

Ver : 02/2021

CLIENT ID :

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

Branch : \_\_\_\_\_

Client Code :



FP\_F

# ACCOUNT OPENING KIT

## NSE | BSE | DP-NSDL

Client Name : .....

Address : .....

.....

Pin : .....

NSE : ☐ CASH SEG ☐ FO SEG ☐ CURRENCY SEG ☐ SLB SEG

BSE : ☐ CASH SEG



## Pravin Ratilal Share And Stock Brokers Ltd

"Sakar-I" 5<sup>th</sup> Floor, Opp.Gandhigram Railway Station,  
Navrangpura, Ahmedabad - 380009.

Phone: 079-26553700, 66302700 Fax: 079-26582331 Email: ig@prssb.com

CIN : U67120GJ1994PLC022117

NSE Cash - Derivatives - Currency - BSE Cash-INZ000206732  
DP of NSDL : IN-DP-607-2021

w w w . p r s s b . c o m

Exchange and Segment	Details of Clearing Member	
NSE CASH, BSE CASH, NSE F & O Segment	<b>Pravin Ratilal Share And Stock Brokers Ltd</b> Sakar-I” 5th Floor, Opp.Gandhigram Railway Station, Navrangpura, Ahmedabad – 380009. Phone: 079-26553700, 66302700 SEBI Regn. No. : INZ000206732	
NSE - Currency Derivatives	<b>Axis Bank Ltd,</b> Capital Market Branch, Fort Mumbai. SEBI Regn. No. : INZ000206732	
<b>Depository Details :</b>		
<b>Name</b>	NSDL	
<b>DP ID</b>	IN 300982	
<b>SEBI Reg. No.</b>	IN-DP-607-2021	
<b>Registered office address</b>	Sakar-I” 5th Floor, Opp.Gandhigram Railway Station, Navrangpura, Ahmedabad – 380009. Phone: 079-26553700, 66302700 Email: ig@prssb.com Web: www.prssb.com	
<b>Compliance officer's details</b>	Mr.Pragnesh D. Shah Phone: 079-26553712, 66302712 Email: pragnesh@prssb.com	
<b>CEO's details</b>	Mr.Jigen P. Sharedalal Phone: 079-26553700, 66302700 Email: jigen@prssb.com	
For any grievance/dispute please contact stock broker ( <b>Pravin Ratilal Share And Stock Brokers Ltd</b> ) at the <b>above address or email id</b> : Email: ig@prssb.com and Phone: 079-26553700, 66302700. In case not satisfied with the response, please contact the concerned exchange(s) as per following details :		
<b>Details of Investor Grievance Cell of Respective Exchanges :</b>		
<b>Exchange</b>	<b>e-mail id</b>	<b>Phone No.</b>
NSE	ignse@nse.co.in	022-26598190
BSE	is@bseindia.com	022-22728097
NSDL	relations@nsdl.co.in	022-24994200 / 1800-1020-990 / 1800-224-430

# CHECKLIST OF PROCEDURE

## DEMAT & TRADING ACCOUNT OPENING

Branch \_\_\_\_\_

Client ID : \_\_\_\_\_

Client Code : \_\_\_\_\_

Sr. No.	Section	Activity / Procedure	Activity done by (Person Name)	Date of Activity	Sign
1	Account Opening	Application form received		...../...../20....	
2		In-person Verification		...../...../20....	
3	Demat	Demat Account data entry		...../...../20....	
4		Demat Account release		...../...../20....	
5		First DIS Print		...../...../20....	
6		Client Master Print		...../...../20....	
7	KYC	KYC scanning		...../...../20....	
8		KYC data entry		...../...../20....	
9		KYC data release		...../...../20....	
10	CKYC	CKYC scanning		...../...../20....	
11		CKYC data entry		...../...../20....	
12		CKYC data release		...../...../20....	
13	Trading	Trading Account Check		...../...../20....	
14		Family grouping		...../...../20....	
15		Branch / Route grouping		...../...../20....	
16		Trading Account data entry		...../...../20....	
17		UCC upload to NSE/BSE		...../...../20....	
18		Trading account mapping		...../...../20....	
19		Document Email		...../...../20....	
20	Scanning	Application form scanning		...../...../20....	
21	Audit	Audited		...../...../20....	



CP\_B

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## INDEX

Sr. No.	Document	Significance of the Document	Page No.
<i>MANDATORY DOCUMENTS TO BE SIGNED AND EXECUTED BY THE CLIENT AS PRESCRIBED BY SEBI</i>			
1	KYC - Non Individual	Know Your Client application form for non-individuals	1
3	CKYC	Central Know Your Client application form	3
4	Demat Account (Annex-J)	Application form for opening a Demat Account of Individuals	5
5	Demat Account (Annex-K)	Application form for opening a Demat Account of non-Individuals	10
6	FATCA / CRS Declaration	FATCA / CRS Declaration / Self Certification For Non Individuals	13
6	Schedule 'A'	Rates and charges for operating a Demat account	17
7	Rights and Obligations	Rights and Obligations of a Beneficial Owner and a Depository Participant	18
8	Authority for Mobile and Email	Letter of Authority for use of Mobile number and Email ID	21
9	FATCA / CRS Declaration	FATCA / CRS Declaration / Self Certification For Individuals	22
10	Trading Account	Application form for opening a Trading Account	24
11	Rights and Obligations	Rights and Obligations of Stock Brokers and Clients	26
12	Internet & Wireless	Internet & Wireless Technology based trading facility provided to a Client	30
13	Risk Disclosure	Risk Disclosure document for Capital Market and Derivatives segments	31
14	Guidance Note	DO's And Don'ts For Trading on the Exchange(s) For Investors	34
15	Policies and Procedures	Significant policies and procedures of the stock broker	36
16	Tariff	Rate of brokerage and other charges levied on the client	39
<i>VOLUNTARY DOCUMENTS TO BE SIGNED AND EXECUTED BY THE CLIENT AS PROVIDED BY THE STOCK BROKERS</i>			
17	PMLA	Document detailing the money laundering act under the Prevention of Money Laundering Act	40
18	Terms and Conditions	Operations terms and conditions for providing various additional services to the clients, which are voluntary in nature.	43
19	Running Account Authorisation	Letter of Authority to the stock brokers for maintaining a running account of the client and for sending digitally signed documents	49
20	Requisition Slip and Acknowledgment	One initial requisition slip for issue of initial Delivery Instruction Slip (DIS) and acknowledgment of application received	52
21	Power of Attorney	Stamped Power of Attorney specifically for availing Auto Pay-in facility.	

**Note : ALL DOCUMENT SELF ATTESTED**




**Sign on : 3, 4, 8, 17, 20, 21, 23, 24, 25, 48, 49, 50, 51, 52**





## 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			

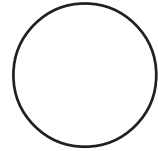
*We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We have given / sent him a copy of all the KYC documents. We undertake that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

**For, Pravin Ratilal Share & Stock Brokers Ltd**



Signature of the Authorised Signatory

Date : \_\_\_\_ / \_\_\_\_ /20 \_\_\_\_



Seal / Stamp of the Intermediary



CIT\_B

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individuals**

A) Fields marked with \* are mandatory fields.  
B) Tick '✓' wherever applicable.  
C) Please fill the date in DD-MM-YYYY format.  
D) Please fill the form in English and in BLOCK letters.  
E) KYC number of applicant is mandatory for update application.

F) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end.  
G) List of two character ISO 3166 country codes is available at the end.  
H) Please read section wise detailed guidelines/instructions at the end.  
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



<b>For office use only</b> (To be filled by financial institution)	Application Type*	<input type="checkbox"/> New <input type="checkbox"/> Update	
	KYC Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	(Mandatory for KYC update request)

☐ **1. ENTITY DETAILS\*** (Please refer instruction A at the end)

<input type="checkbox"/> Name*																											
Entity Constitution Type*	<input type="checkbox"/> Others (Specify)										(Please refer instruction B at the end)																
Date of Incorporation / Formation*	DD - MM - YYYY										Date of Commencement of Business DD - MM - YYYY																
Place of Incorporation / Formation*											Country of Incorporation / Formation* TIN or Equivalent Issuing Country																
PAN*											<input type="checkbox"/> Form 60 furnished																
GST Registration Number																											

☐ **2. PROOF OF IDENTITY (POI)** (Please refer instruction B at the end)

<input type="checkbox"/> Officially valid document(s) in respect of person authorised to transact		
<input type="checkbox"/> Certificate of Incorporation / Formation	<input type="checkbox"/> Partnership Deed	<input type="checkbox"/> Registration Certificate <input type="text" value="Regn Certificate No."/>
<input type="checkbox"/> Memorandum and Articles of Association	<input type="checkbox"/> Power of attorney granted to its manager, officers or employees to transact on its behalf	<input type="checkbox"/> Trust Deed
<input type="checkbox"/> Resolution of Board / Managing Committee	<input type="checkbox"/> Activity Proof - 2 (For Sole Proprietorship Only)	
<input type="checkbox"/> Activity Proof - 1 (For Sole Proprietorship Only)		

☐ **3. ADDRESS\*** (Please refer instruction C at the end)

3.1 Registered Office Address / Place of Business\*

Proof of Address\* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1\*

Line 2

Line 3

District\*  Pin/Post Code\*  State/U.T. Code\*  ISO 3166 Country Code\*

[illegible]

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number / Email-ID provided" may be used\* (Please refer instruction D at the end)

Tel. (Off)	<input type="text"/>	-	<input type="text"/>	FAX	<input type="text"/>	-	<input type="text"/>
Mobile	<input type="text"/>	-	<input type="text"/>	Email ID	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mobile	<input type="text"/>	-	<input type="text"/>	Email ID	<input type="text"/>	<input type="text"/>	<input type="text"/>

**5. NUMBER OF RELATED PERSONS**   (Please refer Instruction E at the end)

☐ 6. REMARKS (if any)

[illegible]

☐ 7. APPLICANT DECLARATION (Please refer Instruction G at the end)

• 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 may be held liable for it.

