto the applicable clientwise position limits set by the Exchanges/Regulators from time to time. TSPL may from time to time demand additional margin from the client in the form of



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First Holder



Second Holder



Third Holder

funds or securities if there is a requirement for the same and the client shall be required to provide the same.

C) PENALTY/DELAYED PAYMENT CHARGES

:

The client will be charged delayed payment charges on any amount which is overdue from the client towards trading and/or on account of any other reason to TSPL, @ 2.5% p.m. on the amount of pay-in obligation from the date of pay-in and other outstanding amounts till the same is settled in full. Whereas if the client has given a running account authorisation to TSPL the payment of funds shall be made only at the specific request of the client and wherein no specific request is received from the client TSPL will not pay any interest on the client's credit balance amount as a result of the same. The stock broker may impose fines/penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/ rules/ regulations/ bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/ deals/actions of the client, the same shall be borne by the client.

D) RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENT'S POSITION :

As a part of its Risk Management System, TSPL shall have the sole discretion to square off the open position of the Client and / or sell clients' securities (including securities maintained as margin with TSPL and securities lying in client's beneficiary / demat account) in case the client fails to meet its settlement / margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by TSPL. Further, the square off of client's open position or the selling of securities may be executed on such Exchanges and at such price as may be decided by TSPL. TSPL shall have no obligation of communicating the same to the Client in case the margin falls below 25 %. TSPL shall not be responsible for any losses incurred by the client due to such squaring off of the open position of the client. TSPL reserves the right to square off client's open positions or sell clients' securities under following circumstances:

- a. where the limits given to the Client have been breached;

- b. Where the Client has defaulted on their existing obligation and / or have failed to make payments/deliver securities to TSPL within the stipulated time period as may be prescribed by TSPL.

- c. In addition to above, in case of equity and currency derivatives transactions,

- a. where the margin or security placed by the Client with TSPL falls short of the applicable minimum margin as may be required to be maintained by the client;

- b. where Mark to Market Loss on the open position has reached the stipulated % of the margins placed with TSPL and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss;

- c. if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time.

TSPL reserves the right to square off the open position of client and / or sell client's securities under the prescribed circumstances, however TSPL is not obligated and does not guarantee to square off the open positions and / or sell client's securities. The client shall be solely responsible for the trading decisions taken by the client. It shall be the responsibility of the client to make payments towards outstanding obligations and /or applicable margins to TSPL in time irrespective of whether TSPL exercises its right to square off the positions of the client in accordance with the provisions given herein above.

Client shall be solely responsible for any resultant losses incurred to client due to selling of client's securities by TSPL or squaring off the client's open positions or for not doing so. All losses in this regard shall be borne by the CLIENT and TSPL shall be fully indemnified and held harmless by the CLIENT in this behalf.

The CLIENT accepts to comply with TSPL's requirement of payment of Margin/settlement obligations of the Client, immediately failing which TSPL may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin/lying in the beneficiary account of TSPL or square-off all or some of the outstanding F&O positions of the CLIENT as it deems fit at its sole discretion without further reference to the CLIENT and any resultant or associated losses that may occur due to such square -off/sale shall be borne by the CLIENT and TSPL shall be fully



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First Holder



Second Holder



Third Holder

indemnified and held harmless by the CLIENT in this behalf at all times.

E) SHORTAGES ARISING OUT OF INTERNAL NETTING OF TRADES : In case I/we have made any purchase of securities and the delivery of the same falls short inter-client at the broker level, I/we hereby authorise you to make purchases of the same in the market to make available the delivery of the said securities to me. And the loss on account of the said purchases will be charged to the defaulting client's a/c. However, defaulting client will not be eligible for any profit on account of this. TSPL shall not be responsible for the losses to the client on account of such shortages. All losses to the client on this account shall be borne solely by the client & the client shall indemnify TSPL in this respect.

F) CONDITIONS UNDER WHICH CLIENTS MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR HIS EXISTING POSITION MAY GET CLOSED :

In addition to the conditions as provided under the policy of right to sell securities and close out client's open position TSPL shall have the right to refuse to execute trades/allow the client to take further positions and / or close out the existing positions of client under following circumstances:

- a. As a result of any Regulatory directive / restriction;
- b. Non-receipt of funds / securities and / or bouncing of cheque received from the client towards the obligations/ margin/ ledger balances;
- c. Due to technical reasons;
- d. securities breaching the limits specified by the Exchanges/regulators from time to time
- e. In case of failure to meet margin including mark to market margins by the client;
- f. In case securities to be transacted by client are not in dematerialized form
- g. Any other conditions as may be specified by TSPL from time to time in view of market conditions, regulatory requirements, internal policies etc and risk management system;

h. Due to any force majeure event beyond the control of TSPL, TSPL shall not be responsible for any loss incurred and the client shall indemnify TSPL in this regard.

G) TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST :

TSPL may suspend or close the trading account of the client pursuant to SEBI or any other Regulatory directive for such period as may be prescribed by the respective Regulator. TSPL may further at its sole discretion and with/ without information to the CLIENT, prohibit or restrict or block the CLIENT's access to the use of the web site or related services and the CLIENT's ability to trade due to market conditions and other internal policies including policy with respect to prevention of money laundering.

Client can initiate temporary suspension / closure of its account at any time by giving a request to TSPL in writing 15 days in advance. However, such suspension / closure will be effected subject to clearance of all dues and settlement obligations by the client.

Trades in the account of the client during the period of such temporary suspension shall not be permitted.

Notwithstanding any such suspension / closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure / suspension shall continue to subsist and binding on the client.

In case the account has been temporarily suspended at the request of the client, the account shall be reactivated only on submission of a written request for reactivation by the client.

H) DEREGISTERING A CLIENT :

A client can be de-registered in case he/she has been barred to deal in securities market by SEBI or any other authority or there is some legal action initiated under the law of land by competent authority or any other reason deemed suitable by the broker to de-register the client. The client can also get himself de-registered by submitting an application for the same to the broker.



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First Holder



Second Holder



Third Holder

I) APPLICABLE BROKERAGE RATE :

BROKERAGE SLAB (Subject to Change on 15 days advance Notice)			
CASH SEGMENT			
Brokerage Slab	Slab %	Minimum Paise	One Side/Both side
Delivery Based	0.50	5	Both side
Daily Square up	0.10	5	Both side

FUTURES & OPTIONS SEGMENT / CURRENCY DERIVATIVES SEGMENT			
Brokerage Slab	Slab %	Minimum	One Side/Both side
Future	0.10 / 0.05	5 paise/Share	Both side
Option	1% of premium	Rs. 100/Lot / Rs.25/- Lot	Both side

Or As Stated Below (Subject to Fullfilment of Conditions Discussed During Account Opening)

BROKERAGE SLAB (Subject to Change on 15 days advance Notice)			
CASH SEGMENT			
Brokerage Slab	Slab %	Minimum	One Side/Both side
Delivery Based			
Daily Square up			

FUTURES & OPTIONS SEGMENT / CURRENCY DERIVATIVES SEGMENT			
Brokerage Slab	Slab %	Minimum	One Side/Both side
Future	/	/	/
Option	/	/	/

The above policies and procedures are subject to change / updation by TSPL from time to time. The updated policies and procedures of TSPL shall be posted on the website of TSPL www.tseconline.com Clients are required to refer to the updated policies and procedures and abide by the same.



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First Holder



Second Holder



Third Holder

For Thirani Securities Pvt. Ltd.

Place : KOLKATA

Date : ____/____/____

Authorised Signatory

ANNEXURE-2 : 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 account holders 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 complains@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the

depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

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

Governing Law and Jurisdiction :

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

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.

