



REGISTRATION KIT

brought to you by iRage Broking Services LLP

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

B. PROOF OF IDENTITY (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph. #
3. Identity card issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. PROOF OF ADDRESS (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

F. IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED FROM NON-INDIVIDUALS, OVER & ABOVE THE POI & POA, AS MENTIONED BELOW:

<p>CORPORATE</p> <ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years or for the relevant applicable period (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorised signatories list with specimen signatures <p>PARTNERSHIP FIRM</p> <ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners. <p>TRUST</p> <ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees. 	<p>HUF</p> <ul style="list-style-type: none"> PAN of HUF. Deed of declaration of HUF/ List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta. <p>UNINCORPORATED ASSOCIATION OR A BODY OF INDIVIDUAL</p> <ul style="list-style-type: none"> Proof of Existence / Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorised signatories list with specimen signatures. <p>BANK / INSTITUTIONAL INVESTORS</p> <ul style="list-style-type: none"> Copy of the constitution / registration or annual report / balance sheet for last 2 Financial years Authorised signatories list specimen signatures <p>FOREIGN INSTITUTIONAL INVESTORS (FII)</p> <ul style="list-style-type: none"> Copy of SEBI registration certificate Authorised signatories list with specimen signatures <p>ARMY/GOVERNMENT BODIES</p> <ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures. <p>REGISTERED SOCIETY</p> <ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman / Secretary.
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Not applicable for CKYC



IRAGE BROKING SERVICES LLP

LLPIN-AAD-8258

Account Opening KIT -
Trading and Demat

Name of stock broker / Trading Member/ Clearing Member/ Depository Participant	IRAGE BROKING SERVICES LLP (LLPIN-AAD-8258) (Here-in-after referred to as ARROW)
Registered Office	Unit 1 & 2, 17th floor, Gift One Tower Road SC, Zone 5 ,Gift city, Gandhinagar-382050 Ph : 079665 45000 Website : https://irage.in/
Correspondence office	<ul style="list-style-type: none"> • J1/14, Block-EP & GP, 9th Floor, Sector V, Salt Lake City, Kolkata-700 091 Ph. : 033 4000 2400. • Unit -309, Wing-A, 3rd Floor, Boomerang, Chandivali Farm Road, Near Chandivali Studio, Andheri (East), Mumbai-400 072 Ph.: 0765081210 • A-104/A, 1st Floor, A-Wing, Boomerang, Chandivali Farm Road, Andheri East, Mumbai - 400072

Members	National Stock Exchange of India Ltd. (NSE) (90068) BSE Ltd. (BSE) (4085) Multi Commodity Exchange of India Ltd. (MCX) (56120)
Depository Participant	Central Depository Services India Ltd. (DP ID- 12101300)

Depository	Registration No.
CDSL	IN-DP-794-2025

SEBI Registration No.	INZ000011262
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Compliance Officers	
Trading	Mr. SOURAV BHATTER Phone: 07965081638 Email: exchange-communication@irage.in
DP	Mr. GAURAV RAIZADA Phone: 07965081639 Email: dp@irage.in

CEO	MR. RAJIB RANJAN BORAH Tel.: 07965081640 Email: rajib@irage.in
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For any grievance/dispute please contact IRAGE BROKING SERVICES LLP at the above address or Investor grievance email id: ig@irage.in and phone no: 07965081638

In case you are not satisfied with the response, please contact the concerned Exchange(s)/Depository(ies):

Exchange / Depository Contacts	National Stock Exchange of India Limited (NSE) , Phone : 022-26598190 • Email : ignse@nse.co.in
	BSE Limited (BSE) , Phone : 022-22728097 • Email : is@bseindia.com
	Multi Commodity Exchange of India Ltd. (MCX) , Phone: 022-67318888, 66494000 • E-mail: grievance@mcxindia.com
	Central Depository Services India Limited (CDSL) , Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com

You may also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/18002667575

FILING OF COMPLAINTS ON SCORES –

Easy & quick: In order to make the complaint redressal mechanism through SCORES more efficient, the aggrieved Investor can file their respective complaint as per the credentials mentioned below:-

a. Register on SCORES portal :

Get yourself registered,

b. Mandatory details for filing complaints on SCORES:

i. Name, PAN, Address, Mobile Number, Email ID,

c. Benefits:

i. Effective communication, ii. Speedy redressal of the grievances.

Please refer SCORES website link (<https://scores.gov.in/scores/Welcome.html>) and the FAQs available thereon.



ACCOUNT OPENING KIT - INDEX

This KIT is valid for opening Trading and Demat Account with ARROW
Clients desirous of opening both or any can utilise the relevant segments of this KIT.

The Trading Code for different desired Segments of the respective Exchanges and Demat account number will be provided on successful generation of the same.

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES & DEPOSITORIES

Sl.	Name of the Document	Brief Significance of the Document	Pg No.
1	Know Your Client Form Non-Individual	KYC Form captures the basic information about the Client(Trading & Demat)	5-10
2	Additional KYC Form	Additional KYC related details for Trading & Demat Account Both Individual & Non - Individual	11-13
3	Most Important Terms & condition (MITC)	Document describing Most Important Terms & Condition of Client Trading & Demat Account	14
4	Policy for Handling Good Till cancelled / Triggered Orders	Document describing the various points regarding buying / selling order and cancelling order remaining active till the time triggered and its corresponding logic	15-16
5	Policies & Procedures	Document describing significant policies and procedures of member with respect to dealing with clients	17-24
6	FATCA / CRS Non Individual	Declaration pertaining to foreign tax liability	25-27
7	UBO / Controlling Person Declaration	Declaration Form of Ultimate Beneficial Ownership UBO Controlling Person (Non Individual only)	28
8	Tariff Sheet	Document detailing the rate / amount of brokerage & other charges levied on the client for trading on the stock exchange(s) & schedule of charges for demat account.	29-30
9	BSDA Declaration	Declaration for Basic Services Demat Account (BSDA)	31
10	DDPI	Demat Debit & Pledge Instruction & Authorisation	32-33
11	Issue of DIS Booklet	Option Form form Issue of zDIS Booklet	34
12	Terms & Conditions-Annexure 2.4	Terms and conditions-cum registration/modification form for receiving SMS Alerts from CDSL	35-36
13	Terms & Conditions - Annexure - 2.6	Terms and conditions for availing Transaction using Secured Texting (TRUST) services offered by CDSL.	37-38
14	Declaration / Mandate	Consent letter for Balance and Trade alert through SMS facility	39