• I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :   -   -     Place :

Signature / Thumb Impression of Applicant

**8. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received ☐ Certified Copies ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
---------------------------------	---------------------

Date	<div style="display: flex; justify-content: space-around;"> <span>D</span><span>D</span><span>-</span><span>M</span><span>M</span><span>-</span><span>Y</span><span>Y</span><span>Y</span><span>Y</span> </div>	<div style="display: flex; justify-content: space-between;"> <div> Name  Code </div> <div> <b>Pravin Ratilal Share And Stock Brokers Ltd.</b> </div> </div>
Emp./A P Name		
Emp./AP Code		
Emp. Designation		
Emp. Branch		
[Employee Signature]		



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of  
Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	<div>PHOTOGRAPH</div> <div>Please affix the recent passport size photograph and sign across it</div> <div>X Sign across</div>
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	<div>PHOTOGRAPH</div> <div>Please affix the recent passport size photograph and sign across it</div> <div>X Sign across</div>
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	<div>PHOTOGRAPH</div> <div>Please affix the recent passport size photograph and sign across it</div> <div>X Sign across</div>
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	<div>PHOTOGRAPH</div> <div>Please affix the recent passport size photograph and sign across it</div> <div>X Sign across</div>
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	<div>PHOTOGRAPH</div> <div>Please affix the recent passport size photograph and sign across it</div> <div>X Sign across</div>

Name & Signature of the Authorised Signatory(ies) Date 

D	D	M	M	Y	Y	Y	Y		

PEP: Politically Exposed Person RPEP: Related to Politically Exposed Person



NIKYC2\_B

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual



## Important Instructions:

- A) Fields marked with '\*' are mandatory fields.  
 B) Tick '✓' wherever applicable.  
 C) Please fill the form in English and in BLOCK letters.  
 D) Please fill the date in DD-MM-YYYY format.  
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.  
 F) Please read section wise detailed guidelines / instructions at the end.  
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 H) List of two character ISO 3166 country codes is available at the end.  
 I) KYC number of applicant is mandatory for update application.  
 J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

## For office use only

Application Type*	<input type="checkbox"/> New <input type="checkbox"/> Update
(To be filled by financial institution) KYC Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> (Mandatory for KYC update request)
Account Type*	<input type="checkbox"/> Normal <input type="checkbox"/> Minor <input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)

## ☐ 1. PERSONAL DETAILS\* (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

## ☐ 2. PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C-Driving Licence
- ☐ D-NREGA Job Card
- ☐ E-National Population Register Letter
- ☐ F-Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

☐ PHOTO\*



## Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin/Post Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
State/UT Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

## ☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C-Driving Licence
- ☐ D-NREGA Job Card
- ☐ E-National Population Register Letter
- ☐ F-Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar
- IV ☐ Deemed Proof of Address - Document Type code
- V ☐ Self Declaration



CKYC\_F

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## Address

Line 1*																														
Line 2																														
Line 3																														
District*											Pin/Post Code*					State/UT Code*			City / Town / Village*									ISO 3166 Country Code*		

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction **C** at the end)

Tel. (Off)											—											Tel. (Res)											—											Mobile											—										
Email ID																																																																	

☐ **5. REMARKS (If any)**


## 6. APPLICANT DECLARATION

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

Date : 

D	D	—	M	M	—	Y	Y	Y	Y
---	---	---	---	---	---	---	---	---	---

 Place: 

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

[Signature/ Thumb Impression]

Signature / Thumb Impression of Applicant

## 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Date received from Offline verification ☐ Digital KYC Process  
☐ Equivalent e-document ☐ Video Based KYC

### KYC VERIFICATION CARRIED OUT BY

Date 

D	D	—	M	M	—	Y	Y	Y	Y
---	---	---	---	---	---	---	---	---	---

  
Emp. Name 

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

  
Emp. Code 

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

  
Emp. Designation 

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

  
Emp. Branch 

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

[Employee Signature]

### INSTITUTION DETAILS

Name 

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

  
Code 

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

[Institution Stamp]



CKYC\_B

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit



## DEMAT / TRADING ACCOUNT RELATED DETAILS

Annexure-J

### PART - II : ACCOUNT OPENING FORM (For Individuals)

(please fill all the details in CAPITAL LETTERS Only)

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

UCC CODE

CLIENT ID

DATE

#### A) DETAILS OF ACCOUNT HOLDER (S) :

D D M M Y Y Y Y

Sole / First Holder's	Name										
	Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House-wife <input type="checkbox"/> Student <input type="checkbox"/> Others (Pl. specify) _____									
	UID						PAN				

Second Holder's	Name										
	Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House-wife <input type="checkbox"/> Student <input type="checkbox"/> Others (Pl. specify) _____									
	UID						PAN				

Third Holder's	Name										
	Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House-wife <input type="checkbox"/> Student <input type="checkbox"/> Others (Pl. specify) _____									
	UID						PAN				

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

i) Name \_\_\_\_\_ ii) PAN

**C) TYPE OF ACCOUNT :** ☐ Ordinary Resident ☐ NRI-Repatriable ☐ NRI-Non Repatriable  
☐ QFI ☐ Foreign National ☐ Promoter  
☐ Margin ☐ Others \_\_\_\_\_  
 (please specify)

#### D) Gross Annual Income Details

Income Range per annum (Please tick any one)

☐ Below Rs. 1 lac ☐ Rs. 1 - 5 lac ☐ Rs. 5 - 10 lac ☐ Rs. 10 - 25 lac

☐ More than Rs. 25 lac OR Networth \_\_\_\_\_ As on \_\_\_\_\_

#### E) In case of NRIs / Foreign Nationals

RBI Approval No. : \_\_\_\_\_ Approval Date :

D D M M Y Y Y Y

DEMAT / TRADING ACCOUNT FORM FOR INDIVIDUAL ONLY



DP\_IND\_F

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## F) Bank Details :

Bank Account Type : ☐ Savings ☐ Current ☐ Others (Please specify) \_\_\_\_\_

Bank Name : \_\_\_\_\_ Bank Account No. : \_\_\_\_\_

Branch Address : \_\_\_\_\_

City/Town/Village \_\_\_\_\_ Pincode

State \_\_\_\_\_ Country \_\_\_\_\_

MICR Code          IFSC

G) Please tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

## H) Standing Instructions

- 1) I / We authorise you to receive credits automatically into my/our account. ☐ Yes ☐ No
- 2) Account to be operated through Power of Attorney (PoA) ☐ Yes ☐ No
- 3) SI for auto pledge confirmation ☐ Yes ☐ No
- 4) SMS Alert facility : [Mandatory if you are giving Power of Attorney (PoA).  
Ensure that the mobile number is provided in the KYC Application Form].

Sr. No.	Holder	
1.	Sole/First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No

- 5) Mode of receiving Statement of Account [Tick any one] ☐ Physical Form ☐ Electronic Form
- 6) Mode of Communication for (RDD, Rights & Obligations - trading & demat & Do's & Don'ts & other documents.) ☐ Physical Form ☐ Electronic Form

- 7) Sharing of Email with RTA (Receiving Annual Reports) ☐ Yes ☐ No  
(Read note 4 and ensure that email ID is provided in KYC Application form)

## I) GUARDIAN DETAILS (Where the sole holder is a minor) :

[For account of a minor, two KYC Application Form must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian's Name \_\_\_\_\_ Relationship of \_\_\_\_\_

PAN           Guardian with minor

## J) NOMINATION OPTION (FOR DEMAT & TRADING ACCOUNT)

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

### Nomination Details

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



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

DEMAT / TRADING ACCOUNT FORM FOR INDIVIDUAL ONLY

Nomination can be made upto three nominees in the account		Details of 1 <sup>st</sup> Nominee		Details of 2 <sup>nd</sup> Nominee		Details of 3 <sup>rd</sup> Nominee																			
1	Name of the Nominees(s) [Mr./Ms.]																								
2	Share of each Nominee Equally <input type="checkbox"/> If not equally, please specify percentage	%		%		%																			
Any odd lot after division shall be transferred to the first nominee mentioned in the form																									
3	Relationship with Applicant [if any]																								
4	Address of Nominee(s)																								
	Pin																								
5	Mobile/Telephone No.of nominee(s)																								
6	Email IDs of nominee(s)																								
7	Nominee Identification details - [Please tick any one of the following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID	Attach here recent passport size colour photograph and sign below		Attach here recent passport size colour photograph and sign below		Attach here recent passport size colour photograph and sign below																			
Sr. Nos. 8-14 should be filled only if nominee is a minor																									
8	Date of Birth [in case of minor nominee(s)]	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y
9	Name of Guardian (Mr./Ms.) [in case of minor nominee(s)]																								
10	Address of Guardian(s)																								
	Pin																								
11	Mobile/Telephone No.of Guardian(s)																								
12	Email IDs of Guardian(s)																								
13	Relationship of Guardian(s) with nominee																								
14	Guardian Identification details- [Please tick any one of the following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID	Attach here recent passport size colour photograph and sign below		Attach here recent passport size colour photograph and sign below		Attach here recent passport size colour photograph and sign below																			

## Signature of witness for Nomination

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

Name of witness	Address	Signature of witness
		D D M M Y Y Y Y



DP\_INDNM\_F



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## Declaration Form for opting out of nomination [Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/604]

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

### Name and Signature of Holder(s)\*

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

### Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant."

Name of Holder(s)		Signature of Holder (s)
Sole/First Holder OR a Guardian (in case sole holder is a minor)		X
Second Holder		X
Third Holder		X



DP\_INDSPS\_B

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

**DEMAT / TRADING ACCOUNT FORM FOR INDIVIDUAL ONLY**

## Notes :

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination, are as below:
  1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly, Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
  2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
  3. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
  4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account, Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
  5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
  6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
  7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
  8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
  9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
  10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
  11. Savings bank account details shall only be considered if the account is maintained with the same participant.
  12. DP ID and client ID shall be provided where demat details is required to be provide.
4. For receiving statement of Account in electronic from :
  - I Client must ensure the confidentiality of the password of the email account.
  - II Client must immediately inform the Participant if the email address has changed.
  - III Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
5. Strike off whichever is not applicable.



DP\_INDNTS\_F

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit



## Annexure-K PART - II : ACCOUNT OPENING FORM (For Non-Individuals)

(Please fill all the detail in CAPITAL LETTERS Only)

I/We request you to open a depository account in our name as per the following details :

CLIENT ID									
-----------	--	--	--	--	--	--	--	--	--

DATE									
------	--	--	--	--	--	--	--	--	--

### A) DETAILS OF ACCOUNT HOLDERS(S) :

D D M M Y Y Y Y

	Name of the Holder (s)	PAN
Sole / First Holder		
Second Holder		
Third Holder		

- B) TYPE OF ACCOUNT : ☐ Body Corporate ☐ FI ☐ FII ☐ Bank  
☐ Trust ☐ Mutual Fund ☐ Qualified Foreign Investor ☐ CM  
☐ HUF ☐ Others (please specify) \_\_\_\_\_

- C) For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc, although the account is opened in the name of the partner(s), Trustee(es) etc., the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc, should be mentioned below :

i) Name \_\_\_\_\_ ii) PAN \_\_\_\_\_

### D) INCOME DETAILS (Please Specify)

Income Range per annum (Please tick any one)

- ☐ Below Rs. 20 lac ☐ Rs. 20 - 50 lac ☐ Rs. 50 lac - 1 crore  
☐ Above Rs. 1 crore

And Networth Amount is Rs. \_\_\_\_\_ As on date \_\_\_\_\_  
 (Networth should not be older than 1 year)