DP ID	1	2	0	6	8	2	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

Sole/First Holder's Name _____

Second Holder's Name _____

Third Holder's Name _____

Mobile No. on which messages are to be sent

+	9	1															
---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The Mobile Number is registered in the name of _____

E-mail Id : _____
Please write only ONE valid email Id on which communication; If any is to be sent)

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First Holder



Second Holder



Third Holder

In case of joint holding, all joint holders must sign.

Place : KOLKATA

Date : ____ / ____ / ____

**ANNEXURE-3 : ELECTRONIC ACCESS TO SECURITIES INFORMATION
REGISTRATION FORM - BENEFICIAL OWNER (BO)**



Name of the Beneficial Owner(s)															
1.															
2.															
3.															
Beneficial Owner ID	1	2	0	6	8	2	0	0							
Login ID															
DP Name	Thirani Securities Private Limited														
DP ID	1	2	0	6	8	2	0	0							
DP Address	Todi Chambers, 4th Floor, 2 Lal Bazar Street, Kolkata - 700 001														
Login ID															
Email Address of the BO															
Tel. No.															
Mobile No.															

I/We would like to register above mentioned account for the easi service, I/We am/are aware that easi service is available to me/us which only enables me/us to view the security balances lying in the said accounts. I/We hereby agree to the terms and conditions we have read earlier for availing the said service.

Signature(s)

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Sole / First Holder	Second Holder	Third Holder

Place **KOLKATA**

(To be filled up by the DP)

Date ___ / ___ / _____

This is to certify that

1. _____
2. _____
3. _____

are maintaining BO A/c no. _____ with us. We have verified the signatures of the said account holders and they match with the specimen signatures as per our records.

For Thirani Securities Pvt. Ltd.

Place : KOLKATA

Date : ___ / ___ / _____

Authorised Signatory

Part A

1. **Application-** The application for availing of the *easi* service and the registration thereof shall be made in physical form (i.e.. by a hard copy). The acceptance or acknowledgment of receipt of the application by CDSL does not automatically imply acceptance of the application for availing *easi* service. CDSL shall be entitled at its sole discretion to either accept or reject an application. CDSL will from time to time advise about the Internet Software (such as Browser), required for using *easi*. There will be no obligation on CDSL to support all versions of the Internet Software.
2. **Registration Procedure:**
 - a) In order to get registered to *easi* a BO shall provide certain information like BOID, login ID, Email address, Tel Nos. etc. at *easi*.
 - b) The Login ID as entered would be used by BO for accessing *easi*. The login ID would be accepted if the same is not already registered with *easi*.
 - c) After filling up the necessary details at *easi*, BO shall print and sign the Registration Form. The Registration Form should be compulsorily signed by all the account holders, in case of joint accounts.
 - d) The BO shall submit the Registration Form to Depository Participant (DP).
 - e) If details and signatures on the Registration Form are found in order, the login ID of the BO would be activated to access *easi*.
 - f) On activation a password would be generated for the Login ID, the password would be mailed to the Email ID of the BO as mentioned in the BO Registration Form. For the purpose of security it is advised that BO should provide an exclusive Email ID which is accessed by him only. CDSL shall not be responsible for leakage of password in case the Email ID is accessed by person other than the BO.
 - g) On receiving password a BO can avail *easi* service by accessing the internet site <http://www.cdslindia.com>
 - h) A BO is required to enter the login ID and Password.
 - i) If a BO is logging into *easi* for the first time, he/she is required to change the password immediately.
 - j) BO is requested to take following measures in order to make *easi* more secure and safe.
 - ♦ Change the password immediately after first login.
 - ♦ Do not use common/dictionary words for password.
 - ♦ Password should be minimum 8 digits containing alphanumeric characters.
 - ♦ Keep your password confidential, never reveal/share the same with anyone.
 - ♦ Do not write your password anywhere.
 - ♦ While entering the password for accessing *easi* make sure that no one can see the same.
 - ♦ Before moving to the other website logout from *easi*.
 - ♦ After accessing the *easi* immediately delete all files in the folder "C:\Windows\Temporary Internet Files".
 - ♦ BOs are advised to access *easi* from their own PC, as third party PCs may contain software to reveal password.
 - ♦ Change your password at regular intervals.
 - k) If a BO forgets his/her password for *easi*, it can request for a change in the password by following the 'Forgot your Password procedure'. The existing contract would be valid after the Replacement/change of password.



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First Holder



Second Holder



Third Holder

Part B

Terms and Conditions

1. Facilities through **easi** (Electronic Access to Securities Information) provides a BO a facility to enquire about the balances in their Demat Account, details about transactions and other services, which CDSL may decide to provide from time to time in its absolute discretion. The availability / non availability of a particular service shall be advised either through email, web site of CDSL or written communication.
2. **Definition** : In this document, the following words and phrases shall have the meaning set opposite them unless the context indicates otherwise:
 - ◆ CDSL : means Central Depository Services (India) Limited, a company incorporated under the Companies Act, 1956 and registered under the Depositories Act 1996 with Securities and Exchange Board of India.
 - ◆ Beneficial Owner : means an individual/corporate/HUF, etc. who has opened a Demat account with a Depository Participant of CDSL.
 - ◆ **easi** (Electronic Access to Securities information): refers to the trade name of CDSL's Internet Services which enables a BO to enquire about the balances in his/her Demat Account, details about transactions and other services, which CDSL may decide to provide from time to time in its absolute discretion.
 - ◆ Internet: refers to a Global network of inter connected Computers network, each using transmission control protocol / Internet protocol or any combination thereof or such other standard network inter connection protocols as is used to transmit data that is directly or indirectly delivered to a Computer.
 - ◆ Subscriber: means a BO identified and duly registered as a subscriber to the **easi** service.
 - ◆ Personal Information: refers to the information about the Demat Account that is stored on the records of CDSL and may be retrieved in perceivable form.
 - ◆ Terms used but not defined herein shall have the meaning assigned to them in the CDSL Byelaws.
3. **Mailing Address** : All correspondence / delivery by CDSL shall only be made at the address and / or e-mail address as registered with CDSL.
4. **Liability** : CDSL shall not be liable to BO for any transactions occurring through the use of **easi** service and the BO hereby indemnifies and keeps indemnified CDSL against any action, suit, proceeding initiated against it or any loss, cost or damage incurred by it as a result thereof. CDSL shall under no circumstance shall be liable to the BO if the access is not available in the desired manner for reasons including but not limited to natural calamities, legal restraints, faults in the telecommunication network or network failure or any other reason beyond the control of CDSL. Under no circumstance shall CDSL be liable for damages whatsoever whether such damages are direct, indirect, incidental consequential and irrespective whether any claim is based on loss of revenue, interruption of business, or any loss of any nature and whether sustained by the BO or any other person. Illegal or improper use of the **easi** service shall render the BO liable for payment of pecuniary charges (fine) as decided by CDSL and will result in suspension/termination of the access to the **easi** service.
5. **Disclosure of Personal Information** : The BO agrees that CDSL or its agents may hold and process its Personal Information on computer or otherwise in connection with **easi** as well as for statistical analysis. The BO also agrees that CDSL may disclose, in strict confidence, to other institutions, such Personal Information as may be reasonably necessary for reasons inclusive of but not limited to the following:
 - ◆ To the DP where the BO is having his/her demat account
 - ◆ For participation in any telecommunication network
 - ◆ In compliance with a legal directive.
 - ◆ For fraud prevention purposes, etc.
6. **Proprietary Rights** : The BO acknowledges that the software underlying **easi** as well as other Internet related software required for accessing **easi** is the sole copyright of the respective vendors. The permission given by CDSL to access **easi** will not convey any proprietary or ownership rights in the above software. The BO shall not attempt to modify, translate, disassemble, decompile or reverse engineer the software underlying **easi** or create any derivative product based on such software.