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER/DEPOSITORY PARTICIPANT

15	Consent Letter	Consent letter for Balance and Trade alert through SMS facility	40
16	Running account authorisation and preference for actual settlement	Contains authorisation for maintenance of account funds on running account basis & preference for actual settlement.	41
17	Internet & wireless Technology	Detailing for internet & wireless Technology based trading facility provided by Stock broker to clients.	42
18	Authorisation for issue of Contract Notes, Margin Analysis Report, Statement of Funds & other document in digitally signed electronic mode.	By signing this document the client is agreeing to receive Contract Notes, Daily Margin Analysis Report, Statement of Funds and other documents in Digitally signed Electronic mode over e-mail id as provided in KYC form.	43
19	Letter of Understanding	Contains various authorization and standing instructions given by Client	44-45
20	CKYC Download	It contains the permission to download the client's CKYC from website to Broker's storage	46
21	PMLA Statement	It contains Prevention of Money-Laundering Statement for Client Education.	47
22	Right & Obligation of Beneficial Owner & Depository Participant, Investor Charter.	Document Detailing rights and obligations of beneficial owner and depository participant as prescribed by SEBI and Depositories, Investor Charter by Depository Participant.	48-49
23	Right & Obligations of stock Broker, AP & clients, Risk Disclosure Documents, Guidance Note, Investor Charter	Document stating the Right & Obligations of Stock Broker / Trading member, AP and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading), Uniform Risk disclosure documents, Guidance Note	Client Copy



Important Instructions:

- 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.

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)

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

Name*

 Entity Constitution Type* (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* Form 60 furnished
 TIN / GST Registration Number

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

Officially valid document(s) in respect of person authorised to transact
 Certificate of Incorporation / Formation Registration Certificate Regn Certificate No.
 Memorandum and Articles of Association Partnership Deed Trust Deed
 Resolution of Board / Managing Committee Power of Attorney granted to its manager, officers or employees to transact on its behalf
 Activity Proof - 1 (For Sole Proprietorship Only) Activity Proof - 2 (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 City / Town / Village*
 District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

3.2 Local Address in India (if different from Above)*

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

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.) FAX
 Mobile Email ID
 Mobile Email ID

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

6. REMARKS (If any)


7. APPLICANT DECLARATION

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

[Signature / Thumb Impression]

Date :

Place :

 Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies Equivalent e-document

KYC DOCUMENT VERIFIED CARRIED OUT BY

Identity Verification Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check List / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form

A Clarification / Guidelines for filing Entity Details section

1 Entity Constitution Type

- | | | |
|--|---|---|
| A - Sole Proprietorship | H - Trust | O - Artificial Jurisdictional Person |
| B - Partnership Firm | I - Liquidator | P - International Organisation or Agency /Foreign Embassy or Consular Office etc. |
| C - HUF | J - Limited Liability Partnership | Q - Not Categorized |
| D - Private Limited Company | K - Artificial Liability Partnership | R - Others |
| E - Public Limited Company | L - Public Sector Banks | S - Foreign Portfolio Investors |
| F - Society | M - Central/State Government Department or Agency | |
| G - Association of Persons (AOP) / Body of Individuals (BOI) | N - Section 8 Companies (Companies Act, 2013) | |

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

- Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile number.

E Clarification / Guidelines for filling 'Related Person Details' section

- Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Proof of Address [PoA]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.



Important Instructions:

- 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.

For office use only Application Type* New Update Delete
 (To be filled by financial institution) KYC Number _____ (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

Addition of Related Person Deletion of Related Person Update Related Person Details

KYC Number of Related Person (if available*) _____ If KYC number is available only 'Related Person Type' & 'Name' is mandatory

Related Person Type* Director Promoter Karta Trustee Partner Court Appointment Official Proprietor
 Beneficiary Authorised Signatory Beneficiary Owner Other (Please Specify _____) Other (Please Specify _____)

DIN (Director Identification Number) _____ (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

Name* (Same as ID proof) _____

Maiden Name _____

Father / Spouse Name _____

Mother Name _____

Date of Birth* (dd-mm-yyyy) _____

Gender* M- Male F- Female O-Other

Nationality* IN- Indian Others (IS) 3166 Country Code (____) _____)

PAN* _____ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E 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 (any one 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 Aadhar _____

II. E-KYC Authentication _____

III. Offline verification of Aadhar _____

PHOTO*
 Affix recent passport size Photograph and Sign across it
 Signature / Thumb Impression

Address

Line 1* _____

Line 2 _____

Line 3 _____

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

1.3 CURRENT ADDRESS DETAILS (Please refer instruction E 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 (any one 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 Aadhar _____

II E-KYC Authentication _____

III Offline verification of Aadhar _____

IV Deemed PoA

V Self Declaration

Address

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

1.4 Contact Details (All communications will be sent to Mobile number / Email-ID (Please refer instruction D at the end))

Tel (Off) Tel (Res) Mobile
Email ID

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I am aware of other modes of KYC which are available and I have chosen Aadhar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked. Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : (dd-mm-yyyy) Place :



Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification
 Digital KYC process Equivalent e-document

KYC DOCUMENT VERIFIED CARRIED OUT BY

Date (dd-mm-yyyy)
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name IRAGE BROKING SERVICES LLP
Code IN0740

[Institution Stamp]



KYC - APPLICATION FORM FOR TRADING AND DEMAT A/C - NON-INDIVIDUAL

Please fill this form in ENGLISH and in BLOCK LETTERS. (Use black ink)

A. IDENTITY DETAILS

1	Name of the Applicant																			
2	Date of incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation										
3	a. Business Commencement date	D	D	M	M	Y	Y	Y	Y	b. Regn. No. (eg. CIN)										
4	PAN, copy attached	<input type="checkbox"/>																		
5	Status (Please tick any one)	<input type="checkbox"/> Pvt. Ltd. Co.	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Partnership	<input type="checkbox"/> Charities	<input type="checkbox"/> Bank	<input type="checkbox"/> Society	<input type="checkbox"/> Trust	<input type="checkbox"/> Defense Establishment	<input type="checkbox"/> Others	<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> AOP	<input type="checkbox"/> Non Govt. Organisation	<input type="checkbox"/> BOI	<input type="checkbox"/> LLP	<input type="checkbox"/> FI	<input type="checkbox"/> Government Body	<i>(Please specify)</i>

B. ADDRESS DETAILS

1	Correspondence Address											
		City/Town/Village						PIN Code				
		State						Country				
2	Specify proof of correspondence address submitted											
3	Contact Details	Telephone (office)						Telephone (Res)				
		Fax No.						Mobile No.				
		Email ID										
4	Registered Address <i>(if different from above.)</i>											
		City/Town/Village						PIN Code				
		State						Country				
5	Specify proof of registered address submitted											

ARROW

C. DECLARATION

We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware we may be held liable for it and the same will render our account liable for termination and suitable action.
I hereby consent to receiving information from the central KYC registry through SMS/email on the registered number/email address.