D D M M Y Y Y Y

### E) In case of FIIs/Others (as may be applicable)

RBI Approval No. : \_\_\_\_\_ SEBI Registration No. (for FIIs) \_\_\_\_\_

RBI Approval Date : \_\_\_\_\_

D D M M Y Y Y Y

### F) BANK DETAILS :

Bank Account Type : ☐ Savings ☐ Current ☐ Others (Please specify) \_\_\_\_\_

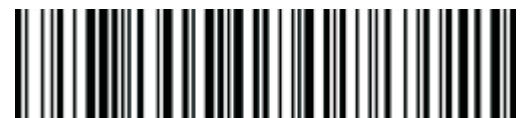
Bank Name : \_\_\_\_\_ Bank Account No. : \_\_\_\_\_

Branch Address : \_\_\_\_\_

City/Town/Village \_\_\_\_\_ Pincode \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_

MICR Code \_\_\_\_\_ IFSC \_\_\_\_\_



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

**DEMAT ACCOUNT FORM FOR NON-INDIVIDUAL ONLY**

- G) Please tick, if applicable for any of your  
authorised Signatories / Promoters / Partners /  
Karta / Trustee / Whole-time Directors
- ☐ Politically Exposed Person (PEP)
- ☐ Related to a Politically Exposed Person (PEP)

## H) Clearing Member Details (to be filled up by Clearing Members Only)

1. Name of Stock Exchange \_\_\_\_\_
2. Name of Clearing Corporation /  
Clearing House \_\_\_\_\_
3. SEBI Registration No. \_\_\_\_\_ 4. Clearing Member ID \_\_\_\_\_
5. Trade Name \_\_\_\_\_
6. CM-BP-ID \_\_\_\_\_  
(to be filled up by Participant)

## I) Standing Instructions

- 1) We authorise you to receive credits automatically into our account. ☐ Yes ☐ No
- 2) Account to be operated through Power of Attorney (PoA) ☐ Yes ☐ No
- 3) SI for auto pledge confirmation ☐ Yes ☐ No
- 4) SMS Alert facility :  
Ensure that the mobile number is provided in the KYC Application Form].

Sr. No.	Holder	
1.	Sole/First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No

- 5) Mode of receiving Statement of Account [Tick any one] ☐ Physical Form ☐ Electronic Form

- 6) Sharing of Email with RTA ☐ Yes ☐ No

(Read note 3 and ensure that email ID is provided in KYC Application form)

## J) List of family members (Seperate Annexure maybe used in case number of members is higher)

Sr. No.	Name of Coparcener / Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/ Member (Please Specify)



DP\_NONIND\_F

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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, we are aware that we may be held liable for it. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant."

**Authorised Signatories (enclose a Board resolution for Authorised Signatories) In case of HUF**  
**Details of karta to be given**

Sole/First Holder	Name	Signature of Holder(s)
First Signatory / Karta of HUF		<b>X</b>
Second Signatory		<b>X</b>
Third Signatory		<b>X</b>
<b>Other Holders</b>		
Second Holder		<b>X</b>
Third Holder		<b>X</b>

Mode of Operation for Sole/First Holder (in case of joint holding, all the holders must sign) In case of HUF this is not Applicable

- ☐ Any one Singly
 ☐ Jointly by \_\_\_\_\_
 ☐ As per resolution
 ☐ Other (please specify) \_\_\_\_\_

### Notes :

- In case of additional signatures, separate annexures should be attached to the application form.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving statement of Account in electronic form :
  - Client must ensure the confidentiality of the password of the email account.
  - Client must immediately inform the Participant if the email address has changed.
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.



DP\_NONINDSPS\_B

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## FATCA / CRS Declaration (Non – Individuals)

**Demat & Trading Account Form - Non Individuals**

Sr. No.	Particulars	Details														
<b>PART A: GENERAL DETAILS OF NON-INDIVIDUAL ENTITY</b>																
1.	NAME OF ENTITY															
2.	PAN															
3.	COUNTRY OF INCORPORATION	<input type="checkbox"/> India <input type="checkbox"/> US      Others _____														
4.	NETWORTH IN INR															
5.	NET WORTH AS ON (DD/MM/YYYY)															
6.	NATURE OF BUSINESS (Eg. Manufacturing, Financial Services, Consultancy, Retail etc.)															
7.	SERVICES PROVIDED (Tick if applicable)	<input type="checkbox"/> Foreign Exchange/ Money changer services	<input type="checkbox"/> Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates]	<input type="checkbox"/> Money Laundering / Pawning												
		Any Other: _____														
8.	DECLARATION FOR TAX RESIDENCY <i>Is "Entity" a tax resident of any country other than India?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)														
		<table border="1"> <thead> <tr> <th>Country</th> <th>Tax Identification Number</th> <th>Identification Type (TIN or others, specify)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>			Country	Tax Identification Number	Identification Type (TIN or others, specify)									
Country	Tax Identification Number	Identification Type (TIN or others, specify)														
9.	WHETHER "SPECIFIED US PERSON"	<input type="checkbox"/> Yes <input type="checkbox"/> No														



FATCANI\_F1

## Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

Sr. No.	Particulars	Details
<b>PART B: (TO BE FILLED BY FINANCIAL INSTITUTIONS OR DIRECT REPORTING NFFE<sub>s</sub>)</b>		
1.	We are a, <input type="checkbox"/> Financial institution Or <input type="checkbox"/> Direct reporting NFFE <i>(Tick appropriate box)</i>	GIIN: _____  <i>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below</i>  Name of Sponsoring Entity: _____ _____
	GIIN not available: <input type="checkbox"/> Applied for <input type="checkbox"/> Not required to apply for (Please specify sub-category) <input type="checkbox"/> Not obtained (Non-participating FI)	
<b>PART C: (PLEASE FILL ANY AS APPROPRIATE)</b>		
1.	IS THE ENTITY A PUBLICLY TRADED COMPANY <i>(that is, a company whose shares are regularly traded on an established securities market)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No Name of Stock Exchange: _____
2.	IS THE ENTITY A RELATED ENTITY OF A PUBLICLY TRADED COMPANY	<input type="checkbox"/> Yes <input type="checkbox"/> No Name of Entity : _____ Name of Stock Exchange : _____ Nature of Relation: _____
3.	IS THE ENTITY AN ACTIVE NFE	<input type="checkbox"/> Yes <input type="checkbox"/> No Nature of Business : _____ Please specify the sub-category of Active NFE: _____
4.	IS THE ENTITY AN PASSIVE NFE (If yes, fill part D)	<input type="checkbox"/> Yes <input type="checkbox"/> No Nature of Business : _____

GIIN: Global Intermediary Identification Number | NFFE: Non-Financial Foreign Entities



FATCANI\_B1

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

Demat & Trading Account Form - Non Individuals

## PART D : CONTROLLING PERSON DETAILS

Please list below the details of each controlling person(s), confirming ALL countries of tax residency/permanent residency/citizenship and ALL Tax Identification Numbers for EACH controlling persons (Please attach additional sheets if necessary):

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

	Controlling Person 1	Controlling Person 2	Controlling Person 3
Name			
Country of Tax Residency			
Address & contact details (include City State, Country & Pin code)			
Telephone/ Mobile number with ISD code			
Tax identification number (or functional equivalent) for each country identified in relation to each person			
Identification Type (TIN or Other, please specify)			
Percentage of beneficial interest			

Additional details to be filled below by controlling persons having tax residency/permanent residency/citizenship in any country other than India including green card holders :

	Controlling Person 1	Controlling Person 2	Controlling Person 3
Customer ID (if allotted)			
Gender (Male, Female, Other)			
City & Country of Birth			
Occupation Type			
Nationality			

### Ultimate Beneficiary Details

(Attach additional sheet in case of more entries)

*Provide details of all corporate(Non-individual) Shareholders of the entity*

Sr. No.	Name of Corporate Shareholder	Is The Shareholder a Publicly Traded Company (Y or N)	% of shares owned by the Corporate shareholder	Name of Majority owners (more than 25%) of the corporate shareholder



FATCANI\_F2



## Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## Disclosure of majority shareholders (Individuals) of the Entity

Provide details of any person holding more than 25% share capital in the entity\*

Sr. No.	Name of Shareholder	PAN number of the shareholder	% of shares owned by the shareholder

\*Also fill-out the individual CKYC form for all such shareholders, unless the entity is a listed entity

## DECLARATION

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include UnitedStates in the foreign country information field along with your US Tax Identification Number.

## CERTIFICATION

I have understood the information requirements of this Form (read along with the FATCA/CRS Instructions) and hereby confirm that the information provided by me on

this Form is true, correct, and complete.

I also confirm that I have read and understood the FATCA CRS Terms and Conditions and hereby accept the same.

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Signature: \_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_



FATCANI\_B2

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit



DP ID : IN 300982

## SCHEDULE - A DEPOSITORY SERVICE CHARGES (Valid upto 31-03-2022)

Particulars		Charges
Account Opening		-- Nil --
Account Closing		-- Nil --
Purchase Transaction		-- Nil --
Sale Transaction / Market		0.02% (Min. Rs.20/- per transaction / Per ISIN)
Sale Transaction / Off-market / Inter-depository Transfer		0.02% (Min. Rs.30/- up to 1.0 lac / above 1.0 lac 0.02% + Stamp duty as applicable
Sale Transaction through 'Speed-e'		0.02% (Min. Rs. 12/- per transaction / per ISIN)
Off Market Transaction - Purchase		-- Nil --
Account Maintenance Charge (up to March 31, 2022)	Corporates	Rs. 1,500/-
	Non Registered Trust	Rs. 1000/-
	Partnership Firm	Rs. 1000/-
	NRI	Rs. 1000/-
	Non Corporates opting physical documents	Rs. 450/-
	Non Corporates opting electronic documents	Rs. 350/-
Client Details Modification : Change of Address / Bank Details / Nomination		Rs. 25/- per request
Dematerialisation Charges		Rs. 5/- per certificate (Min. Rs. 100/- per request)
Rematerialisation Charges		Rs. 50/- per request for 100 shares Rs. 20/- for every additional 100 shares
Pledge : Creation / Closure / Invocation		Rs. 50/- per transaction
Freeze - De - Freeze		Rs. 50/- per application
KRA		Rs. 50/-
Margin Pledge		Rs. 50/-
POA		Rs. 300/-
I/We wish to avail the BSDA Facility		<input type="checkbox"/> Yes <input type="checkbox"/> No

■ All charges will be collected upfront. ■ Adhoc / Additional statement of account or client master list issued @ Rs. 5/- per page. Minimum Rs. 25/- ■ Urgent Pay-in / Delivery Rs. 30/- per ISIN to be paid additional  
 ■ No extra charge for failed transaction. ■ Delivery instruction slip stop request (if more than 5 slips unused) Rs. 25/- per request. ■ No courier charges for Dematerialisation request and outstation communication. ■  
 ♦ Same day execution of Delivery Instructions for markets transaction received up to 4.00 p.m. from Monday to Friday. (On Saturdays upto 12.00 p.m.) ♦ Delivery instructions for market transaction received after SEBI directed deadline (i.e. after 4.00 p.m. of previous working day of pay - in) will be treated "AT CLIENT RISK". ♦ Off-market / Inter-depository transactions for same day execution will be treated 'AT CLIENT RISK'.