7. **Change of Terms and Conditions** : CDSL has the absolute discretion to amend, alter, vary or supplement any of the terms and conditions at any time and will endeavor to give prior notice of fifteen days wherever feasible for such changes. CDSL may introduce new services within *easi* from time to time. The existence and availability of the new services will be notified to the BO as and when they are made available. The changed terms and conditions applicable to the new features in *easi* service shall be communicated to the BO. By using these new services, the BO agrees to be bound by the revised terms and conditions applicable.
8. **Non-Transferability** : The right of avail of *easi* to a BO is not transferable under any circumstance and shall be availed by the registered BO only.
9. **Termination of *easi* Service** : The BO may request for termination of the *easi* service any time by giving a written notice of at least 15 days to CDSL. CDSL may withdraw the *easi* service anytime provided the BO is given reasonable notice under the circumstances. The closure of the BO Pool Accounts of the BO will automatically terminate the *easi* service. CDSL may suspend or terminate *easi* service without prior notice if the BO has breached any of the terms and conditions or CDSL learns of the death, bankruptcy or lack of legal capacity of the BO.
10. **Notices** : CDSL and the BO may give notices in the following manner under these Terms and Conditions:
- ♦ In writing by delivering them by hand or by sending them by post to the last address given by the BO and in the case of CDSL to the address mentioned below:
 Central Depository Services (India) Ltd. (CDSL)
 17th Floor, Phiroze Jeejeebhoy Towers,
 Dalal Street, Mumbai - 400 001.
 - ♦ In addition, CDSL may also publish notices of general nature, which are applicable to all BOs using *easi* on its website. Such notices will have the same effect as if the notice was served individually to each BO.
11. **Governing Law** : These terms and conditions and / or the use of the services provided through *easi* shall be governed by the laws of the Republic of India. The BO and CDSL agree to submit themselves to the exclusive jurisdiction of the Courts located in Mumbai, India as regards any claims or matters arising under these terms and conditions. Any dispute or difference arising between the BO and CDSL shall be settled by mutual consultation / discussion, failing which the same shall be referred to Arbitration. The Arbitration proceedings shall be governed and conducted in accordance with the Indian Arbitration and Conciliation Act, 1996 and that the Arbitration proceedings shall take place in Mumbai. CDSL accepts no liability whatsoever, direct or indirect, for non-compliance with the laws of any country other than the Republic of India. The mere fact that *easi* service can be accessed through Internet by a BO in a country other than India shall not be interpreted to imply that the laws of the said country govern these terms and conditions.
12. **General** : The clause headings in this agreement are only for convenience and do not affect the meaning of the relative clause. The BO shall not assign this agreement to anybody else. CDSL may subcontract and employ agents to carry out any of its obligations under this agreement.
13. **Disclaimer** : All information provided in *easi* is obtained by CDSL from sources believed by CDSL to be accurate and reliable. Because of the possibility of human and technical error as well as other factors, CDSL is not responsible for any errors or omissions. The development of the products and services of CDSL is a continuous process and published information may not be up to date. The formats, update frequency and retention period of the information will be decided at the sole discretion of CDSL. It is important to check the current position with concerned Depository Participant. All information is provided on 'as is' basis without warranty of any kind. CDSL makes no representation and disclaim all express, implied and statutory warranties of any kind to the BO and/or any third party including warranties as to accuracy, timeliness, completeness, merchantability or fitness of the information for any particular purpose. All proprietary rights in the information received shall remain the property of CDSL. Reproduction, redistribution and transmission of any information contained on the web site is strictly prohibited. Access to this web site is in confirmation the BO has understood and accepted these terms and conditions. This service does not in any manner whatsoever undermine, compromise or substitute the provisions of the agreement entered into by the BO with its Depository Participant.



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First Holder



Second Holder



Third Holder

DO'S AND DONT'S FOR DEMAT ACCOUNT

Please go through the following carefully and understand the following :

DO's	DON'T's
<ol style="list-style-type: none"> 1. Scrutinize thoroughly both the transaction and holding statement that you receive. 2. Handle Delivery Instruction Slips (DIS) Book issued to you carefully and always keep Delivery Instruction Slips Book in a safe place. 3. Insist that the DIS numbers are pre-printed and your account number (client id) be pre-stamped. 4. While sending securities for demat, record the distinctive numbers of the securities sent. 5. Check the demat performance of the issuer company with your DP before deciding to send certificates for demat. 6. Always mention the details like ISIN, number of securities accurately. If in doubt, contact DP or your broker. 7. Authorize any corrections, over-writing or cancellations on the instruction slips by signing against the same. 8. Ensure that all joint holders of the demat account sign the slip. 9. If there is space for multiple instructions and it is not used fully, please strike out the blank space for furnishing securities details. 10. Avoid over-writing, cancellations, misspellings, changing of the name and quantity of securities. 11. Please understand the utility of executing Power of Attorney before signing the same. 12. In case you are not transacting frequently make use of the freezing facilities provided for your demat account. 	<ol style="list-style-type: none"> 1. Do not Issue demat delivery instruction slip from any other family members/friends accounts. Issue the DIS only from your own Demat account. 2. Do not sign blank Delivery instruction slip(s) while meeting security payin obligation.

Disclaimer: The information has been compiled to present the Investor with a broad understanding of the subject and is general in nature. The contents do not purport to explain or interpret Acts, Circulars, Rules, Regulations and Guidelines.

This information is not intended as a source of advertising or solicitation and the contents of the same should not be construed as legal advice. Readers should take specific advice from qualified professionals when dealing with specific situations and should not consider this as an invitation for a broker-client relationship.

We make no warranty of any kind with respect to the subject matter included herein. We are not responsible for any actions (or lack thereof) taken as a result of relying on or in any way using information contained herein and in no event shall we be liable for any damage or loss resulting from reliance on or use of this information. Without limiting the above we shall each have no responsibility for any act, error or omission, whether such acts, errors or omissions result from negligence, accident or any other cause.

Place : KOLKATA

Clients Name : _____

Date : ____/____/____



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First Holder



Second Holder



Third Holder

PART – B
(NON-MANDATORY)

SUPPLEMENTARY MEMBER – CLIENT AGREEMENT- NSE

This agreement is made and executed at Kolkata thisday of20 between M/s. THIRANI SECURITIES PVT. LTD., a body corporate, incorporated under the provisions of the companies act, 1956, being a member of The National Stock Exchange of India Limited (hereinafter called "the exchange") with the SEBI registration no. INB 231204539 for cash market and INF 231204539 for derivative segment and INE 231204539 for currency derivative segment and having its registered office at Todi Chambers, 4th Floor, 2 Lal Bazar Street, Kolkata - 700001 (hereinafter called "the stock broker/TSPL") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include itself in the capacity of a trading member while trading in the derivatives segment, as the case may be, of the one part;

And

Mr./Mrs/Ms./M/s
 an Individual/s Sole Proprietary concern/ a Partnership Firm/ a HUF/a Body Corporate or any other legal entity 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") whose particulars are given hereunder at the execution page which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, administrators and legal representatives/ the partners for the time being of the said firm, the survivor or survivors of them, the member or members for the time being of the Hindu Undivided Family (HUF) and their respective heirs, executors, administrators and legal representatives/ its successors, as the case may be, of the other part; Whereas the stock broker is registered as the stock broker of the National Stock Exchange of India Limited (hereinafter referred to as " the

exchange") with the SEBI registration no. INB231204539 for cash segment and SEBI registration no. INF231204539 for derivative segment and SEBI registration no. INE 231204539 for currency derivative segment.