Signature of Applicant	Place	Date	D	D	M	M	Y	Y	Y	Y
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FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by																					
Staff Name/ AP																								
Designation/ Reg. Code																								
Signature																								
Date	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y
<input type="checkbox"/> (Original verified) Self Certified Documents copies received		<input type="checkbox"/> (Self Attested) True copies of documents received																						
Sign/Seal/Stamp of the intermediary																								



ADDITIONAL KYC RELATED DETAILS FOR DEMAT A/C (For Non-Individual)

I/We request you to open a Demat / Trading Account in my/our name as per the following details:
(Please fill all the details in CAPITAL LETTERS only)

DP ID **Client ID**

DETAILS OF ACCOUNT HOLDER(S):

	Sole / First Holder	Second Holder	Third Holder
Name			
PAN			
UID			
UCC		X	X
Exchange Name		X	X
Exchange ID		X	X

For Association of Persons (AOP), Partnership Firm, Unregistered Trust etc., although the DEMAT 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 :

a. Name b. PAN

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be **first holder**.)

<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder	Email ID
<input type="checkbox"/> Second Holder		
<input type="checkbox"/> Third Holder		

Type of DEMAT Account

For Individual Accounts	For Non-Individual Accounts	For NRI / FOREIGN NATIONAL Accounts
<input type="checkbox"/> Minor <input type="checkbox"/> Director <input type="checkbox"/> Ordinary Resident <input type="checkbox"/> Director's Relative <input type="checkbox"/> HUF/AOP <input type="checkbox"/> Margin Trading (MANTRA) <input type="checkbox"/> Margin <input type="checkbox"/> QFI <input type="checkbox"/> Promoter <input type="checkbox"/> Others (pl. specify) _____	<input type="checkbox"/> Body Corporate <input type="checkbox"/> FII <input type="checkbox"/> Clearing Member <input type="checkbox"/> QFI <input type="checkbox"/> Bank <input type="checkbox"/> HUF <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> Trust <input type="checkbox"/> Others, plz specify _____ <input type="checkbox"/> FI	<input type="checkbox"/> Repatriable <input type="checkbox"/> F.N. Depository Receipts <input type="checkbox"/> Non-Repatriable <input type="checkbox"/> Foreign National <input type="checkbox"/> Repatriable-Promoter <input type="checkbox"/> Depo. Receipts <input type="checkbox"/> Non Repatriable-Promoter <input type="checkbox"/> Others (Plz. specify) _____

In case of NRI / Foreign Nationals / FII / Others (as may be applicable)

RBI Approval Reference No.		RBI Approval Date	D D M M Y Y Y Y	SEBI Regn. No. (for FIIs only)		SEBI Regn. Date	D D M M Y Y Y Y
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Standing Instructions

1	I/We authorise you to receive credits automatically into my/our Demat account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Account to be operated through Demat Debit and Pledge Instruction (DDPI) only	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3 SMS Alert Facility (Mandatory if you are giving DDPI). (Ensure that the mobile number is provided in the KYC Application Form also.)			
	Sole / First Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
	0	0	0
4	Mobile No. belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Mobile No. belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Mobile No. belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member
5	Email ID belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Email ID belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Email ID belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member
6	Account Statement Requirement <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> As per SEBI Regulations		
7	I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____		<input type="checkbox"/> Yes <input type="checkbox"/> No
8	Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No
9	I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end <input type="checkbox"/> Yes <input type="checkbox"/> No		
10	Basic Services Demat A/c <input type="checkbox"/> Yes <input type="checkbox"/> No	11 I/We would like to share the email ID with the RTA <input type="checkbox"/> Yes <input type="checkbox"/> No	
12	I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default would be Physical) <input type="checkbox"/> Physically <input type="checkbox"/> Electronic <input type="checkbox"/> Both		

FOR DEMAT ACCOUNT ONLY

Clearing Member Details (to be filled up by Clearing Members only) - Non-Individual DEMAT Account

FOR DEMAT ACCOUNT ONLY

1	Name of Stock Exchange	2	Name of Clg. Corpn./Clg. House
3	Clearing Member ID	4	SEBI Regn. No.
5	Trade Name		
6	CM-BP ID (to be filled up by DP)	7	TM ID (to be filled up by DP)

GUARDIAN'S DETAILS (same in line with KYC Form - must be filled up where Sole holder is MINOR)

1	Guardian Name											
2	Guardian Address											
		City/Town/Village				PIN Code						
		State				Country						
3	Relationship with Minor				4	Guardian's PAN						
5	Contact Details of Guardian	Telephone (Office)				Telephone (Res.)						
		Fax No.				Mobile No.						
		Email ID										
6A	Gross Annual Income (Income Range per Annum (Plz tick))	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> ₹ 25Lac-1Cr. <input type="checkbox"/> Above ₹ 1 Cr.										
OR												
6B	Networth (should not be older than 1 year)	Amount (₹)				As on (Date)	D	D	M	M	Y	Y
7	a. Gender	b. Marital Status		c. Date of Birth			d. Nationality					
	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Single <input type="checkbox"/> Married	D D M M Y Y Y Y			<input type="checkbox"/> Indian <input type="checkbox"/> Other Pls specify (if other) _____						
	e. Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National	f. Occupation		<input type="checkbox"/> Pvt. Sector <input type="checkbox"/> Pub. Sector <input type="checkbox"/> Govt. Service	<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist	<input type="checkbox"/> Student <input type="checkbox"/> Housewife <input type="checkbox"/> Others, specify _____	<input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer					
8	Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)			<input type="checkbox"/> Related to Politically Exposed Person (RPEP)							

ARROW

OTHER DETAILS

FOR BOTH

1st Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> ₹ 25Lac-1Cr. <input type="checkbox"/> Above ₹ 1 Cr.									
	OR / AND (For Non-Individual)											
	2	Net worth (Not older than 1 year)	Amount (₹)				As on (Date)	D	D	M	M	Y
2nd Holder	2	Occupation (Pls. tick any one give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector <input type="checkbox"/> Housewife	<input type="checkbox"/> Govt. Service <input type="checkbox"/> Student	<input type="checkbox"/> Business <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Professional <input type="checkbox"/> Others (plz. specify) _____	<input type="checkbox"/> Agriculturist				
	3	Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)			<input type="checkbox"/> Related to politically exposed person (RPEP)						
3rd Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> ₹ 25Lac-1Cr. <input type="checkbox"/> Above ₹ 1 Cr.									
	OR / AND (For Non-Individual)											
	2	Net worth (Not older than 1 year)	Amount (₹)				As on (Date)	D	D	M	M	Y
3rd Holder	2	Occupation (Pls. tick any one give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector <input type="checkbox"/> Housewife	<input type="checkbox"/> Govt. Service <input type="checkbox"/> Student	<input type="checkbox"/> Business <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Professional <input type="checkbox"/> Others (plz. specify) _____	<input type="checkbox"/> Agriculturist				
	3	Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)			<input type="checkbox"/> Related to politically exposed person (RPEP)						
Any Other Information												