**X**

Signature of Sole/First Holder

**X**

Signature of Second Holder

**X**

Signature of Third Holder

# After the above date the rate may be revised and informed accordingly.

DEMAT ACCOUNT FORM



SCHEME\_F

## **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.



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

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 service 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.



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## DEMAT ACCOUNT FORM

### 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, and 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 documents.

**X**

Sole / First Holder

**X**

Second Holder

**X**

Third Holder



DPRO\_3\_B



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## Mobile & Email Declaration

[Please tick (✓) wherever applicable]

DP ID	<b>IN300982</b>	Client ID		Date	
		Client Code		Date	

Name of 1 <sup>st</sup> holder			
	<b>Details</b>	<b>Relationship with the person whose Mobile number/ E-mail Id is provided (Tick ✓ wherever applicable)</b>	
<b>Mobile Number</b>		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents	
<b>E-mail Id</b>		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents	
<b>Name of Person (M)</b>		<b>Name of Person (E)</b>	

Name of 2 <sup>nd</sup> holder			
	<b>Details</b>	<b>Relationship with the person whose Mobile number/ E-mail Id is provided (Tick ✓ wherever applicable)</b>	
<b>Mobile Number</b>		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents	
<b>E-mail Id</b>		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents	
<b>Name of Person (M)</b>		<b>Name of Person (E)</b>	

Name of 3 <sup>rd</sup> holder			
	<b>Details</b>	<b>Relationship with the person whose Mobile number/ E-mail Id is provided (Tick ✓ wherever applicable)</b>	
<b>Mobile Number</b>		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents	
<b>E-mail Id</b>		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents	
<b>Name of Person (M)</b>		<b>Name of Person (E)</b>	

Signature of 1 <sup>st</sup> holder	<b>X</b>
Signature of 2 <sup>nd</sup> holder	<b>X</b>
Signature of 3 <sup>rd</sup> holder	<b>X</b>

**DEMAT & TRADING ACCOUNT FORM**



UEM\_MOB\_F

## FATCA / CRS DECLARATION / SELF CERTIFICATION

Trading Code									DP ID IN300982	Demat ID								
--------------	--	--	--	--	--	--	--	--	----------------	----------	--	--	--	--	--	--	--	--

1				
		<b>First/Sole Holder</b>	<b>Second Holder (if any)</b>	<b>Third Holder (if any)</b>
	Are you U.S. Person? (Includes person born in USA)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Residence for Tax purposes in jurisdictions(s) outside India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Citizenship of any country other than India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Note :** If your answer to any of the above questions is 'YES', please fill the below section 2 of the form, else go to declaration & acknowledgment

2	Sr. No.	Details		1st Holder	2nd Holder	3rd Holder
	1.	Address in the jurisdiction details where applicant is resident outside India for tax	Address			
			City / Town / Village			
			State, Pin Code and Country			
	2.	Country of Birth	US			
			Other			
	3.	Place of Birth	City / Town			
	4.	Source of Wealth	Salary			
			Business			
			Gift			
			Ancestral Property			
			Rental Income			
			Prize Money			
			Others			

Please specify the details of all countries where you hold tax residency and its Tax identification Number & Type :

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1.	Country of Residence for Tax Purpose (Other than India)#			
2.	Tax Identification No. (US TIN) or Equivalent (Other)			
3.	Identification Type			

# To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/ Tax Resident in those respective countries especially of USA.

## Declaration & Acknowledgement

1. I have understood the information requirement of this form (read with the FATCA-CRS Instructions below) and hereby confirm that the information provided above is true, correct and complete to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. In case of any change in the above given status on a future date, I undertake to inform PRAVIN RATILAL SHARE AND STOCK BROKERS LTD the same within 30 Days.
2. I/We understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with FATCA/CRS. The Stock Broker is not able to offer any tax advice on FATCA or CRS or its impact on the applicants and I/We shall seek advice from professional tax



advisor for any tax questions. I /We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to regulators / tax authorities / or close or suspend my/our account(s).

3. I agree that if I/am a U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.) requiring reporting under FATCA/CRS or any other Law, my account details, as required under inter governmental agreement (IGA)/Multilateral competent authority agreement (MCAA) Signed by Indian government, Would be reported by PRAVIN RATILAL SHARE AND STOCK BROKERS LTD to the relevant Tax Authority.
4. If My Country of Birth is US, I/am providing a certificate of relinquishment of Citizenship (loss of Nationality) or a self certification for stating reason for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

I hereby authorize you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

<b>Signature</b>	<b>Sole/First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
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#### FATCA/ Common Reporting Standards (CRS)

1. Who is US person?  
In case of individuals, U.S. person means a citizen or Resident of the United States. Persons who would qualify as US person could be born in the United States, Born outside the United States of a US parent, Naturalized Citizens, Green Card Holders, Tax residents.
2. Who is a reportable person (non US) under common reporting standards (CRS)?  
Under common reporting standards (CRS), Reportable person means tax resident of a reportable foreign jurisdiction other than US and India
3. Document to be collected if Customer's Country of birth is US but Declares that he/she is not a US person
  - Certificate of relinquishment of citizenship (loss of nationality certificate); or
  - Self certification for stating reason for not having such a certificate despite relinquishing US citizenship; Or
  - Self certification for stating reasons for not obtaining US citizenship at birth.
4. MF transactions will be permitted to clients/ joint holders in new folios after reviewing this declaration and existing KYC data and only if permitted by AMCs.
5. Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

Also note that you may receive more than one request to provide this information, if you have multiple relationships with us or our group entities. Therefore it is important that you respond to our request, even if you believe that you have already provided this information earlier.

Please note that above information is provided only for quick reference to customers. You are requested to refer Rule 114F, 114G and 114H of Income-tax Rules, 1962 consult a legal/tax advisor for any clarification



FATCA\_B



# TRADING ACCOUNT FORM

### A. DEPOSITORY ACCOUNT(S) DETAILS

Client Name : \_\_\_\_\_

**D D M M Y Y Y Y**

TRD AC1 F

# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

☐ Physical ☐ Electronic

Specify your email ID, if applicable : \_\_\_\_\_

Whether you wish to avail the facility of internet trading / wireless technology (please specify) :

☐ Yes ☐ No

• Number of years of Investment / Trading Experience in Equity & Derivatives : \_\_\_\_\_ Years

## H. INTRODUCER DETAILS (optional)


Name of the Introducer : \_\_\_\_\_  
(Surname) (Name) (Middle Name)

Status of the Introducer : ☐ Remiser ☐ Authorised Person ☐ Existing Client  
☐ Others, Please specify : \_\_\_\_\_

Address of Introducer : \_\_\_\_\_  
\_\_\_\_\_

Phone / Mobile No. : \_\_\_\_\_

Code No. : \_\_\_\_\_

Introducer's Signature : 

## 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.

Place : \_\_\_\_\_

Date : \_\_\_\_ / \_\_\_\_ / \_\_\_\_

(**X** \_\_\_\_\_)  
Signature of Client / (all) Authorised Signatory(ies)



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## **RIGHTS AND OBLIGATIONS OF STOCK 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 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 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 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 the 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.



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## TRADING ACCOUNT FORM

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





## **Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit**

the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The Stock 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.

### **ADDITIONAL RIGHTS AND OBLIGATIONS**

29. 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.
30. 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.
31. 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.
32. 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.
33. 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.
34. 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.
35. 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)**

36. 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.
37. 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.
38. 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.



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39. 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.
40. 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.
41. 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

42. In addition of the specific rights set out in this document, the stock 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.
43. 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.
44. 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.
45. 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.
46. 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.
47. 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.

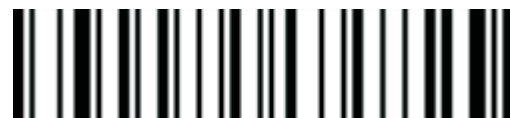


# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## **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 whosoever 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.





# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## **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.

**TRADING ACCOUNT FORM**



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# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## 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.



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# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## TRADING ACCOUNT FORM

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.



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## ***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](http://www.exchange.com) and SEBI website [www.sebi.gov.in](http://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, 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 may maintain a 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





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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 gives 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.

**TRADING ACCOUNT FORM**



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## Policies and Procedures

The Exchanges as well as SEBI has laid down various Rules, Regulations, Bye Laws and guidelines that are to be followed while transacting on an Exchange. As part of our due diligence and risk management we, **Pravin Ratilal Share And Stock Brokers Ltd** (hereinafter “**PRSSB**”), through this document has framed out various policies and procedures under the said Rules, Regulations, Bye-laws and guidance with respect to our dealing with the clients for securities market transactions.

All clients are required to take note of the said policies and procedures given herebelow and act accordingly;

### 1. Refusal of orders for Penny Stocks:

- (a) Following type of scrips are categoried under the Penny Stock;
  - i) Scrips which are quoting at less than Rs.10/- on any of the Exchanges.
  - ii) Scrips appearing in the list of illiquid securities issued by the Exchanges periodically.
- (b) We shall not entertain orders from any of the client for transacting (either buying or selling) in any penny stocks. However, it would be considered on case to case basis, which shall be at our sole discretion only.
- (c) In case any client wants to sell the penny stock already held by them in a Demat account, the same shall be allowed on a case to case basis, at our sole discretion.
- (d) Under the above circumstances, the client will have to provide a copy of their Demat Holding wherein the said penny stock is mentioned to be held by the client along with a valid reason for sale of such penny stock.

### 2. Exposure Limit

- (a) Under the risk management activity, the clients registering their name for trading on the NSE/BSE through us will have to provide their financial details with the required supporting proof (as mentioned in the KYC) of the same, which will be scrutinized by our panel of risk managers and accordingly the respective clients will be provided with a fixed limit for their trading activity called the Exposure Limit.
- (b) According to the limit provided to the client, they can undertake transactions only upto that amount and beyond this no order will be accepted by the dealer.
- (c) Following is the criteria for granting of an Exposure Limit to a client;

#### Cash Segment :-

- From a risk management perspective, exposure based and/or margin based limits may be given to the clients as decided by us. Limits will be given on the basis of credit balance and/or collateral / securities of the client lying with us valued after hair cut. However, on a case to case basis, excess limits may also be allowed.

#### Derivative Segment :-

- Margin based limits will be given to clients for doing trades in Derivative Segment.
- Limits in derivative segment will be given on the basis of free credit balance and/or collateral / securities of the client available with us valued after hair cut, which will be done based on the type and nature of scrip, liquidity and volatility of the scrip, etc., from time to time.
- In case of excess limit is availed, the same will be regularised by the end of trading session / day. However, on a case to case basis, the excess limit may be allowed to be carried forward.