Whereas the client is desirous of investing / trading in those securities / contracts / other instruments admitted for dealings on the exchange as defined in the rules, bye-laws and regulations of the exchange and circulars issued there under from time to time. Whereas the client has satisfied itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stockbroker Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and Whereas the stock broker has taken steps and shall take steps to make the client aware of the precise nature of the stock broker's liability for business to be conducted, including any limitations on that liability and the capacity in which stockbroker acts. Whereas the stock broker and the client agrees to be bound by all the rules, bye-laws and regulations of the exchange and circulars issued thereunder and rules and regulations of SEBI and relevant notifications of the 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 is aware that authentication technologies and strict security measures are required for internet trading through order routed system and undertakes to ensure that the password of the client and/ or his authorized representative are not revealed to any third party.
2. The client agrees that the stockbroker shall not be liable or responsible for non-execution of

Third Holder

Second Holder

First Holder



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For Thirani Securities Pvt. Ltd.

Authorised Signatory



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First Holder



Second Holder



Third Holder

the orders of the client due to any link system failure at the client/stock broker/ exchange end.

3. The client is aware that the stock broker has provided a facility for reconfirmation of orders through trade confirmation calls from its HO and that the client understand that it is the sole responsibility of the client to cross verify the authenticity of trades executed by him and is also aware that the client has the right to reject or disown either part or the entire trades if the same is found by the client to have not been placed by him and that any claim with respect to trades which have been confirmed by the client earlier shall not be accepted and will be regarded to have been executed by the client himself.
4. The client do hereby confirms as having read understood and accepted the detailed terms and conditions relating to Internet trading which have been provided by the stock broker to him/her/it.
5. The Client agrees to the stock broker tape-recording the conversations between client/client's representative and the stock brokers in its absolute discretion, either personally or over the telephone. Such recordings may be relied upon by the stock brokers as and which required and the client agrees not to challenge the evidentiary value of such recordings.
6. The client is aware that the stock broker does Proprietary Trading and the client has no objection to the same.
7. a. The client assures the stock broker that he/she/it is eligible to enter into this agreement under the applicable laws. The client shall continuously monitor his/her/its eligibility to act under this agreement under the applicable laws including but not limited to SEBI Act and Rules & Regulations framed thereunder such as insider trading etc., FEMA and rules & regulations thereunder, Income Tax Act and any other act/law/rules & regulations for the time being in force.
- b. The client is aware that as per the RBI

guidelines the Foreign Institutional Investors (FIIs), Non Resident Indians (NRIs), and Persons of Indian Origin (PIOs) are allowed to invest in the secondary capital markets in India through the portfolio investment schemes (PIS). Under this scheme, FIIs/NRIs can acquire shares/ debentures of Indian companies through the stock exchanges in India. These investments are governed and monitored on daily basis by the Reserve Bank of India (RBI). On reaching the aggregate ceiling limit as fixed by RBI from time to time, the RBI advises all designated bank branches to stop purchases on behalf of their FIIs/NRIs/PIOs clients. The reserve Bank also informs the general public about the 'caution' and the 'stop purchase' in these companies through a press release. The client being an FII/NRI/PIO, hereby acknowledges that he is aware of the RBI guidelines in relation to his investment in the secondary market in India. The client hereby agrees to keep himself abreast of the ceiling limit on investments as published by RBI from time to time and also agrees that he shall immediately reverse his transaction, if such transaction breaches the ceiling limit as imposed by RBI. In case the client does not/is unable to reverse such transaction immediately, the Client authorizes the Member (Stock Broker) to do so under intimation to the client. transaction breaches the ceiling limit as imposed by RBI. In case the client does not/is unable to reverse such transaction immediately, the Client authorizes the Member (Stock Broker) to do so under intimation to the client. as a sub-broker/ intermediary without the prior written permission of the stock broker.

- c. The client shall ensure that he/she/it shall not deal through the stock broker on the stock exchange of which he/she/it is registered as a broker or a sub broker.
- d. The client shall ensure that he/she/it shall not act as a sub-broker / intermediary without



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First Holder



Second Holder



Third Holder

the prior written permission of the stock broker.

- e. In connection with this agreement, as well as all transactions contemplated by this agreement as offered by the stock broker from time to time, the client agrees to execute and deliver/provide such additional documents/information and to perform such additional actions which may be necessary, appropriate or requested to carry out or evidence the transactions in respect of the services availed by the client from time to time.
 - f. The client hereby declares that all information which have been provided, are being provided and which shall be provided by the client to the stock broker or any service provider under this agreement or in relation thereof or as consequences thereof is and shall always be true to the best of information and knowledge of the client.
8. The client agrees to use, such facilities/ arrangement with banks/depository participants for making or receiving payment of funds/ monies and/or securities, as may be prescribed by the stock broker in its absolute discretion including but not limited to online or offline facilities of one or more banks or depositories and client hereby agrees not to hold the stock broker responsible for any losses or damage which may be suffered by the client by use of any such prescribed facilities.
9. The client agrees that display or printout of any transactions taken out form any system/computer at the time of order entry or instructions entry or thereafter, including but not limited to net banking and/or electronic transfer of securities in depository etc., shall not be construed as the official record of the transactions/orders. The stock broker's or service providers' (such as banks) own record of transaction maintained in their own books of accounts or electronic systems shall only be the acceptable records and shall be

conclusive and binding for all purposes. The client agrees that there is without prejudice to the right of the stock broker to rectify any discrepancy /differences which is due to any inadvertent human error etc. At any time without limitation, at the sole and absolute discretion of the stock broker and/or any of the service providers.

- 10. a. The client agrees that it shall be sufficient for the stock broker to communicate/ advise the parameters for the calculation of the margin/ security requirements as rate(s)/ percentage(s) of the dealings, through any one or more means or methods as described under clause 22 and once parameters for margin/security requirements are so communicated, the client shall monitor his/her/its position (dealings/trades and valuation of security) on his/her/its own and provide the required/deficit margin/security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and/or whether or not such communication is received by the client.
- b. The client agrees that he/she/it shall not trade without adequate margin) security and that it shall be his/her/its responsibility to ascertain before hand the margin/ security requirements for is/her/its orders / Trades / deals and to ensure that the required margin/ security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he/she/it shall be responsible for all order (including any order that may be executed without the required margin in the client's account) &/or any clime/



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First Holder



Second Holder



Third Holder

loss/damage arising out of the non availability/shortage of margin/security required by the stock broker for exchange and/or SEBI.