BANK DETAILS (Mandatory)

FOR BOTH

	Primary	Secondary, if any
Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>
Bank Account No.		
Bank Name		
Branch Address		
MICR Code		
IFSC Code		
UPI ID		
Proof Provided	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

PAST ACTIONS

Details of any actions/proceedings initiated / pending/taken by SEBI/Exchange/any other authority against the applicant/constituent or its Partners / Promoter s/Wholetime Directors / Authorised Persons in-charge of dealing in securities/ commodities during the last 3 years **(In case of any details, please provide a separate sheet)**

TRADING PREFERENCE FOR UCC.....

FOR TRADING ACCOUNT

ARROW

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

EXCHANGE	NSE, BSE			MCX, BSE & NSE
ALL SEGMENT	CASH / MUTUAL FUND	F & O	CURRENCY	COMMODITY DERIVATIVES
				DATE :

In case you do not wish to trade in any segments/ Mutual Funds, please mention here

1. I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options.
 2. I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
 3. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.
 # If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

DP DETAILS

Sr.#	Particulars	Primary DP Details	Secondary DP Details
1	DP	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
2	DP Name		
3	DP ID	<input type="text"/> Provide Proof	<input type="text"/> Provide Proof
4	Beneficiary Name		
5	BO/Client ID	<input type="text"/>	<input type="text"/>

GST DETAILS

GST Number	<input type="text"/>
GST Implementation Location	<input type="text"/>



MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
<p>* If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s) only specified operation such as transfer of securities including Inter-Depository Transfer, Pledge/Hypothecation/Margin Pledge/Margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and/or securities and /or specific number of securities will be permitted.</p>	

WHETHER DEALING WITH ANY OTHER STOCK BROKER / AP OF OTHER BROKERS (IN CASE DEALING WITH MULTIPLE STOCK BROKER / AP OF OTHER BROKER, PROVIDE DETAILS OF ALL)

Stock Broker's Name			
AP's Name, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/AP of other Brokers			

ADDITIONAL DETAILS

FOR BOTH DEMAT AND TRADING ACCOUNT	Whether you wish to receive physical contract notes/Documents or electronic contract notes (ECN)/Documents, please select		<input type="checkbox"/> Physical	<input type="checkbox"/> Electronic
	If Electronic, please specify your E-mail ID			
	Whether you wish to avail of the facility of Internet Trading / wireless technology, please tick		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Number of years of Investment / Trading Experience			
	In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company / firm / others : Fill in Annexure A			

ARROW

INTRODUCER DETAILS

Introducer's Name	First Name	Middle Name	Surname
Introducer's Address			
Introducer's Status	<input type="checkbox"/> Employee <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Other (pls. specify) _____		
Signature			Phone No.

CLIENT CATEGORISATION

Please Select (✓) on the below appropriate category depending upon your proposed nature of your activity against each product type.

Commercial - <input type="checkbox"/>	Non-Commercial - <input type="checkbox"/>
Product type - <input type="checkbox"/>	Product type - <input type="checkbox"/>
Bullion - <input type="checkbox"/>	Bullion - <input type="checkbox"/>
Base Metals - <input type="checkbox"/>	Base Metals - <input type="checkbox"/>
Energy - <input type="checkbox"/>	Energy - <input type="checkbox"/>
Agri-Commodities - <input type="checkbox"/>	Agri-Commodities - <input type="checkbox"/>

1. COMMERCIAL: Commercial Client includes Value Chain / Physical market participant / exporter / importer / having direct / indirect Exposure to the underlying Commodity
2. NON-COMMERCIAL: Non Commercial Client includes Trader / Arbitrageur

To
IRAGE BROKING SERVICES LLP
 Unit 1 & 2, 17th floor, Gift One Tower Road, SC, Zone 5 ,Gift city, Gandhinagar-382050
 I/We do hereby declare that my/our Commodity-wise categorisation as a participant is as follows:

Sr. No.	Symbol Description	*Farmer / EPOS	*Value Chain Participants (VCPs)	*Proprietary Trades	*Domestic Financial Institutional Investors	*Foreign Participants	*Others
1	AGRIDEX						
2	ALMOND						
3	ALUMINIUM						
4	BAJRA						
5	BARLEY						
6	BRASS						
7	CARDAMOM						
8	CASTOR SEED						
9	CHANA						
10	COPPER						
11	CORIANDER/DHANIYA						
12	COTTON						
13	COTTONSEEDOILCAKEAKOLA						
14	CPO - CRUDE PALM OIL						
15	CRUDE OIL						
16	GOLD						
17	GUARGUM						
18	GUARSEED						
19	GUAREX						
20	GUMSYOIL						
21	GUR						
22	HIPROSOYBEANMEAL						
23	JEERA						
24	KAPAS						
25	LEAD						
26	MAIZE						
27	MCXBULLDEX						
28	MCXMETLDEX						
29	MENTHA OIL						
30	MOONG						
31	NATURAL GAS						
32	NICKEL						
33	PADDY BASMATI						
34	PEPPER						
35	RAPE MUSTARD SEEDS						
36	RBDPMOLEIN						
37	RUBBER						
38	SESAMESEED						
39	SILVER						
40	SOY OIL						
41	SOYABEAN						
42	SOYDEX						
43	STEEL						
44	SUFIBLT						
45	SUGARM						
46	TURMERIC						
47	WHEATKOTA						
48	ZINC						
49	ENERGY INDEX FUTURES						
50	ALL						

I/We also give any consent to upload the information to the respective commodity exchanges.

(1) Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature. **(2) Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. **(3) Proprietary traders:** It includes the members of stock exchanges trading in their proprietary account. **(4) Domestic financial institutional investors:** It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives. **(5) Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. **(6) Others:** All other participants which cannot be classified in the above categories.