We may from time to time depending on the market conditions, profile and history of the client, type and nature of the scrip, etc., may at our sole discretion and in accordance to the rules, regulation, bye-laws and guidelines of the Exchanges/SEBI, change the rate of haircut applicable on the securities/collateral, number of times the limit to be given in cash / derivatives segments and take such steps as we may deem necessary.

### 3. Brokerage Rate

- (a) According to the Rules, Regulations, Bye Laws and guidelines of the Exchanges / SEBI the maximum brokerage to be charged is 2.50%
- (b) The brokerage rate charged by us would be as follows:-



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Maximum – 0.75% for delivery based  
(Subject to a minimum of 10 paise flat)  
0.20% for intra-day

- (c) Initially all new clients will be charged the maximum brokerage as mentioned in point 3(b) above. Thereafter, considering the client's volume of business as well as their financial discipline and risk factor, the brokerage structure could be revised accordingly to a suitable level.
- (d) Any change in the above rates are subject to change from time to time at the sole discretion of the management. The clients shall be intimated in writing of any increase in the above rates atleast 15 days prior to such increase. However, the clients shall not be intimated of any decrease in the same.

## 4. Penalty / Delayed payment charges

- (a) As per the Rules, Regulations, Bye Laws and guidelines prescribed by the Exchange / SEBI, a client purchasing any security on any of the Exchanges has to make payment for the said purchases before the settlement / Pay-in date of the said transaction.
- (b) In case any client fails to make the said payment within the stipulated period then penalty @ 18% per annum will be charged by us on such delayed payment till the time the said payment is cleared by the client.

## 5. Right to sell client's securities or close client's position

- (a) The client shall be liable to fulfill their settlement / margin obligation.
- (b) In case the client fails to fulfill their obligations, we shall have the right to sell / liquidate / close out all or any of the client's position for non-payment of margins, outstanding debts or other amounts, etc., and adjust the proceeds of such sale / liquidation / close out, against the client's settlement / margin obligations.
- (c) Any and all losses and financial charges on account of such sale / liquidation / closing out shall be charged to and borne by the client themselves.
- (d) We may at our sole discretion, square off any outstanding position of the client due to any restrictions in relation to volume of trading/outstanding business or margin stipulated by the Exchange, Clearing Corporation/Clearing House and/or Stock Broker/s and/or any other extraordinary event warranting such square off, under the provisions of Rule 8(1) and Rule 8 (3) of SCRR (Securities Contract (Regulation) Rules, 1957.
- (e) "As per the SEBI circular No. CIR/HO/MIRSD/DOP/CIR/P/2019/75 Dtd. 20-9-2019 on handling of clients securities Pravin Ratilal Share And Stock Brokers Ltd. shall transfer the securities purchase by the client to clients demat account within one working day of the pay out if clear payment is received from the client and if the client fails to make the payment in full than Pravin Ratilal Share And Stock Brokers Ltd. shall transfer the securities to the "Client unpaid securities account (CUSA)." The securities kept in the CUSA shall either be transferred to the Demat account of the client upon fulfillment of its funds pay in obligation or incase of the payment is not received by the client it shall be dispose of in the market by Pravin Ratilal Share And Stock Brokers Ltd. within 5 trading days after the date of payout without any notice to the client to the extent of demat balance of the client and/or as per the risk management policy of Pravin Ratilal Share And Stock Brokers Ltd. and balance securities shall be transferred to the respective clients demat account."

## 6. Client position

- (a) The client shall not be allowed to take any further position if the client has reached their assigned exposure limit or if there is an outstanding debit balance lying in their account over a period of more than 3 days.
- (b) Under the above condition the client shall have to bring in additional deposit to increase the exposure limit or make payment of the outstanding dues.
- (c) In some cases, the client shall also be not allowed to take further position if their payment history is very irregular.



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(d) We may at any time, at our sole discretion disallow the client from creating further/fresh position in any segment on the Exchanges or close out any existing position of the client based on our risk assessment and/or if so directed by any Government / Regulatory / Stock Exchange authority.

### 7. Shortage in obligation

If the client defaults in their sale obligation by not delivering the shares sold by them, due to which an internal shortage arises in a particular scrip, then under such circumstances, after informing such defaulting seller client, the share to the extent of shortage due to non-delivery by the seller client will be purchased from the market on the next trading day as and when available, under the concerned seller client's code. It will then be delivered to the buying client on receipt of the same.

In case the share cannot be purchased back for any reason whatsoever, the same shall be closed out at 20% above the closing price on T day. Any loss of corporate benefit to the buyer shall be recovered from the defaulting seller client. Fines / penalties / charges shall be levied on the selling client on account of internal shortage.

For SLB Segment, in the Client defaults in their landing obligation by not delivering the shares landed by them, due to which shortage arises in particular scrip, then in such circumstances, the transaction is closed out as per the guidelines provided by the exchange/s.

### 8. Suspending or closing a Client's account

Sometimes, the client may not be willing to undertake any transaction for a certain fixed period of time due to any reason. During such periods, if the client so wishes, they may temporarily suspend or close their trading accounts so as to ensure the safety of their securities and account by submitting a written application duly signed by the holder themselves.

Besides, a clients trading account can also be temporarily suspended or closed by us if a client has reached its exposure limit and the outstanding is not being cleared within the stipulated time period, such accounts would be temporarily suspended till the time the client brings in additional deposit for increasing the exposure limit or clears the outstanding dues.

### 9. De-registering a Client

Notwithstanding anything to the contrary stated in the agreement, we may at our sole discretion de-register the client's account in the circumstances including but not limited to the following;

- (a) The client has breached the Agreement, or has misrepresented facts at the time of entering into an Agreement or at the time of giving instruction or otherwise.
- (b) If the action of the client are prima facia illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities market, either alone or in conjunction with other.
- (c) On the death / lunacy / winding up / bankruptcy / liquidation / legal incapacitation or other disability of the client.
- (d) Debarment of the client by any credit rating agency or any regulatory authority.
- (e) If there is any commencement of a legal process against the client under any law in force.
- (f) If the client fails to fulfill his/her/their payment obligation either fully or partially under this agreement, or suffers any adverse material change in its financial position.
- (g) If the client fails to maintain the Securities Account or any replacement thereof.

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



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## 10 Policy for Dormant / In-active account :

As per Broker's RMS policy, the account in which no transaction has took place during the period of 12 months or such other period from the date of last transaction, the same shall be considered as Dormant/In-active account.

In order to reactive the account, client needs to instruct the Broker in writing with all the required data and documents with actual presence of the client, atleast 2 days in advance at its Ahmedabad H.O. The Broker will try to promptly reactive the said account subject to fulfilment of and as required by the exchange such conditions as Broker may consider fit and proper and as required by the exchange. Such written request may also be sent by Client himself to Pravin Ratilal Share And Stock Brokers Ltd. from client's own e-mail account registered with Broker. However, Broker However, Broker may in its own discretion, waive/reduce the period of 2 days as the circumstances may warrant on case to case basis.

The aforementioned policies and procedures have been framed out under various clauses mentioned in the Rules, Regulations, Bye-laws and guidelines prescribed by SEBI and the Exchanges as well as the amendments brought out from time to time. In case of any contravening clause framed herein, the relevant clause mentioned under the said Rules, Regulations, Bye-laws and guidelines of SEBI and the Exchanges shall overrule such contravening clause.

### BROKERAGE AND TARIFF

Sr. No.	Particulars	Rate in %	Remarks
1	Delivery Based		
2	Intra-day		
3	Derivatives		
4	Options		

#### Notes :

- (1) Brokerage will be charged within the limits prescribed by SEBI/Exchanges and in%age on transaction value basis as shown above.
- (2) Brokerage will be charged on per share basis, rounded off to nearest 2 to 4 decimal points as per back office software of the stock broker and then multiplied with the total number of shares, in order to calculate total brokerage per transaction payable by the client.
- (3) Apart from Brokerage as agreed with you and as disclosed here in above, various other statutory levies at actual from time to time like GST, Stamp duty, Security transaction tax, SEBI fees, Exchange transaction charges and other charges if any, are levied as applicable from time to time.
- (4) Pravin Ratilal Share And Stock Brokers Ltd. reserves the right to revise the brokerage structure, by publishing / displaying the same on its website [www.prssb.com](http://www.prssb.com) and by conveying the same on registered email of client or on a registered address with 30 days prior notice.
- (5) Pravin Ratilal Share And Stock Brokers Ltd. may levy additional charge for any additional / extra service sought by you.





# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## Prevention of Money Laundering

**Basic information about Anti-Money Laundering (AML) measures for general guidance of Clients**

**Money Laundering – A way by which illegal funds and assets are converted into legitimate funds and assets.**

### Introduction

Prevention of Money Laundering Act, 2002 (PMLA 2002) is one of the legal framework put in place to combat money laundering. This act came into force with effect from 1st of July 2005 in order to prevent entry of illegal money into the financial system and thereby corrupting the whole system.

The PMLA 2002 imposes obligation to verify the identity of the client, maintain records and furnish information to FIU-IND.

In view of the above a procedure has been framed out as mentioned herebelow, which is binding on all. The procedures sets out the steps that should be implemented to discourage and identity any money laundering or terrorist financing activities. The relevance and usefulness of these procedures will be kept under review and it may be necessary to amend the same from time to time.

### Procedure

This Procedure Manual gives broad guidelines on Anti Money Laundering Standards for execution of trades for purchase or sale of securities of clients, as per the advice of SEBI/Exchange

The procedure manual gives a full description on how to maintain the records of transactions and the criteria for terming any particular transaction under the Prevention of Money Laundering Act, 2002. It also describes various steps to be ensured strictly while processing the instructions.

As per the guidelines provided by SEBI/Exchange, following are the types of transactions that are to be included;

- All cash transactions of the value of more than rupees ten lakh or its equivalent in foreign currency.
- All series of cash transactions integrally connected to each other which have been valued below rupees ten lakh or its equivalent in foreign currency where such series of transactions have taken place within a month and the aggregate value of such transactions exceeds rupees ten lakh.
- All cash transactions where forged or counterfeit currency notes or bank notes have been used as genuine and where any forgery of a valuable security has taken place.
- All suspicious transactions whether or not made in cash.

A broad guideline on the above is given here below, which is to be clearly understood, implemented and adhered to strictly by all concerned.

### I Registration of New Clients for Trading

Registering a client for opening of a Demat account or a trading account is the primary stage when the client starts their association with us. This is a very crucial and important stage. If the intention of the client is judged at the beginning itself, then preventive steps can be taken at the preliminary stage, thereby preventing heavy damage to the whole system.