- c. The client agrees that the stock broker may vary the form (i.e., the replacement of the margin/security in one form with the margin/security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin &/or security required to be deposited/ made available, from time to time.
- d. The client agrees that the stock broker prescribes the date and time by which the margin/security is to be made available and the stock broker may refuse to accept any payment in any form after such deadline for margin/security expires.
- e. The client agree that the margin/security deposited by the client with the stock broker are not eligible for any interest.
- e. The client authorizes the stock broker to include/appropriate any/all pay out of funds &/or security towards margin/ security without requiring specific authorizations for each pay out.
- f. In case the payment of the margin/security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.
- g. Where the margin/security is made available by way of securities of any other property, the stock broker is empowered to decline its acceptance s margin/security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.
- h. The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value

and / or kind of securities in respect of which order 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 of the client's inability to route any order though the stock brokers trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of order due to but not limited to the reason of lack of margin/securities or the order being for securities which are not in the permitted list of the stock broker/ exchange(s) SEBI or the order being outside the limits set by stock broker/ exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

- i. The client agrees that the stock broker will have the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open position/ securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage as decided form time to time. The stock broker will have sole discretion to decide referred stipulated margin percentage depending



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Second Holder



Third Holder

upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case short selling position gets converted into delivery due to non square off because of any reason whatsoever the client agrees to provide securities to fulfill the pay in obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

11. a. The client agrees that the stock broker maintains centralised banking and securities handling processes and related banking and depository accounts at designated place. The client agrees to ensure timely availability of funds/ securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non provision/short provision of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortages at the exchange or stock broker level/non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of

auctions/square off/closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

- b. The client agrees that the stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. Any short delivery of securities shall be dealt with as per the policy of the stock broker as current at the time applicable.
12. The client hereby authorizes the stock broker in its absolute discretion to maintain records/books of accounts for the client separately for different exchanges/segments of the exchanges &/or any other service which the client may be availing such as Depository Services etc. It shall be the sole responsibility of the client to ascertain the balance of securities &/or funds in all the accounts separately and the client shall be required to pay/make available necessary monies/funds and/or securities into any one or more such segregated/aggregated account(s) notwithstanding the fact that an aggregation of the accounts may not require from the client either any securities &/or monies/funds and the client hereby agrees not to hold the stock broker responsible for considering shortage of margin/security &/or shortage of pay in obligations in any account, without aggregating/summing such account with other accounts.
13. The client hereby agrees and accepts that notwithstanding anything to the contrary in this agreement or elsewhere, if the client fails to maintain or provide the required margin/security or to meet the funds/securities pay in obligations for the orders/traders/deals of the client within the prescribed time and form, the stock broker



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For Thirani Securities Pvt. Ltd.

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shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- i) To withhold any payout of funds/ securities.
- ii) To with hold/disable the trading/dealing facility to the client.
- iii) To liquidate one or mom security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery/receipt.
- iv) To liquidate/square off partially or fully the position of sale & / or purchase in any one or more securities/contracts to the extent of debit in such manner and at such rate which the stock broker may decide in its absolute discretion.
- v) To take any other steps which in the given circumstances, the stock broker may deem fit. The client agrees that the loss(s) if any, on account of any or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

14. The client hereby agrees and authorizes the stock broker to transfer funds &/or securities from his account for one exchange &/or one segment of the exchange to his/her/its account for another exchange &/or another segment of the same exchange whenever applicable and found necessary by the stock broker. The client also agrees and authorizes the stock broker to treat/adjust his/her/its margin/ security lying in one exchange &/or one segment of the exchange/towards the margin/security/pay in requirements of another exchange &/or another segment of the exchange.

15 . The client agrees that the stock broker may impose fines/penalties for any orders/trades/ deals/actions of the client which are contrary to this agreement/ rules/ regulations/ bye laws of

the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client.

16. The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including the stock exchanges (including any amount due on account of reassessment/ backlogs etc.), transaction expenses, incidental expenses as they apply from time to time to the client's account/transactions/services that the client avails from the stock broker.

17. The client agrees that all monies, securities or other margin which the stock broker may hold on client's account shall be held to a discharge of client's obligations to the stock broker.

18. The client agrees to allow the stock broker to treat dividend and/or interest on securities, debentures etc. or securities kept with him as margin money in derivatives segment and that the benefit thereof to be given to the client against his exposures in the future and options segments, till the same is remitted to the client.

19. a. The client hereby agrees that the stock broker may communicate/send information to the client like contract notes, transaction statements, order confirmation, order modifications, order execution, trade confirmation, trade modifications, bills, account statements, trading/ settlement cycles, delivery/payment schedules, policies, procedures, notices, FAQs and any other documents/ reports, using any or more of the following means or methods such as post/speed post/ courier/ registered post/registered A.D/facsimile/ cable/ e-mail/voice mails/ telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone of any other similar device; by messaging on the computer screen of the client's computer; by



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informing the client through employees/ agents of the stock broker; by publishing/ displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/ television broadcast/ newspapers advertisements etc. or any other suitable or applicable mode or manner. The client agrees that the postal department/ the courier company/ newspaper company and the e-mail/ voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department/ the courier company/the e-mail/voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever.

- b. The client agrees that it is his/her/its responsibility to review any/all information communicated including but not limited to trade confirmations, the contract notes, the bills or statements of account, margin requirements etc. communicated to the client by any of the aforesaid means or mode whatsoever, immediately on their receipt and take necessary action. All information contained therein shall be binding upon the client.
20. a. The client agrees and 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 and as such all investment and disinvestment decisions are based on the client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the client on the basis of any information that

may be made available by the stock broker including that on the website or through SMS etc. The client will not hold nor seek to hold the stock broker or any of its officers, directors, employees. Agents, subsidiaries, affiliates or business associates liable for any trading losses or other losses, costs or damage incurred by the client consequent upon relying on information, research opinions or advice or any other information whatsoever including that on the website whether put up by the stock broker or any other agency The stock broker does not represent and shall not be deemed to have represented, that the investment information is accurate or complete. The client is aware that any information based on the research of the stock broker or other external sources is merely an estimation of the viability or otherwise of certain investments, and the stock broker shall not be deemed to have assumed any responsibility for such information,. The client should seek independent professional advice regarding the suitability of any investment decision. The client also acknowledges that the stock broker's employees/agents 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/agents.

- b. The client agrees that the stock broker does not guarantee and shall not be deemed to have guaranteed the timeliness, sequence, accuracy, completeness, reliability or content of the market information or messages disseminated to the client. The stockbroker shall not be liable for any inaccuracy, error or delay in, or omissions of any such data, information or messages, due either to any act or omission by the stock broker or to any "force majeure" event [(e.g. flood, extraordinary weather condition, earthquake or any other act of god, fire, war, insurrection, riot, labor dispute, accident, actions of government, communication, power failure,

For Thirani Securities Pvt. Ltd.

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shut down of the systems for any reason (including on account of computer viruses), equipment or software malfunction)]; any fraud committed by any person whether in the employment of the stock broker or otherwise or any other cause which is beyond the reasonable control of the stock broker.

21. a. The client hereby authorizes the stock broker to take all such steps on the client's behalf as may be required or advisable in the stock broker's opinion for compliance with the exchange provisions or any other law or provisions or to complete or settle any transactions entered into through or with the stock broker or executed by the stock broker on behalf of the client. However, nothing contained herein shall oblige the stock broker to take such steps
- b. The client agrees to keep himself/herself/itself updated regarding the changes in the rules, regulations, bye laws of the stock exchange(s) &/or guidelines issued by SEBI &/or the requirements /procedures of the stock broker and the stock broker is under no obligation to inform the client of any such changes. The client agrees that he/she/ it shall keep a track of any & all such changes by logging on to the respective websites of the exchange(s) (NSE Hyperlink "<http://www.nseindia.com>"; BSE Hyperlink "<http://www.bseindia.com>") or SEBI (Hyperlink "<http://www.sebi.gov.in>") or stock broker (Hyperlink "<http://www.tseconline.com>").
- c. The client agrees that the stock broker may disable/freeze the account &/or trading facility/any other service facility, if, in the opinion of the stock broker, the client has committed a crime/fraud or has acted in contradiction of this agreement or/is likely to evade/violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.
- d. The client expressly agrees that his/her/its
- utilization of a service/ facility such as but not limited to advisory services, portfolio management services, any other discretionary activity for and on the behalf of the client or any other transaction which the stock broker undertakes with or for the client, shall also be covered by the terms & conditions of this agreement in so far as they are not repugnant to the terms & conditions of the respective agreements of such service/facility such as advisory services, portfolio management service, etc.
- e. If any provisions of this agreement are held invalid or unenforceable by reason of any law, rule, administrative order or judicial decision by any court, or regulatory or self-regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or terms held invalid. The validity of the remaining provisions and terms shall not be affected thereby and these terms shall be carried out as if any such invalid/unenforceable provisions or terms were not contained herein.
- f. The client agrees that the failure of the stock broker to enforce at any time any terms contained in this agreement shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.
- g. Notwithstanding anything to the contrary stated in this agreement, the stock broker shall be entitled to terminate this agreement with immediate effect in any of the following circumstances;
- i) If the action of the Client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
 - ii) If there is any commencement of a legal process against the Client under any law in force;
 - iii) On the death/lunacy or other disability of the Client;