Client's Signature

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



Client's Signature

Name	
------	--

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

j. GTT Buy Order

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

Example as below:

LTP	Trigger	Limit	Trigger Logic
100	95	94	GTT will get triggered when $LTP \leq$ Trigger price LTP at or below 95

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

Example as below:

LTP	Trigger	Limit	Trigger Logic
100	110	111	GTT will get triggered when $LTP \geq$ Trigger price LTP at or above 110



Client's Signature

k. GTT Sell Order

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

Example as below:

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

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

Example as below:

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

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

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



Signature of the Client



DECLARATION

1. I / We have received and read the 'Rights and Obligations' document and 'Terms & Conditions' and agree to abide by and to be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP/ARROW any change(s) in the details / particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.
2. 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/We am/are aware that I/we may be held liable for it. In case of 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".
3. I/We confirm having read/been explained and understood the contents of the document on 'Policy and Procedures', Voluntary Document and Tariff Sheet of the Stock Broker.
4. I/We further confirm having received, read and understood the contents of the "Rights and Obligations" and "Risk Disclosure Documents." I/We 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 along with DO's and DON'Ts has been displayed for information on stock broker's designated website.

Name	Sole Applicant / First Signatory / Guardian (in case sole holder is Minor)	Second Applicant / Signatory	Third Applicant / Signatory
Signature(s) of Holder(s) / Signatory(ies) (Plz use Black ink)			
Place			Date

FOR OFFICE USE ONLY

UCC allotted to the Client : Branch Code :

	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 provided him/it 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

Place

Date

For Irage Broking Services LLP

Signature of Authorised Signatory

Seal / Stamp of iRage Broking Services LLP

This document outlines various policies and procedures framed and followed by IRAGE BROKING SERVICE LLP (herein-after referred to as ARROW) with respect to its dealing with its clients as a stock broker on National Stock Exchange of India Ltd. ("NSE"), Bombay Stock Exchange Ltd. ("BSE") and Multi Commodity Exchange of India Limited ("MCX"), (collectively here in after referred as "the Exchange")

The policies and procedures as stated here in below are subject to change from time to time depending upon regulatory changes, its risk management framework the market conditions, etc. The said policies and procedures and any revision/updating in the same from time to time is/will be available in the client's web login provided by ARROW on its website. The client can access and refer to such policies and procedures by using user Id and Password provided by ARROW.

1. Refusal of Orders for Penny Stocks and /or illiquid Stock/Contracts/Options

In view of the risk associate in dealing with penny stocks and/or Illiquid Stocks/Contracts/option, ARROW would generally advice its clients to desist from trading in them. Further ,SEBI, Exchanges or ARROW may issue circulars or guidelines necessitating exercising additional due diligence by the clients for dealing in such securities.

A security may be treated as Penny Stocks/ Illiquid Stock/ Contracts/ Options if it falls in anyone category as mentioned here in below:

- Securities (with face value of Rs.10/- and above) traded at less the Rs.10/- on any of the Exchanges.
- Securities appearing in the list of Illiquid securities issued by the Exchange periodically.
- Securities forming part of Trade-to-Trade settlement.
- Securities forming part of Z group.
- Securities on which Exchange VAR is more they 50%.
- Scrip whose average daily volume in last seven days is less they 20,000 shares or Rs.20 lacs in value which ever is higher (collectively for all Exchange).
- Illiquid options / far month options / long dated options.
- Any other securities /contracts /option as may be decided by ARROW, which be considered by ARROW as volatile or subject to market manipulation or have concentration risk at client level or at the security level or any the reason.

Trading in such securities will be allowed to the client at the discretion of ARROW such securities may be blocked in normal trading system and any dealing in such securities will be allowed only on the approval of the Risk team as it may deem fit. ARROW may restrict the quantity of such securities if the client is allowed t buy/sell. ARROW may further insist up to 100% advance pay-in of funds/securities before allowing trades fin such securities.

Under no circumstances, ARROW shall be responsible for non-execution/delay in execution of such orders and consequential opportunity loss or financial loss to the client.

The above list of criteria is an indicative list, ARROW may define from time to time other category/criteria to treat a security as Penny Stocks/ illiquid Stock/ contracts/ Options.

2. Setting up the client's Exposure Limits

While setting up the exposure limits for and on behalf of the clients, ARROW broadly takes into consideration the regulatory requirement, client profile, internal risk management policy, market conditions, etc. Considering the said parameters the exposure limit for a client would be set up as follows:

- Exposure limits to the client will be provided based on the available margin in the client's broking account maintained with ARROW.
- The exposure limits will be depending upon the category of the scrip in which the client will transact and will be as decided by ARROW from time to time and may vary from client to client.
- On a case-to-case basis ARROW, at its discretion, may allow exposure limits to the client.
- In case of cash segment, ARROW may at its discretion allow clean exposure limit up to a certain amount to the client without insisting for any credit balance and / or margin. The quantum of clean exposure limit shall be decided by ARROW. On a case-to-case basis ARROW may, at its discretion, give higher clean exposure limits to certain set of t he clients. ARROW reserves the right to withdraw clean exposure limit granted to the client at any point of time at its discretion. The client cannot raise any concern/dispute for the same.
- Available margin for the purpose of granting exposure is calculated as a sum free credit balance of the client in ARROW'S book, margin in the form of funds, securities, bank fixed deposit, bank guarantees, etc. of the client available with ARROW.
- The choice of the securities to be considered as margin shall be determined by ARROW at its discretion form time to time and the client shall be abide by the same.
- While granting the exposure limit, margin in the form of securities will be valued as per the latest available closing price on NSE or BSE after applying appropriate haircut as may be decided by ARROW at its discretion.
- ARROW may from time to time depending on market conditions, profile and history of the client, type and nature of scrip, etc, at its discretion charge/change the rate of haircut applicable on the securities given as margin, multiplier for granting exposure in Cash/F&O segments and take such steps as ARROW my deem appropriate.
- The client will have to abide by exposure limit set by ARROW.

3. Applicable Brokerage Rate

For rendering the broking services, ARROW charges brokerage to the client. The Brokerage rate will be as per the terms agreed with the client at the time of client registration. The brokerage rate agreed in Tariff Sheet by client will be communicated to the client by way of Welcome letter sent to him. The client shall verify the welcome kit and revert within 30 days in case the brokerage rate is not as per the terms agreed.

The brokerage rate may be varied in future as agreed between the client and ARROW either in writing or orally from time to time. In case of oral agreement, if the

brokerage is charged at such revised rate in contract note subsequent to revision and the client does not raise any dispute on such brokerage within the time period stipulated on the contract note then the same will be considered as consented by the client.

The brokerage rate at no point of time will exceed the rates as may be specified by the exchanges/SEBI from time to time. The brokerage will be exclusive of the following except in cases where it is agreed otherwise:

- Service Tax and Education Cess.
- SEBI/Exchange/Clearing member charges stamp duty.
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.

4. IMPOSITION OF penalty/delayed payment charges, Specifying the rate and the period IMPOSITION of penalty

The exchange/clearing corporation/SEBI levies penalties on the broker for irregularities observed by them during the course of business. ARROW shall recover such imposed penalties /levies , if any, by the Exchange/regulators, from the client which arise on account of dealings by such client. Such recovery would be by way of debit in the ledger of the client and amounts would be adjusted against the dues owed by ARROW to the client.