Keeping in line with the requirement of the above mentioned policy, as per the requirement of SEBI intimated through their circular ref. no. ISD/CIR/RR/AML/1/06, dated 18th January, 2006 and various other circulars and guidelines issued from time to time, we have framed out a procedure as laid down here below;

- As per the customer acceptance procedure, the client needs to be introduced by an existing client. If not, he should be an existing client for any of our other products.
- Further, the client has to fill up the Know Your Client (KYC) form, as per the KYC policy, by which some of the personal as well as financial details of a client are made available.
- Along with the KYC, the client also has to execute various types of agreements and documents, as the case may be, on non-judicial stamp paper as per the prescribed format.
- Once the KYC form is duly filled-up and all the agreements are executed, the same has to be submitted at our office with the necessary supporting documents viz; Permanent Account Number (PAN) card, proof of indentity (POI), proof of address (POA), etc.



5. These documents are to be verified by the receiving person, including the copies of the supporting documents with their corresponding originals. The details of the PAN card is to be verified with the prescribed website. Stringent verification of the supporting documents is mandatory to ensure the authenticity of the prospective client.
6. In-person verification (IPV) of a client is also mandatory as this procedure authenticates the identity as well as status of the client.
7. An Executive/Officer visits the client at their location for conducting the IPV, wherein the factors of risk perception of a client in regards to the clients' identity, location (correspondence address / other address, if applicable), nature of business activity, manner of making payment for transactions, etc are also taken into consideration. If required, an enquiry is conducted through our own reliable source in order to identify and further verify the authenticity of the client.
8. Once the above procedures are completed and the authenticity verified, the KYC form is sent for processing and the Client ID/Code is generated through the system. This procedure adopted by us helps us to ensure that no account is opened in a fictitious / benami name or on an anonymous basis.

## II Monitoring of Clients' transactions

1. Regular monitoring of clients' transaction and understanding of the clients' normal activity is vital to identify the deviant transactions / activities and for ensuring the effectiveness of the Anti Money Laundering procedure.
2. Complex and unusually large transactions should be paid special attention and the details, especially financial background should be verified and called for.
3. Any suspicious transaction or any transaction of suspicious in nature should be brought to the notice of the higher authorities or the head of the department, who in turn will report the matter to the concerned authority in the form of a detailed report with specific reference to the clients, transactions and the nature / reason of suspicion. The following factors should be considered for the same;
  - i. The nature of the transactions;
  - ii. The amount of the transaction and the currency in which it was denominated;
  - iii. The date on which the transaction was conducted; and
  - iv. The parties to the transaction.
4. The concerned authority should conduct periodical random examination of select transactions of the clients and comment on their nature.
5. A list of circumstances which may be in the nature of suspicious transactions is given below.
  - (a) Clients whose identity verification seems difficult or client appears not to co-operate
  - (b) Asset management services for clients where the source of the funds is not clear or not in keeping with clients apparent standing /business activity;
  - (c) Clients in high-risk jurisdictions or clients introduced by banks or affiliates or other clients based in high risk jurisdictions;
  - (d) Substantial increase in business without apparent cause;
  - (e) Unusually large cash deposits made by an individual or corporate bodies;
  - (f) Clients transferring large sums of money to or from overseas locations with instructions for payment in cash;
  - (g) Transfer of investment proceeds to apparently unrelated third parties;
  - (h) Unusual transactions by Clients of Special Category (CSC) and businesses undertaken by shell corporations, offshore banks /financial services, businesses reported to be in the nature of export-import of small items.
6. Since most of the clients are having their BO Account with our DP, their Demat account also needs to be monitored on a regular basis in order to identify the ultimate owner / controller of the securities. Necessary information to this effect has been passed on as well as explained the necessity and importance of the same to our DP staff.



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### III Record Keeping

1. All records are to be maintained and kept in compliance to the SEBI Act, 1992, Rules and Regulations made there-under, PML Act, 2002 as well as other relevant legislation, Rules, Regulations, Exchange Bye-laws and circulars.
2. Records maintained should be sufficient enough to permit the reconstruction of any individual transaction, as and when necessary.
3. For such reconstruction, the following information should be retained for the accounts of the clients in order to maintain a satisfactory audit trail;
  - (a) Beneficial Owner of the account
  - (b) Volume of funds flowing through the account and
  - (c) For selected transactions;
    - The origin of the funds
    - The form in which the funds were offered or withdrawn, e.g. cash, cheque, etc.
    - The identity of the person undertaking the transaction
    - The destination of the funds
    - The form of instruction and authority.

The above procedure is a preliminary guideline only. The relevance and usefulness of these guidelines will be reviewed and amendments made from time to time in order to further strengthen the system.



## Terms and Conditions

### Annexure to the Rights and Obligations

The Client has read all the clauses mentioned in the 'Rights and obligation', 'RDD' and 'Guidance Note' prescribed herein above for the purpose of trading on the National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE) through Pravin Ratilal Share And Stock Brokers Ltd (hereinafter referred to as "PRSSB" or "the Member").

For the purpose of taking additional services from the Member and in order to define the operating terms and conditions, the Member and Client have agreed to the terms and conditions herein contained.

The terms and conditions contained herein are binding on the Client. The Client has agreed to avail of the various services from the Member after fully understanding the terms and conditions. The terms and conditions shall be subject to modification from time to time, which shall be suitably informed and such modifications are binding on the client.

### Order & Execution

1. The Member reserves the right of refusing to execute all or any particular order/transaction without furnishing any reason for the same.
2. It shall be at the sole discretion of the Member to amend or change from time to time, as the Member deems fit all or any of the terms and conditions recorded in this terms and conditions.
3. The Client shall place his/her/their order for purchase/sale of shares and securities either on telephone or orally or on the Internet Based Trading platform, provided the Client has availed the said facility.
4. The client shall place the order for purchase of shares and securities as per the minimum limit prescribed by the Member. The Member shall have the sole discretion to amend this limit.
5. The Member shall not be liable for any loss, which may arise if it is prevented from discharging its obligations due to any causes arising out of or related to any act of God or act of State or any such unforeseen circumstances outside the control of the Member.
6. The Client shall do business with the Member on his/her/their own account and not on account of any other Client.
7. The Client shall be solely responsible for his/her/their Decisions, Investments and Transactions.
8. Any instruction given by an Authorised Representative of the Client to the Member or to the Member's Representative shall be binding on the client.
9. It shall be the responsibility of the Client to revert back to the Member in the event of any discrepancy in his/her/their transaction within two days from the date of transaction.
10. Notwithstanding anything contained in this terms and conditions, any order not executed at the end of trading hours will stand canceled.
11. If the Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will be canceled only if the Client's request for cancellation is received and the order is successfully canceled before it is executed.
12. The Client shall not be entitled to presume an order as having been executed or canceled until a confirmation from the Member is received by the client in this regard.
13. The client hereby agree and aware that the Exchanges require the Stock Broker to maintain the client account for each Exchange/segment separately. For this purpose Stock Broker may allocate the payment received from client for any exchange/segment. Similarly the client authorize the Stock Broker to pass such entries to adjust the debit or credit balance of the client in trading account of or Exchange/segment to the other or vice versa. The client also authorize the Stock Broker to maintain consolidated account of the client to facilitate the day-to-day operations. Such consolidation and segregation of client account as maintained by the Stock Broker shall be binding on the client. Without affecting the generality of the aforesaid.

### Digitally signed Documents

1. The Client authorises the member to make available the digitally signed bill cum contract notes, statements, margin details and any other documents on its portal and also authorises the Member to send these documents by e-mail.
2. The term 'Portal' here shall mean any internet portal or website where the Client shall have access with a login ID and Password for viewing these documents.
3. The clients availing ECN confirms that they do not need any physical contract notes as the member





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is already making these documents available in a digitally signed format on its portal and sending these documents to him/her/them by e-mail also. Provided however that in case when the Member is not able to provide the contract notes through electronic medium due to any unforeseen circumstances, the Member shall provide such undelivered contract notes to the Client in physical form as per the time schedule stipulated by the Exchange / SEBI.

4. For the purpose of sending digitally signed contract notes by email, the email ID specified by the client in the application form or sent by any later communication would be used.
5. It shall be duty of the client to check his/her/their e-mail account and view the contract notes and other documents sent to him/her/them electronically. E-mail documents are taken to be delivered to the client if they leave the email server of the Member as per the guidelines specified by the Exchange / SEBI.
6. Non receipt of bounced mail notification shall amount to delivery of the contract note.
7. The Client shall be required to intimate the Member in case of non-receipt of documents by e-mail within the stipulated time period. Delay in delivery of e-mail sent by the Member due to network and internet related problems, which are beyond the control of the Member is possible and the Client shall construe such delay as normal.
8. Non delivery of the email containing documents due to problems related to the network and internet and due to any other problem in the e-mail at the Client's end, shall not be the responsibility of the Member.
9. The Client shall be required to intimate immediately to the Member in case of any change of e-mail address.
10. For the purpose of viewing his/her/their documents on the portal, the Client shall be provided with a login ID and password to access the said portal, by the Member. It shall be the duty of the Client to keep his/her/their password a secret and not to make it available to any other person in order to prevent misuse of information present in the documents.
11. Upon accessing the portal in a secured manner by using the login ID and password, the Clients shall be able to view the electronic contract notes (ECNs) and other documents. The ECNs and other documents available on the portal as well as received through email is digitally signed as per the IT Act, 2000 in order to ascertain its genuineness and authenticity. The verifier utility is available on the portal and it helps to identify if the contents of the electronic documents are tempered.
12. Due to capacity constraints, it would not be possible to keep such documents ad-infinity on the server. In such a case, the documents older than seven days would be removed and shall be made available to the clients upon specific request.
13. The Member shall not be liable to any problem which may arise at the Client's computer or computer network because of the Client receiving any such documents from the Member in electronic form.
14. The Client shall not hold PRSSB responsible for any losses incurred on account of failure of System/Risk Management System/Network Congestion/Loss of Connectivity from Dealing Office/Place to PRSSB or from PRSSB to the Exchange.
15. The Client shall ensure full confidentiality and secrecy of his/her/their login ID and password. The Member shall not be liable or responsible for any breach of secrecy.

### Charges & Accounting

1. The Client shall be required to pay brokerage on the deals executed at his/her/their behest at such rates as may be decided from time to time by the Member and depending on the Exchange on which the deal is executed. The Client hereby agrees that the Member has informed him/her/them of the brokerage rate applicable which is as mentioned herein above in the application form, and the same is acceptable by the Client.
2. The Client is required to make full payment to the Member for the execution of the contract on the day of execution of trades.
3. The Client is also required to pay upfront margin, by way of cheque / approved securities / collateral, as demanded by the Member for executing the transactions.
4. The Client may maintain a Running Account with the Member for his/her/their operational convenience only provided an authorisation for the same is given. However, such running account shall be settled at least once a month or once a quarter and such authorisation shall continue until it



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is revoked by the client.