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Second Holder



Third Holder

- iv) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi) If the Client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- vii) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- ix) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- xi) If the Client is in breach of any term, condition or covenant of this Agreement;
- xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under/pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

- h. In this agreement, unless the context otherwise requires:
 - o Words denoting the singular number shall include the plural vice versa;
 - o The pronouns "he", "she", "it" and their cognate variations are used as interchangeable and should be interpreted in accordance with the context;
 - o Words denoting a person shall include an individual, corporation, company, partnership, trust or other entity; provided however that clauses specifically applicable to a company or body corporate shall not apply to any other entity; References to the work "include" or "including" shall be construed without limitation;
 - o Reference to any party to this agreement or any other agreement or deed or other instrument shall include its successors or permitted assigns; References to recitals and clauses shall be deemed to be a reference to the recitals and clauses of this agreement;
 - o References to any enactment shall be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order, notification, circular or other provisions made under it.

22. Except as required to give effect to Byelaws, Regulations and Rules of exchange, the parties agree to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

23. The client confirms having read and accepted the terms and conditions of this agreement and those relating to various services and products and accepts and agrees to be bound by their terms and conditions contained therein including those excluding/limiting the stock broker's and exchange's liabilities.

For Thirani Securities Pvt. Ltd.

Authorised Signatory



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


First Holder

Second Holder

Third Holder

In witness thereof the parties to the Agreement have caused these presents to be executed.

Signed and delivered by Participant			
For Thirani Securities Pvt. Ltd.			
Authorised Signatory			
Name			
Address	Todi Chambers, 4th Floor,		
	2 Lal Bazar Street, Kolkata - 1		
Place	KOLKATA	Date	

Signed and delivered by Client	
Sole/First Holder	
Signature	 39/51
Second Holder	
Signature	
Third Holder	
Signature	

Witness			
Name			
Address	Todi Chambers, 4th Floor		
	2 Lal Bazar Street, Kolkata - 1		
Signature			
Place	KOLKATA	Date	

Witness			
Name			
Address			
Signature			
Place	KOLKATA	Date	

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ANNEXURE-1 : RUNNING ACCOUNT & OTHER AUTHORISATIONS

Thirani Securities Pvt. Ltd.
(Member of NSE)
Todi Chambers,
4th Floor
2, Lal Bazar Street
Kolkata-700 001

Running Account and Other Authorisations

Dear Sir,

I have been/shall be dealing through you as my Stock Broker on the Capital Market and/or Futures & Options Segments and/or Currency Derivatives Segments of the NSE/BSE. As my Broker i.e. agent I/We direct and authorize you : carry out trading/dealings on my/our behalf as per instructions given below.

1. I am/we are aware that you are required to issue payment/securities due to me/us as per the payout from the exchange. In order to facilitate operations, I/we hereby authorise you to maintain running accounts with you; to debit my/our running account for the margin/funds and/or securities payable by me/us; to include any/all the pay out of funds and/or securities towards margin/security and/or securities (if any) due to me/us on my/our running account for the margin/funds and/or securities payable by me/us; to include any/all the pay out of funds and/or securities towards margin/security and/or securities (if any) due to me/us on my/our specific request only. I/we also agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, cause by retention of such securities/funds under this agreement or otherwise.
2. I/WE authorise you to transfer funds to my-account maintained with M/S Thirani Securities Pvt Ltd in NSE/NSE F&O/NSE CDS against my/our trades in NSE/NSE F&O/NSE CDS when ever found applicable and found necessary by you.
3. I/We understand and agree that no interest will be payable to me/us on the amount or securities retained with you.
4. Deposit Securities and/or funds whether deposited as collateral/margin or permitted by us to be retained in running account etc. by you with the exchange/Clearing corporation/clearing house for the purposes, bank guarantees and FDR's etc. towards Margin/Collateral as also meet shortfall in my/our funds/Securities payin obligation/auctions or assignment of contracts or any other liability arising out of any dealing with you/through you. You are further, authorized to sell/liquidate these Securities/FDRs at the time and manner of your choosing and as and when deemed fit by you in your absolute discretion to meet any shortfalls in our accounts or any other liability of mine/ours without any reference to me/us.
5. In case I/we have made any sale of securities and due to any exigencies I/we is/are unable to make available the delivery of the same in the designated account within the designated time and it is an inter client delivery at broker level, I/we hereby authorise you to make purchases of the same in the market of my behalf to make available the delivery of the said securities to the opposite party.
6. I/WE hereby authorise you to debit charges for Depository Services, or any other services, to my/our trading account.



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First Holder



Second Holder



Third Holder

7. As the contract notes contain the order and trade details you need not send/give order and/or trade confirmation slip/memos to me/us.
8. I/WE shall place verbal orders either in person or through telephone and therefore shall not be placing orders in writing. Please place my/our orders using the unique client code.....
9. I/WE hereby authorize you to liquidate my/our positions for non-payment of margins or other account, outstanding debts etc, to the extent of debit. I/WE agree to bear any losses and financial charges on account of such liquidation.

I/WE further wish to have settlement of my account (funds and securities) once in a month / once in a quarter.* I understand that settlement amount shall be subject to retention of requisite securities/funds towards outstanding obligations and margins in my account calculated in the manner specified by SEBI/Exchange and details mentioned in the "Statement of Account" at the time of settlement. I authorise you to send the statement of account on funds and securities as on the date of settlement to my internet trading account or e-mail id registered with you. I understand that I can obtain a copy of the same from any of your Branch offices.

Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by your earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

I/We may withdraw the aforeside authorisations any time by communicating the same to you in writing.

Thanking You

Yours Truly



First Holder



Second Holder



Third Holder

Name : _____

Place : KOLKATA

Date : ____ / ____ / ____

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AUTHORISATION LETTER FOR ELECTRONIC COMMUNICATION

To

Thirani Securities Pvt. Ltd.
Todi Chambers,
4th Floor, 2, Lal Bazar Street
Kolkata-700 001

Dear Sir,

I/We _____ s/o _____
residing at _____

have been/shall be dealing through you as my/our broker on the Capital Marke and/or futures & options segment and/or currency derivative segment bearing trading ID _____ and also have a Beneficial owner account with you held jointly with _____,
(Joint Holdes)

having BO A/C No.

1	2	0	6	8	2	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

I/We _____
had entered into agreement dated ____/____/20____ with you at the time of opening of the aforesaid BO account.

I/We understand that, I/we have the option to receive the contract notes/daily margin/other communications in physical form or electronic form. In pursuance of the same, I/we hereby opt for receipt of contract notes/daily margin in electronic form as well as all other communications including but not limited to account statement, holding statement, trade, order confirmations and any other notices also electronically.

Pursuant to the amendment in clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/we myself/ourself want the same in the electronic form.