Delayed payment charges

While dealing with ARROW it is the responsibility of the client to ensure that the required margins(including but not limited to initial margin, mark to market and/or other margins),any outstanding, settlement obligations and/or any other dues payable to ARROW are paid within the time period stipulated by the Exchanges or ARROW, whichever is earlier.

Delayed payment charge is only a penal measure. The client should not construe it as funding arrangement. The client can't demand continuation of service on a permanent basis citing levy of delayed payment charges. The client will not be entitled to any interest on the credit balance/surplus margin available/kept with ARROW. However, as per management decisions as of now we do not charge any interest on delayed payment.

5. The right to sell clients securities or close client's POSITIONS, without giving notice to the client, on account of nonpayment of client's DUES.

The client needs to furnish adequate margin as specified by ARROW from time to time at its sole absolute discretion. It shall be the client's responsibility to ascertain in advance the margin requirement for his/her/its order/trades/deals and to ensure that the required margin is made available to ARROW in such form and manner as may be required by ARROW.

Without prejudice to its other rights and remedies available under the Right and Obligations of Stock Brokers, Sub Brokers and clients, Risk Disclosure Document for Capital Market and Derivatives Segments, Guidance Note - Do's and Don'ts for trading on the Exchange(s) for investors and any other documents as

may be prescribed by SEBI/Exchange time to time, executed/to be executed by and between client and ARROW or at Law, ARROW shall be entitled, in its discretion, to liquidate/close out all or any of the client's open/outstanding position, sell the client's securities available with ARROW at any time to recover its dues without giving any notice to the client into following circumstances:

- If the client fails to pay any margin, settlement obligations and/or other liabilities due to ARROW within the stipulated time frame
- In the event that the market value of the client's securities, lying as margin or bought by the client for which payment is not made by the client, for any reason fall or is anticipated to fall, or circumstances arise or are likely to arise which may in the opinion of ARROW jeopardize its interest and expose it or is likely to expose it to any financial loss or damage.

Any and all losses (actual or notional), financial charges, damages on account of such liquidation/sell/closing out shall be borne by the client only.

However our internal control is such that the position of client squaring of due to short fall in margin, pay in does not arise. If such incidence arises, we, immediately contacts the client and asked the client to make up the shortfall & the client obliged.

6. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES:

Securities pay-in and pay-out are to be compulsorily settled as per the stipulated Exchange Settlement Calendar as notified by the Exchanges, for any transactions executed by the Clients in any of the respective Stock Exchanges and /or market segments.

In case a Client fails to deliver any one or more securities to the pre notified Depository Pool Account of ARROW in respect of the securities sold by the Client before the pay-in deadline notified by the Stock Exchange(s), such un-discharged obligation of any one or more securities shall be deemed to auctioned and/or closed-out by the Stock Exchange and/or Internally Closed-Out by ARROW.

In case the un-discharged obligation is overdue to the Stock Exchange for pay-in, the same would be auctioned and/or closed-out by the Stock Exchange at the auction price and/or close-out price, decided by the respective Stock Exchanges. The auction and/or the close-out would be accounted, at the auction price or close-out price on the date of auction pay-out, as may be debited to ARROW in respect of the securities delivered short by ARROW on behalf of its Clients, for the respective settlement to the extent traceable to the Client on failure of the Client to deliver such securities by the pay-in deadline. The accounting procedure would be conducted without any formal permission of the Client and as mandated, an Auction Contact Note with necessary annexure, would be issued to the Client on the Auction Date (which is notified by the Stock Exchange).

The loss, if any, on account of the auction and/or close-out shall be debited to the account of the seller Client and the Client shall not hold ARROW /Exchange(s) responsible and/or dispute for losses. Similarly the buyer

Client shall not hold ARROW/ Exchange(s) responsible and/or dispute for the loss/notional loss, if any, arising on account of the close-out credited to his/her/its account.

In case the un-discharged obligation is overdue to any other Client of ARROW arising out of internal netting of trades, the same would be internally Closed-Out by ARROW and charged to the defaulter seller and compensate the impacted purchaser. The basis of the Internal Close-out Rate calculation would be the Valuation Price (as decided by the Stock Exchanges) plus 10%, where the Valuation Price means the closing rate of the previous day in the Capital Market Segment of the scheduled pay-in /pay-out date of the respective exchanges. The Internal Close-Out would be accounted, at the Internal Close-Out rate on the date of auction pay-out, as decided by ARROW in respect of the securities delivered short by the defaulter seller by the pay-in deadline. The accounting procedure would be conducted without any formal permission of the Client and as mandated, an Auction Contact Note with necessary annexure, would be issued to the Client on the Auction Date (which is notified by the Stock Exchange).

The loss, if any, on account of the Internal Close-Out shall be debited to the account of the seller Client and the Client shall not to hold ARROW responsible and/or dispute for losses. Similarly the buyer Client shall not hold ARROW responsible and/or dispute for the loss/notional loss, if any, arising on account of the close-out credited to his/her/its account.

That if for any reason, schedule of pay-in and pay-out is modified, the afore said shall be applicable reckoning the actual date or pay-in and / or pay-out as the case may be by the respective Stock Exchange(s).

7. CONDITIONS under which the client may not be allowed to take further POSITION or ARROW may Close existing position of a client.

An illustrative list of circumstances on which ARROW may not allow the client to take further positions or may close/liquidate a part of our whole of the existing position of the client are as follows:

- Failure by the client in providing sufficient/ adequate margin(s) and or insufficient/inadequate free credit balance available in client broking account with ARROW;
- If the client fails to deposit the margin/additional margin by the deadline or if an outstanding debt occurs in the client's brokerage account with ARROW beyond the stipulated time period;
- If the client fails to maintain the requisite margin in such form and manner as may be specified by ARROW from time to time;
- Settlement obligations are not paid by the client within the time frame allowed by the Exchanges as per the norms specified by ARROW from time to time;
- Securities falling in the category of Penny Stock/illiquid stock/Contracts/Options.
- Trade which apparently in the discretion of ARROW seems to be synchronized trades/circular trading/ artificial trading/ manipulative in nature, etc;

- Securities /F&O contracts banned by the regulatory authorities;
- Any ban imposed on the client by the regulatory authorities.
- Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges(where the information available for the debarred entity(other than name) is not sufficient enough to establish that the client and such debarred entity are one and the same);
- The client fails to furnish document/ information as may be called for by ARROW from time to time as per regulatory requirements and/or as per its internal policy.
- In the event of death or insolvency of the client or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold;
- Where due to adverse movement in the prices of stocks in which the client has position, in (CM or F&O) or given as collaterals, the chances of the accounts of the client going uncovered or unsecured i.e. Not backed by any kind of security arises.