5. The client understand and agree that we can debit their accounts either for any additional services provided by us as per their oral requests depending upon opening of relevent account(s) or as may be required in compliance with applicable provisions of law.
6. The Client shall be required to pay an upfront fee / charges, if so required by the Member for availing the services and facilities offered by the Member and the same may be modified from time to time. Such fee / charges shall be non-refundable in nature.
7. For any order placed by the client, the Member has the right to be re-imbursed for any liabilities or expenses incurred for execution of such orders entered into on behalf of the Client.
8. The onus of reconciliation of accounts of the Client and that of the Member, at such frequency as may be stipulated from time to time, rests only with the Client and in case of non-reconciliation of the same, the account as per the books of the Member shall be deemed to be in confirmation with that of the Client. Further, the ledger balance of all the Clients is made available on the internet by the Member. In case of any discrepancy, it shall be the responsibility of the Client to revert back to the Member within the stipulated time period and get the same rectified.
9. The Client hereby agree to fulfill his/her/their obligation towards margin and pay-in as well as all other requirements well within the due date as stipulated by the Exchange/SEBI/Member.
10. The Client shall be liable to pay penalty @ 18% per annum or such other rate as may be decided by the Member from time to time, on all the delayed payments beyond the due date i.e. pay-in date to the Member.

## General

1. The Client hereby declares that the Member has disclosed to him/her/them of the proprietary trading being done by the Member in its pro trading account and knowing this fact the Client has applied for registration as a Client with the Member.
2. The Client agrees that he/she/they has/have been made aware of and accepts the prevailing Risk Management System (RMS) and all other policies of the Member and further shall keep himself/herself/themselves updated of any future RMS policy that may be issued from time to time by the Member.
3. The Client agrees to keep himself/herself/themselves abreast of the current policies, guidelines, circulars, notices, etc issued by SEBI/Exchanges/ Member.
4. The client hereby agrees to provide the details as required by the Member and keep the Member updated on the various details pertaining to his/her/their transactions, KYC, source of funds and securities, financial, networth and any other details atleast once a year and also as and when asked for by the Member.
5. The Client hereby undertakes to inform the Member in case any enquiry or action is initiated against him/her/them by SEBI or any other regulatory authority.
6. The client shall not, acting alone or in concert with others, directly or indirectly, hold and control excess number of permitted futures contracts as fixed from time to time by the Exchange.
7. The client shall not exercise a long or short position where, acting alone or in concert with other, directly or indirectly the client will have exercised in excess of the number of permitted futures contract as may be fixed from time to time by the Exchange.
8. The Client agrees not to indulge in any unfair trade practices such as; Synchronised deals, Structured deals, Cross deals, Circular trading, Insider trading or any other illegal practices, either directly or indirectly, on any of the Stock Exchanges and in any of the segments where the Member is registered. The client also agrees not to trade at unrealistic prices.
9. The client, hereby agrees and indemnities, and shall always keep (Stock Broker) indemnified against all such a action and/or claims, costs, charges, damages, losses and expenses which may be incurred, suffered and/or sustained by (Stock Broker) due to their mistake or non-compliance of any rules, regulations, circulars or other provisions or with respect to any third party cheque(s) and/or delivery of shares, which may be given by them to be credited in their account.
10. The client hereby agrees with respect to compliance with prevention of money laundering act, 2002 (PMLA), as amended till date and from time to time and rules, regulation and guidelines framed hereunder and confirms that all the information which may be required by (stock broker) to enable us to comply with the provisions of the PM LA and the rules, regulation and guidelines framed there



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- under has been disclosed including issues related to "beneficial ownership", if any and also undertakes to promptly provide the same on an on-going basis whenever required. As also hereby agree to keep (Stock Broker) informed of any change in the information earlier provided in/through Know Your Client Form or otherwise in this regard immediately in writing.
11. All fines/penalties and charges, exemplary damages etc levied upon you due to my/our acts/deeds or transaction including illegal acts or unfair trades practices etc. as may be levied by the Exchange and suffered by the Member, shall be passed on to me/us and recovered by you from my/our account either by way of debiting the same or otherwise.
  12. All monies, securities or other properties, which the member may hold on the client's account, shall be held by the member at the sole risk and cost of the client subject to a general lien for the discharge of client's obligation to the Member. The member shall be under no obligation to release such monies, securities or other properties until the client has discharged its entire obligation to the full satisfaction of the member.
  13. The client hereby authorises the member to withhold the delivery of shares transferred by the client as margin or of shares purchased by the client as per exposure / margin requirement and/or settlement obligation till such time as prescribed by the Exchange/SEBI. The client further authorises the member to place the same as margin with the Exchange.
  14. The client also authorises the member to withhold the payment, if any, in respect of the shares sold by the client till such period as prescribed by the Exchange/SEBI for meeting the client's further exposure / margin requirements as on date of settlement as well as for any margin obligation arising in the next 5 trading days and/or settlement obligation.
  15. The client shall be responsible for the opening and operating of his/her/their demat account.
  16. The client shall give delivery of securities for market transfer on account of sale transaction on the Exchange from his/her/their own Demat account as per the details mentioned herein above, and not from any third party account. Similarly payment of funds on account of debit balance in the clients' account shall also be done from his/her/their own bank account only.
  17. The client authorises the member in case of find it extremely inconvenient to give cheques against depository bills. Hence, hereby authorise member, subject to applicable provisions, if any, to debit the trading account maintained with us for the debit charges payable to us as a DP for providing depository services to their trading account balances.
  18. The client agrees and understand that in case of non-compliance of any Rules, Regulations, Bye-laws or guidelines as laid down by SEBI/Exchange/Depository or default such as cheque bouncing, trade change, F&O short margin, UCC violation, price rigging or for any other matters as may be decided by the Member from time to time, without prejudice to the Member's other rights, the member may levy charges and/or penalty on the client and such charges and/or penalty amount may be directly debited to the client's trading account.
  19. The client authorises the member to use its discretion to close out any part or all of the contracts in Capital Market and Future and Options segments held in the client's account with the member for the protection of the member, in case of any default by the client. The client also agrees to reimburse any or all such incidental expenses incurred by the member.
  20. In case of any payout (funds/securities) which is yet to be received by the client for the previous settlement, the stock broker would be entitled to adjust the same against the current or subsequent settlement obligation or other charges or under the circumstances when the client defaults.
  21. The member may, if it so desires, tape record its conversation with the client or the client's representative over the telephone. Such recordings may be relied upon by the member as and when required to resolve the disputes, if any, in connection with the clients transactions.
  22. Investment Advice : The Client acknowledge that the Member 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 of investment. The Client also acknowledge the the Member's Employees are not authorized to give any such advice and that the Client will not solicit or rely upon any advice from member of any of its employees. The Client agrees that in the event of the Member or any employee of official of the member providing any information to the client, he/she/it may act upon the same at sole risks, costs and consequences and and the member shall not be liable/responsible for the same. The client further agree to always, keep himself/herseif/itself abreast or all requirements to be





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complied with by him/her/it under various laws including Foreign Exchange Management Act (FEMA), 1999 wherever applicable and the rules, regulations, directions, circulars, notifications, guidelines etc. issued under the pursuant to the relevant laws from time to time.

23. The client shall indemnify and keep indemnified the Member harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Member directly or indirectly, owing to bad delivery of shares / securities and/or as a result of fake/forged/stolen shares/securities/transfer documents that are introduced or that may be introduced by or through the client during the course of its dealings/operations on the Exchange.
24. The Client agrees that any notice or communication served on the Client under this terms and conditions shall be valid and binding on the Client and shall be deemed to be duly served, if conveyed in writing through letter, fax or by personal delivery duly acknowledged by the party/courier or registered post to the address of the Client mentioned hereinabove or the last known address, or if electronically delivered at any one of the email ID intimated by the Client or by publishing the same in a prominent daily newspaper where the registered/last known business/residence address of the Client is situated.
25. A copy of the KYC form, Rights & Obligations, RDD and Guidance Note signed and executed by client with the Member has been provided to the client and in case if the same is misplaced by the client, then a written application will be made to the Member for an additional copy, if required.
26. The client have no objection if due to punching errors you might have to change the client codes for trade done as the circumstances may warrant, as per the rules and regulations of the Exchange.
27. The client are aware and agree that as per the SEBI circular no. CI R/H/HO/M I RSD/DOP/CI R/P/2019/75 dated 30.06.2019 that Pravin Ratilal Share And Stock Brokers Ltd. (herein after referred to as PRSSB) shall transfer the securities bought by me/us to my/our demat account within 1 working day in case of full payment made by me/us. If I/We fail to make the payment in full then, PRSSB may transfer the securities to the "Client unpaid securities account(CUSA)"

The client further agree and confirm that, the securities kept in the CUSA shall either be transferred to their demat account upon fulfilment of their funds pay-in obligation or it shall be disposed of in the market by PRSSB within 5 trading days after the pay out without any notice to the extent of debit balance of the client and/or as per PRSSB's Risk Management policy. Any profit/loss occurred on such sale transactions of unpaid securities, will be borne by them and transferred/to adjusted in their ledger. If all/any of such stock will remain in CUSA due to their default, PRSSB may charge a fine/penalty as levied on PRSSB by the exchange/depositories to me and the client shall not object the same.

28. The client agree and allow member to apply appropriate haircut on securities give for margin purpose in any segment/exchange which may be as a flat rate on all securities or may be additional percentage on the rate of the exchange from time to time.

## Suspension of Services and Termination

1. The Member may at any time, as it considers necessary in its sole discretion and without prior notice and without assigning any reason to the Client, prohibit or restrict or suspend the Client's access to or use of the services provided to the Client under this application and terms and conditions whether in part or entirely.
2. The Member shall be entitled to suspend or terminate client's account without prior notice if;
  - (a) the Client has breached any or all the terms of this application or has misrepresented any or all facts at the time of filling the application or at the time of giving instruction or otherwise.
  - (b) upon the death, lunacy, winding-up, bankruptcy, liquidation or lack of legal capacity of the Client, other disability or is designated as a defaulter by any credit rating agency or proceedings have been initiated by any relevant Regulator/Authority including SEBI/RBI or any such authority.
  - (c) the Client fails to fulfill his/her/their payment obligations under the term & condition of this application or otherwise due to the Member or fails to maintain the securities account or any



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- replacement thereof.
- (d) If the action of the client are prima facia illegal / improper or such as to manipulate the price of any securities or disturb the normal / proper functioning of the securities market, either alone or in conjunction with others.
- (e) Or for any other reasons at the sole discretion of the Member.
3. The Member shall not be liable to assign any reason to the Client for termination of the client's account by the Member due to any of the above mentioned reasons. The decision of the Member shall be final.
  4. The Client, if he/she/they so desires, shall be entitled to close this account at will but not without giving a notice in writing of not less than 30 days that shall be delivered to the Member to the address mentioned in this application. However, such closure shall not have any effect on any transaction(s) executed prior to the date of such notice of termination and the rights and obligation in respect of such transaction shall continue to subsist in terms of this terms and conditions as prescribed.
  5. The closure of this account shall not affect any rights or obligations of either party which have accrued prior to the closure or which may arise out of or in connection with the acts done or omitted prior to termination.