I/We am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.

Though the member is required to deliver physical contract note, I/we find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/we am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/orderd by me/us.

I/we have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.

My/our email id is/are :

(1) _____

(2) _____

This has been created by me/us and not by someone else.



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Second Holder



Third Holder

I/We confirm that the dispatch of statement of account to me/us at the aforesaid email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/We reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

I/We am/are aware that I/We can also view the Digital Contract notes on your website www.tseonline.com by using the username & password as provided you and that the digital contract notes will be archived at an interval of 15 days. If I/We intends to view the digital contracts notes for a period prior to 15 days he/she may request for the same in writing.

I/We also agree that non-receipt of bounced mail notification by the stock broker shall amount to delivery at my/our e-mail ID.

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

The above declaration has been read and understood by me/us. I/we am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

Thanking you,



First Holder



Second Holder



Third Holder

Name : _____

Place : KOLKATA

Date : ____ / ____ / ____

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AGREEMENT FOR TRANSACTION STATEMENT AND OTHER COMMUNICATION THROUGH INTERNET

This Agreement made and entered into at _____ this _____ day of _____ 20____, between Thirani Securities Pvt. Ltd. having its registered office at Todi Chambers, 4th Floor, 2 Lal Bazar Street, Kolkata - 700 001 hereinafter called "The Participant" of the one part.

AND

Sole / First Holder's Name	
Having his address at	
Second Holder's Name	
Having his address at	
Third Holder's Name	
Having his address at	

hereinafter called 'the Client' of the other part.

WITNESSETH

WHEREAS

1. The Client is registered/is registering/ desires to register as the beneficial owner of a Depository account with the participant.
2. The client has requested and the Participant has agreed to provide the transaction statement and other documents, information and communications through internet (web based and / or e-mail).

NOW THEREFORE in consideration of the Participant having agreed to provide the transaction statement through internet (web-based and/or email), both the parties to the agreement hereby covenant and agree as follows:

1. The client hereby agrees and authorizes the Depository participant to provide the transaction statements and any other documents, information and communications including but not limited to billing statements, holding statements, policies, procedures, notices, FAQs etc electronically through internet by sending it on his / her / its e-mail id or by publishing / displaying it on the website of the Participant or by making it available as a download from the website of the Participant.
2. The Participant shall install adequate systems to restrict the access of the electronic statements, documents, information and communications etc. only to the Client.
3. The Client agrees not to receive Transaction Statement in paper form from the Participant. Provided however that, in case when the Participant is not able to provide Transaction Statement to its Clients through internet (web-based / email) due to any unforeseen problems, the Participant should ensure that the Transaction Statement reaches the Client in physical form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.
4. The Client further agrees not to hold the Participant responsible for late / non receipt of the same for any reasons including failure of email servers, loss of connectivity or the mail box being full or otherwise becoming incapable of receiving the, email or due to any technical reasons beyond the control of the Participant and agrees to completely rely on the log reports of the dispatching software of the Participant as a conclusive proof of dispatch of email to him / her / it and not to dispute the same.
5. The client accepts and undertakes the sole responsibility for the usage, confidentiality, protection and secrecy of all security codes, passwords, customer user identification numbers, etc.. by whatever name called and the client hereby indemnifies the Participant absolutely and in all respects and agrees not to hold the Participant or any of its officers, employees or service providers, responsible for any losses / consequences if any access to his communications by use of such codes, passwords, customer user identification numbers etc. including cases where these security codes etc. are acquired by any person through theft, hacking or mimicked by forgery / electronic forgery or any other modes or manner. The client hereby agrees that immediately on coming to know of any unauthorized access / or use of any services or systems by any unauthorized person on account

For Thirani Securities Pvt. Ltd.

Authorised Signatory



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Third Holder

of breach of security, theft of password, breach of confidentiality, crime etc., it shall be the duty of the client to take all such necessary steps including but not limited to informing the Participant of the same and ensuring that such breach, loss of passwords and / or confidentiality are immediately stopped and agrees hereby that the client shall inform the Participant in writing that such breach has occurred and request the Participant for facilities to be disabled and the client hereby agrees that notwithstanding such information to Participant, the client unconditionally agrees to accept all instructions / transactions / executed / accepted by the Depository Participant under a bonafide belief that these are from or under directions of the client or clients attorneys or authorized person notwithstanding any loss(s) of passwords / security codes, hacking of the systems etc. by any person.

6. The client hereby agrees and declares that he / she / it has fully understood and assessed the risks involved in using the facility to receive communications in electronic form such as but not limited to misusing of passwords, internet frauds, technology risks etc., and is entering into this agreement with full indemnification of the Participant on account of any damages, losses or negative consequences which client may suffer in any manner whatsoever.
7. The client further agrees that in the event of change in his / her /its email address, the client shall immediately inform the same to the Participant in writing by either registered post or through a digitally signed email. The Participant shall verify and confirm with the Client about the change. Further, the Participant shall confirm with the Client about validity of the email address atleast once in a year.
8. The Participant and the Client shall have the right to terminate this agreement after giving a notice of atleast 10 days to the other party.
9. The above terms and conditions are in addition to and not in contravention of the terms and conditions forming a part of the "AGREEMENT BETWEEN THE PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE PARTICIPANT" signed by the Client at the time of opening the account with the Depository.

IN WITNESS WHEREOF the Participant and the Client has caused these presents to be executed as of the day and year first above written.

Signed and delivered by Participant			
For Thirani Securities Pvt. Ltd.			
Authorised Signatory			
Name			
Address	Todi Chambers, 4th Floor,		
	2 Lal Bazar Street, Kolkata - 1		
Place	KOLKATA	Date	

Signed and delivered by Client	
Sole/First Holder	
Signature	 45/51
Second Holder	
Signature	
Third Holder	
Signature	

Witness			
Name			
Address	Todi Chambers, 4th Floor		
	2 Lal Bazar Street, Kolkata - 1		
Signature			
Place	KOLKATA	Date	

Witness			
Name			
Address			
Signature			
Place	KOLKATA	Date	

- Please stamp & Sign in case of HUF Account
- In case of joint holding, all joint holders must sign.

INSTRUCTION TO SEND PASSWORD BY SMS/EMAIL

Please send my system-generated, first time as well as subsequent, Password on my/our following mobile number.

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or the e-mail registered with you.

Also, if I/We ever need to reset the Password later, the same should also be sent by SMS on the above given mobile number/or e-mail on my registered e-mail .

As soon as I/We receive the system-generated Password, I/We shall login and change it for security reasons. I /We am/are aware that system-generated Password will automatically expire in 72 hours from the time of sending. I/We have been explained that I/We shall set my new Password as may be easy to remember for me, but should not be easy to decipher for anybody else and should be preferably alphanumeric. I/We also confirm that the above mobile number/e-mail shall be updated in all your records and databases including trading and demat account.

1. I/We declare that the above is my personal mobile number/registered e-mail and is always in my safe custody. I/We shall keep TSPL informed of any change in my mobile number/email immediately for updating the same in databases, I/We am/are aware that without intimation for change in mobile number/e-mail, TSPL would not be able to send my Password over new mobile number/new e-mail and also would not be able to update in records and databases.
2. In the event that I/we do not receive the Password on SMS/e-mail within 24 hours of or request for reset of Password, I/we shall contact the helpdesk of the TSPL immediately and request for re-setting of my Password.
3. I /We am/are fully aware of the risk of electronic loss/theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/misuse of the Password. I/We understand TSPL will not be anyway responsible or liable for the same.
4. I/We am/are aware that in case of change in my mobile number/e-mail anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally the Branch alongwith my ID proofs (E.g.:Pan Card or Driving License) and get the documents verified by the branch officials.