ARROW may take the action under this policy with/without giving any notice or intimation to the client. ARROW will not be responsible for any opportunity loss or financial the client in the event any action taken by it under this policy.

8. TEMPORARY SUSPENDING OR CLOSING CLIENT'S BROKING ACCOUNT AT CLIENT REQUEST.

A client who wishes to temporarily suspend or close his/her/its broking account can do so by submitting a written request or by email(Through E-mail Id Registered With ARROW) in the form and format as may be prescribed by ARROW. The request can be submitted to the servicing branch or sub-broker or the head office of ARROW. Prior to submission of such request the client should ensure that all amount due and payable to ARROW are paid. Request from a client where no dues are outstanding would be processed within 10 working days from the date receipt of the request. If the client wants to activate the broking account then a request reactivating the broking account should be sent in writing/via E-mail (Though E-mail Id Registered with ARROW) to ARROW along with such documentary evidence as may be specified by ARROW from time to time.

9. VOLUNTARY FREEZING/BLOCKING THE ONLINE ACCESS OF THE TRADING ACCOUNT:

You can freeze online access to your account by sending an email at stoptrade@irage.in, or you can call us at +07965081212 in case any suspicious trading activity is noticed by you . Your account will be frozen within 15 minutes of receiving your request if the request is given during the market hours (i.e. 9.15 am to 3.30 pm) and If the request comes after the market hours (i.e. after 3.30 pm) the account will be frozen before the trading hours of next trading day.

Similarly to unfreeze the account you can send an email at stoptrade@irage.in, or you can call us at:

+07965081212 to unfreeze the account. Once your trading account is frozen, you will not be able to do any order placement, trading /investment related activities. Only fund transfers or withdrawals will be allowed.

10. DEREGISTERING A CLIENT

Without prejudice to ARROW’S rights and remedies available under the agreement, ARROW may forthwith, at its discretion, de-register the client with/without prior notice/intimation in the following circumstances:

- Where the client indulges in any irregular trading activities like synchronized trading price manipulation, trading in illiquid securities/option/contracts, self trades, trading in securities at prices significantly away from market prices, etc;
- Any inquiry/ investigation is initiated by the Exchanges/regulators against the client;
- Any regulatory action taken/initiated against the client by the Exchanges/regulators including but not limited to debarring the client from accessing the capital market;
- Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI / Exchanges (where no information other than name is available);
- On the death/lunacy or other disability of the client;
- If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all any part of the undertaking of the client;
- If the client has voluntarily or compulsory become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect or refers itself to the Board for industrial and financial reconstruction or under any other law providing protection as a relief undertaking.
- If the client being a partnership firm, any steps has been taken by the client an /or its partners few dissolution of the partnership;
- Name of the client appears in database/websites of CIBIL, watch out investor ,word check etc;
- The client having suspicious background or link with suspicious organization; where the client is non-traceable, has pending disputes with ARROW, Possibility of a default by the client;
- Any other circumstance leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of “No such persons/Dress left/ Refusal accept mails, e t c ” , continuous Exchequer bouncing or not furnishing the financial and other details as may be called for by ARROW from time to time, etc.
- Such other circumstances which in the opinion of ARROW warrants to De- Register the client.

In all such case ARROW shall have the right to close out the existing open position/contracts, sell/ liquidate the margin (in any form) to recover its dues, if any, before DE-registering the client. Any action taken by ARROW in terms of this policy shall not be challenged by the client, and ARROW shall not be liable to the client for any loss or damaged (actual/ national), which may be caused to the client as a result. Also while preregistering the client, ARROW may retain certain amount/securities rude/

belonging to the client for meeting any future losses, liability penalties, etc. Arising out of dealing of the client with ARROW. In case if any securities retained by ARROW are sold/liiquidated to recover any such losses, liability, penalties, etc. ARROW shall have the authority to decided the mode , manner and the pricier at which to effect the sale of securities and the client cannot raise any dispute as to the manner, mode and the price at which the securities are sold by ARROW.

In any of the above circumstances, if the client is able to justify his/her/its innocence either by producing any record document or otherwise to the full satisfaction of ARROW, ARROW may reconsider its decision of DE-registering the client. However in no circumstances any action taken by ARROW till the date of re-registration shall be challenged by the client and ARROW shall not be liable to client for nay loss or damaged(actual/notional), which may be caused to the client as a result.

11. POLICY FOR INACTIVE CLIENT

Any client who has not traded in any segment of any of the Exchange with ARROW for last 24 months calculated from beginning of every financial year or such other period as may be decided by ARROW at its discretion then such client would be termed as Dormant/Inactive Client.

The broking account of such client may be deactivated / suspended temporarily by ARROW . If the client wants to active the broking account then a request for reactivating the broking account shall be sent in writing / via email (through email id registered with ARROW) to ARROW or may convey the same over recorded telephone line followed with written request. Such request for reactivation for should be accompanied slog with such documentary evidence as may be specified by ARROW from time to time.

If the client is tagged as a Dormant/inactive client then the funds/ securities lying with ARROW may be refunded / returned to the clients at his/her/its last bank account /DP account or sent at last known address of the client as per ARROW record.

CLIENT ACCEPTANCE OF POLICIES AND PROCEDURES STATED HEREIN ABOVE:-

I/we have fully understood the same and do hereby sign the same and agree not call into question the validity, enforceability and applicability of any provision/ clauses of the document under any circumstances what so ever. The policies and procedures may be amended/changed by the broker, provided the change is informed to me/us through anyone or more means or methods such as post/speed post / courier/registered post/ facsimile/ telegram/ cable/ e-mail/ voice mail/ telephone including SMS on the mobile phone/ by messaging on the computer screen of the client’s computer or any other similar device.



Client's Signature

Account Holder details	Name of Customer	Country/(ies) of Tax residency #	Tax Identification Number (TIN)%	Identification Type (TIN or other %, please specify)	Address for Tax Residence	Address type (Residential or Business, Residential, Business, Registered Office)
First Holder						
Second Holder						
Third Holder						

To also include USA, where the individual is a citizen/ green card holder of USA

% In case Tax Identification Number is not available, Kindly provide functional equivalent\$

Certification: I/We have understood the information requirements of this Form as per the CBDT notified Rules 114F to 114H and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the Terms and Conditions below and Hereby accept the same. I/We understand that my personal details as provided / available in the bank records will be used for CBDT reporting.