The above mentioned terms and conditions are in addition to and not in contravention to the terms and conditions forming a part of the Rights & Obligations accepted by me/us earlier. Any addition or modification in the aforementioned terms and conditions shall be intimated to me/us as and when the need arises. Such intimation shall be delivered to me/us by the Member either electronically by sending to the email ID or disseminating on the Member's website, or by sending physical written intimations, as per the discretion of the Member.

In the event of any one or more of the provisions contained in this terms and conditions becoming invalid, illegal or unenforceable in any respect under any law for the time being in force, the validity, legality and enforceability of the remaining provisions and clauses contained herein shall not in any way be prejudiced or affected thereto.

The aforementioned Terms and Conditions have been framed out under various clauses mentioned in the Rules, Regulations, Bye-laws and guidelines prescribed by SEBI and the Exchanges as well as the amendments brought out from time to time. In case of any contravening clause framed herein, the relevant clause mentioned under the said Rules, Regulations, Bye-laws and guidelines of SEBI and the Exchanges shall overrule such contravening clause.

I/We have read and understood all the terms and conditions laid out in this document and I/we fully agree to abide by it at all the times.

**I/We Accept**

**X** \_\_\_\_\_

(Signature of the Client)

(If non-individual, attest with seal / rubber stamp).



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## VOLUNTARY DOCUMENT NO. 2 FOR RUNNING ACCOUNT AUTHORIZATION

To,  
**Pravin Ratilal Share And Stock Brokers Ltd.**  
(Member of NSE, BSE)

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

**(1) About Voluntary Document :**

I/We do hereby declare and confirm that I/We have thoroughly read and understood the voluntary document attached with forms part of non-mandatory documents of this KYC form and do accord consent for the same.

**(2) About Running Account Authorisation (for Funds only) :**

I/We do hereby specifically declare and confirm that my/our account is to be maintained in Running Account mode and as such request for the same. I/We also specifically understand and agree that :

- (a) Running account authorisation is now restricted to funds only and not for securities.
  - (b) This is only a voluntary authorization that may be revoked by me at any time.
  - (c) This authorization shall remain in force untill and unless the same in revoked by me.
  - (d) This authorization in signed by me/us only and not by me/our authorized person/POA holder.
  - (e) For my/our outstanding obligation/balance on the settlement date, you may retain/funds towards such obligations and may also retain the funds excepted to be required to meet margin or other obligations in compliance with applcable circulars, guideline, rules, regulation, byelaws etc, of the Exchange and/or SEBI and as may be calculated in the manner specified by the exchanges.
  - (f) Any dispute from my/our end, arising from statement of account or settlement, shall be brought to your notice in writing by me/us within 30 days of receipt of funds/securities/statement as the case may be.
  - (g) Periodic settlement of running account may not be neessary for or funds received towards collaterais/margin in form of Bank Guarantee Fixed Deposit etc.
  - (h) In case of my/our request/demand you shall transfer the funds/securities within 1 working day if lying with you or within 3 working days of lying with Exchange/Clearing House.
  - (i) There shall not be any inter-client adjustment for the purpose of settlement of my/our running account.
- (3) As per the requirement of SEBI circular-SEBI/HO/MIRSD/DOP/P/PCIR/2021/577 June16, 2021, the settlement of running account of funds of the client shall be done after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchanges, at least once within a gap of 30 / 90 days between two settlements of running account as per the preference of the client. Im may retain funds calculated in the manner specified below.**
- (4) About SMS on mobile by Exchanges.**
- I/we do hereby declare and confirm to receive SMS about my/our position, margin, ledger balance and such other brief information as may be voluntarily sent/provided by you on my / our mobile as mentioned in KYC form. Incase of any charge therein, I/We shall promptly communicate in working to you about the same.
- I/We do hereby declare and confirm that the details of e-mail id and mobile no. as may be provided by me/us in KYC pertains to me/us or to my/our family members only. (Family members means my spoise, dependent children, dependent parents only) accordingly. I/We do hereby request you to upload the same as a part of UCC/UCI details to respective exchange(s).

\_\_\_\_\_  
Client's Signature

TRADING ACCOUNT FORM - VOLUNTARY DOCUMENTS



# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## Authorisation for Digital Contract Notes and other documents

1. I/We agree and permit you to send all my/our contract notes, margin details, statement of accounts and all other documents digitally signed through e-mail/internet portal/FTP server.
2. I/We will access all my/our contract notes/trade confirmation of the trades executed on my/our behalf on the trade date, Client Ledger and Security Registers electronically through e-mail/Internet portal/FTP or such other means/modes as you may provide from time to time. All information contained therein shall be binding on me/us, if I/we do not object to the same in writing within 48 hours after such documents are made available to me/us by you. Regarding the client ledger and securities register, in case of any discrepancy, I/we agree to inform you of the same within 30 days from the date of receipt.
3. For the purpose of sending electronic bill cum contract notes and other documents through e-mail, the present email ID is .....
4. I/We understand and agree that it is my/our responsibility to inform you in writing, in case of any change in my/our e-mail ID in future. In case of internet Clients, the request for such change in e-mail ID may be made through the secured access by way of Client specific login-ID and password provided by PRSSB.
5. I/We also agree in writing or orally to pay this charges that you will not be responsible for non-receipt of documents sent via electronic delivery due to change in e-mail ID as mentioned above or for any other reason which inter alia include my/our e-mail inbox running out of capacity, malfunction of my/our computer system/server/internet connection etc.
6. I/We also agree that PRSSB shall not take cognizance of out-of-office/out-of-station auto replies and I/we shall be deemed to have received such electronic mails.
7. I/We understand and agree that in case there is any difficulty faced by me/us in opening the documents electronically delivered by you, then you may make the required delivery in any other electronic means or in paper based format. Failure on my/our part in intimating you of such difficulty within 48 hours after delivery shall mean as an affirmation that I/we was/were able to receive and open the said document.
8. I/We also agree not to receive the contract notes in paper form from you, provided, in case, when you are not able to provide the contract note to me/us though electronic form due to any unforeseen circumstances. You will ensure that the contract notes sent to me/us in physical form reaches me within the stipulated time schedule as mentioned in the Rules, Regulations and Bye-laws of the concerned Exchange.
9. I/we will take all necessary steps to ensure confidentiality and secrecy of the login ID and password. Unless a written complaint is lodged by me/us with you regarding my/our inability to access the system, it would be presumed that the contract notes and all other documents have been properly delivered.
10. I/We also agree that you will fulfill your legal obligations in delivering to me/us such documents if sent via electronic delivery.

Thanking you,

Sincerely,

**X** \_\_\_\_\_

(Signature of the Client)

(If non-individual, attest with seal / rubber stamp).



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# Pravin Ratilal Share And Stock Brokers Ltd-Account Opening Kit

## CONFIRMATION OF RECEIPT OF COPY OF KYC DOCUMENTS FOR TRADING ACCOUNT AND DEMAT ACCOUNT

Date :

To,  
The Director  
M/s. Pravin Ratilal Share And Stock Brokers Ltd.  
Ahmedabad - 380 009.

**Ref. : Confirmation of receipt of copy of KYC documents  
for trading account and demat account**

With reference to above, I/ We have my / our Trading Account No. : \_\_\_\_\_ and  
Demat A/c. No. 12044600 \_\_\_\_\_ allotted to me / us wish to state and confirm as under :

1. For registration as your client / upon registration, I/We have received a photocopy of the duly completed documents viz. Client Registration kit (KYC) including do's and don'ts. Rights and Obligations (Trading and Demat), Risk Disclosure document, Guidance note, do's and don'ts, Policies and procedures, POA and also a copy of any other document executed by me/us as your client.
2. Further, the trading code / client ID and the unique client code allotted to me / us as your client and the Email ID furnished by me / us has been communicated by you to me/ us through the KYC form or otherwise writing.

As a token of acceptance and proof of aforesaid, I/We have put my signature herein below.

	<b>First/Sole Holder / Authorised Signatory or Guardian (in case of minor)</b>	<b>Second Holder / Authorised Signatory or Guardian (in case of minor)</b>	<b>Third Holder / Authorised Signatory or Guardian (in case of minor)</b>
<b>Name</b>			
<b>Designation</b>			
<b>Signature</b>			

### Acknowledgment Receipt

**Application No. :**

(To be filled by the Depository Participate / Trading Member  
We hereby acknowledge the receipt of the Account Opening Application Form :

<b>Name of the Sole / First Holder</b>	
<b>Name of the Second Joint Holder</b>	
<b>Name of the Third Joint Holder</b>	

**Fro, Pravin Ratilal Share And Stock Brokers Ltd.**

**TRADING ACCOUNT FORM - VOLUNTARY DOCUMENTS**



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Branch : \_\_\_\_\_



## Pravin Ratilal Share And Stock Brokers Ltd

"Sakar-I", 5th Floor, Opp. Gandhigram Rly. Station, Navrangpura, Ahmedabad-380 009.

DP ID -IN300982

Ph. : 91-79-26553700, 66302700 **DEMAT BALANCE : 26553800, 66302800** Fax : 079-2658 2331 E-mail : ig@prssb.com

Date : - -20

### Requisition Slip for Delivery Out Instruction Book (DOI)

Client ID

Client Name

\_\_\_\_\_

Kindly issue me / us / Our Representative a Delivery Out Instruction Book (Annexure - L)

5	10	20
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Name of Representative (If any) : \_\_\_\_\_

Signature of Receiver :

**X**

Signature of all holders/Authorised Signatories

1. **X** \_\_\_\_\_

(for office Use Only)

New DIS No. : \_\_\_\_\_ to \_\_\_\_\_

2. **X** \_\_\_\_\_

New DOI Issued by : \_\_\_\_\_ Date / / 20

3. **X** \_\_\_\_\_

- Note :**
1. Signature of all account holders is required for issue of fresh Delivery Out Instruction Book.
  2. Specimen Signature and Photo Identity of Representative is required whenever issued to person other than the account holder(s).
  3. Collect your Delivery Out Instruction Book (Annexure-L) **One Hour** after the submission of Requisition Slip.



DP ID-IN300982

### Acknowledgement

## Pravin Ratilal Share And Stock Brokers Ltd

"Sakar-I" 5th Floor, Opp. Gandhigram Railway Station, Navrangpura, Ahmedabad – 380009.

Phone: 079-26553700, 66302700 Fax: 079-26582331

Email: dmat@prssb.com Investor Grievance : ig@prssb.com Web : www.prssb.com

Received the application from Mr./Ms./M/s. \_\_\_\_\_ as the sole / first holder

alongwith Mr./Ms. \_\_\_\_\_ and Mr./Ms. \_\_\_\_\_

\_\_\_\_\_ as the second and third holders respectively for opening of a depository account.

Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

Date :

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D D M M Y Y Y Y

Participant Stamp & Signature



DPREQ\_F