46/51

First Holder



Second Holder



Third Holder

POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME;

I/We _____ (I.T.PAN : _____) Residing at

I/We _____ (I.T.PAN : _____) Residing at

I/We _____ (I.T.PAN : _____) Residing at

(hereinafter referred to as 'the Client(s)') Indian inhabitant SEND GREETINGS.

Whereas I/We hold the Beneficiary Account No. _____ with Central Depository Services (India) Ltd. (CDSL), through Thirani Securities Pvt. Ltd. (DP ID 12068200), registered with Securities and Exchange Board of India (SEBI) bearing SEBI Regn. No. IN-DP-CDSL-592-2010. And Whereas I/We am/are investor(s) engaged in subscribing to and buying/selling of share, securities and other financial products and services through and/or with Thirani Securities Pvt. Ltd., a member of National Stock Exchange of India Ltd., bearing SEBI Regn. No. INB 231204539 ,INF 231204539 and INE 231204539 with its Registered Office at Todi Chambers, 4th Floor, 2, Lal Bazar Street, Kolkata-700001.




And Whereas due to exigency and paucity of time, I/We am/are desirous of appointing an agent/attorney to operate my/our said beneficiary account(s) of dematerialized securities on my/our behalf for the limited purposes and in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/WE THE ABOVENAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT Thirani Securities Pvt. Ltd. as my/our true and lawful attorney (hereinafter referred to as 'the Broker/Attorney') for me/us and authorise it to perform the following functions on my/our behalf and in my/our name.

1. I/we, the Client(s) hereby authorize the said Broker/Attorney to instruct the concerned depository participant(s) to transfer the securities from the said Client's Accounts and to sign the necessary documents/papers/instruments required for this purpose.
2. The authority of the said Broker/Attorney is limited;
 - a. To the transfer of securities from the said Client's Accounts to the credit of dematerialized securities account(s) of the said Thirani Securities Pvt. Ltd., the Broker/Attorney and/or to the accounts of the designated custodians, clearing houses/corporations and stock exchanges. The particulars of the Broker/Attorney's Accounts are mentioned in the Annexure-A appended hereunder (hereinafter referred to as the 'Broker's Accounts'). AND
 - b. For the purposes as appearing hereinafter.
3. The Broker/Attorney is authorized;
 - a. To transfer securities from the said Client's Accounts towards stock exchange related margin/delivery obligations arising out of trades executed by the Client(s) on the recognized stock exchanges through the said Broker/Attorney.
 - b. To pledge the securities lying in the Client(s) account in its own favour and/or in favour of the designated custodians, clearing houses/corporations and stock exchanges, for the limited purpose of meeting the margin requirements of the client(s) in connection with the trades executed by the clients on the stock exchanges through the said Broker/Attorney.
 - c. To 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 and in accordance with the instructions of the Client(s).
4. The particulars of dematerialized securities account(s) mentioned hereinabove and Annexure hereunder may be added/appended/altered according to the future business requirements and with the mutual written consent.
5. The Broker/Attorney shall return to the Client(s), the securities that may have been received by the Broker/Attorney erroneously or those securities that the stock broker was not entitled to receive from the Client(s);
6. The Broker/Attorney is authorized to send consolidated summary of scrip-wise buy and sell positions taken with average rates to the Client(s) by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI/Exchanges from time to time.

7. I/We, the Clients(s) ratify the instructions given by the aforesaid Broker/Attorney to the Depository Participant named herein and in the manner specified herein.
8. I/We, the Client(s) further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice in writing is received by the said Broker/Attorney at its office address mentioned hereinabove.

SIGNED AND DELIVERED on this _____ day of _____ 20____ at _____.
By the within named Client(s)

Sole/First Holder	
Signature	 47/51
Second Holder	
Signature	
Third Holder	
Signature	

ANNEXURE A

SL. NO.	A/C TYPES	DP NAME	DP ID	CLIENT ID	CLIENT NAME
1	NSE POOL A/C	Stock Holding Corporation of India Limited	IN301250	28683403	Thirani Securities Pvt. Ltd
2	NSE POOL A/C	Thirani Securities Pvt. Ltd.	12068200	00000284	Thirani Securities Pvt. Ltd
3	NSE MARGIN A/C	Thirani Securities Pvt. Ltd.	12068200	00000208	Thirani Securities Pvt. Ltd
4	FO MARGIN A/C	ICICI Bank Ltd.	IN301348	20018510	Thirani Securities Pvt. Ltd
5	CURRENCY MARGIN A/C				Thirani Securities Pvt. Ltd

IN THE PRESENCE OF

Witness (On behalf of client)	
Name	
Address	
Signature	
Name	
Address	
Signature	

We Accept

Thirani Securities Pvt. Ltd
Todi Chambers, 4th Floor
2, Lal Bazar Street
Kolkata-700001

For Thirani Securities Pvt. Ltd.



Authorised Signatory

CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

To
 Thirani Securities Pvt. Ltd.
 Todi Chambers, 4th Floor,
 2 Lal Bazar Street,
 Kolkata 700 001

Dear Sir/Madam,

This is with reference to my/our trading account opened with you; I/we request you arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concern authorities from time to time.

Email Facility	Service Required – YES <input type="checkbox"/> NO <input type="checkbox"/>
Email ID	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	 48/51
SMS Facility	Service Required – YES <input type="checkbox"/> NO <input type="checkbox"/>
Mobile Number	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	 49/51

*Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and/or SDS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through the physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to **“Thirani Securities Pvt. Ltd.”**


50/51

First Holder



Second Holder



Third Holder

FOR OFFICE USE ONLY

Sl. No.

		Date	Done by	Signature
CDSL				
UCI	CM			
	F&O			
	CDS			
BROK	CM			
	F&O			
	CDS			
WELCOME CALL				
RECORDING NO.				
MAPPING	CM			
	F&O			
	CDS			
PASSWORD	BACKOFFICE			
	NOW			
WELCOME KIT	SENT			
	POD			

ADDITIONAL NOTE

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/ PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

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

Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. **Self attested copy of PAN card is mandatory for all clients.**
2. Copies of all the documents submitted by the applicant should be self attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

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

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly Copies of the Memorandum and Articles of Association and certificate of incorporation Copy of the Board Resolution for investment in securities market Authorised signatories list with specimen signatures
Partnership firm	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered partnership firms only) Copy of partnership deed Authorised signatories list with specimen signatures Photograph, POI, POA, PAN of Partners
Trust	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered trust only). Copy of Trust deed List of trustees certified by managing trustees/CA Photograph, POI, POA, PAN of Trustees
HUF	o PAN of HUF o Deed of declaration of HUF/List of coparceners o Bank pass-book/bank statement in the name of HUF o Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	o Proof of Existence/Constitution document o Resolution of the managing body & Power of Attorney granted to transact business on its behalf o Authorized signatories list with specimen signatures
Banks/Institutional Investors	o Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years o Authorized signatories list with specimen signatures
Foreign Institutional Investors (FI)	o Copy of SEBI registration certificate o Authorized signatories list with specimen signatures
Army/Government Bodies	o Self-certification on letterhead o Authorized signatories list with specimen signatures
Registered Society	o Copy of Registration Certificate under Societies Registration Act o List of Managing Committee members o Committee resolution for persons authorised to act as authorised signatories with specimen signatures o True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

- Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FI/sub account, Power of Attorney given by FI/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse maybe accepted.

D. Exemptions/clarifications to PAN

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

E. List of people authorized to attest the documents:

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

Please submit the KYC documents on A4 size paper only.