	1st Holder	2nd Holder	3rd Holder
Signature			

CBDT Terms and Conditions : The Central Board of Direct Taxes(CBDT) 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. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

CBDT Instructions : 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 United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent of the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
	If customer does not agree to be specified U.S. person/ reportable person status
1 U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; 2. Non-US passport or any non-US government issued document evidence nationality or citizenship(refer list below); AND 3. Any one of the following documents: a. Certified Copy of " Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
2 Residence/ mailing address in a country other than India	1. Self-certification(in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; and 2. Documentary evidence (refer list below)
3 Telephone number in a country other than India (and no telephone number in India provided)	1. Self-certification(in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; and 2. Documentary evidence (refer list below)
4 Telephone number in a country other than India	If no Indian telephone number is provided 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National identity card, etc.)

*Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.



FATCA / CRS DECLARATION - NON-INDIVIDUAL

Applicant Name _____

PART I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:
 Yes No

If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company _____ and proceed to sign the declaration.

B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India : Yes No
If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.

C. Is the account holder an Indian Financial Institution : Yes No
If "yes", please provide your GIIN, if any _____. If "No", proceed to point D.

D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen : Yes No
If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.

CUSTOMER DECLARATION

() Under penalty of perjury, I/we certify that :

1. The applicant is:

- (i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,
- (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

- (i) I/We understand that ARROW is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. ARROW is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iii) I/We agree that as may be required by domestic regulators/tax authorities ARROW may also be required to report, reportable details to CBDT or close or suspend my account.
- (iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity _____

Signature 1 _____ Signature 2 _____

Signature 3 _____ (As per MOP)

Date : _____

 _____
Client's Signature



PART II

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards(CRS)

Section 1 : Entity information

Name of Entity _____

Customer id (if existing) _____ Entity Constitution Type _____

Entity Identification type : Tax Identification Number (TIN) US GIIN Company Identification Number
Global Entity Identification Number (EIN) Other

Entity Identification No. _____

Entity Identification issuing country _____ Country of Residence for tax purpose _____

Section 2 : Classification of Non-Financial entities

I/We (on behalf of the entity) certify that the entity is:

- a) An entity incorporated and taxable in US (Specified US person) : Yes No
If "Yes", please provide your U.S. Taxpayer Identification Number (TIN) _____
b) An entity incorporated and taxable outside of India (other than US) : Yes No
If "Yes", please provide your TIN or its functional equivalent _____
Provide your TIN issuing country _____
c) Please provide the following additional details if you are not a Specified US Person :

FATCA / CRS classification for Non-financial entities (NFFE)

- [] Active NFFE [] Passive NFFE without any controlling Person
[] Passive NFFE with Controlling Person(s) : [] US [] Others
[] Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus ARROW is not required to do the reporting)
Please provide GIIN number : _____

Section 3 : Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is :

- a. An entity is a U.S. financial institution : Yes No
If "Yes", (i) Please provide your Taxpayer Identification Number (TIN)
(ii) Please provide GIIN, if any _____

If "No", please tick one of the following boxes below :

FATCA classification

Please provide the Global Intermediary Identification number (GIIN) or other information where

- [] Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction _____
[] Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction _____
[] Participating FFI in a Non-IGA Jurisdiction _____
[] Non-reporting FI _____
[] Non-Participating FI _____
[] Owner-Documented FI with specified US owners _____

Client's Signature



FATCA / CRS DECLARATION - NON-INDIVIDUAL

Section 4 : Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5 : Declaration

- (i) Under penalty of perjury, I/we certify that :
 1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that ARROW is relying on this information for the purpose of determining the status of applicant named above in compliance with CRS/FATCA. ARROW is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, ARROW shall be required to report, reportable details to CBDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

 Authorized Signatories and Company Seal (if applicable)

Name _____ Date (DD/MM/YYYY) _____

Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons
(Mandatory for Non-individual Investors)
 (To be provided on Letter Head)

I. Investor Details:

Name of the Client	
--------------------	--

II. Category:

<input type="checkbox"/> Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company <i>[If this category is selected, no need to provide UBO details]</i>		
<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm / LLP	<input type="checkbox"/> Unincorporated Association / Body of Individuals
<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Private Trust	<input type="checkbox"/> Religious Trust
<input type="checkbox"/> Trust created by a Will	<input type="checkbox"/> HUF	<input type="checkbox"/> Others [please specify] _____

UBO / Controlling Person(s) details

Sl. No.	Name of UBO	Country of Tax Residency	Taxpayer Identification Number / PAN / Equivalent ID Number	% of beneficial interest	Address, Address Type & Contact details (include City, Pincode, State, Country)	Gender (Male, Female)	PEP	Nationality	Occupation [Service, Business, Others]

Declaration

We acknowledge and confirm that the information provided above is true and correct to the best of our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, we are aware that we may liable for it. We hereby authorize ARROW to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by us, including all changes, updates to such information as and when provided by us to any of the relevant Authorities or any Indian or foreign governmental or statutory or judicial authorities / agencies without any obligation of advising us of the same. Further, we authorize to share the given information to other SEBI Registered Intermediaries and/or any other regulated intermediaries registered with SEBI / RBI / IRDA to facilitate single submission / update & for other relevant purposes. We 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.

Client Signature  _____

Date: _____

Place: _____

INSTRUCTIONS ON CONTROLLING PERSONS / ULTIMATE BENEFICIAL OWNER

As per SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
 - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - more than 10% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

A. BROKERAGE

	%	Min. PAISA	Min. Per Lot
1. Capital Market Segment			
Intraday Brokerage			Not Applicable
Delivery Brokerage			Not Applicable
2. Futures & Options Segment			
Brokerage in futures			
Brokerage in Options			
3. Physical Delivery			
4. Currency Segment			
Brokerage in futures			
Brokerage in Options			
5. Commodity Segment			
Brokerage in futures			
Brokerage in Options			
6. Different Slab (If any)			

B. OTHER CHARGES


Securities Transaction Tax (STT), Commodities Transaction Tax (CTT), Stamp duty, SEBI Charges, Transaction charges, Goods and Services Tax (GST), IPFT and other charges if any shall be levied as per the stipulation of relevant authorities and hence, subject to change from time to time. A minimum brokerage of INR 1 paise per segment per contract will be charged wherever the Brokerage mentioned is 0.

ARROW reserves the right to levy additional charges including but not limited to the following:

Particulars	Amount
Duplicate Contract Notes (CN) issued	Rs. 20/- per CN*
Bounced cheque/ Stop payment of cheque	Rs. 350/- per instance/instrument*

ARROW reserves the right to change the brokerage as well as other tariff from time to time under intimation to client. Brokerage is also charged on expired, exercised and assigned Futures and Options Contract. Brokerage will not exceed the rates specified by SEBI and the Exchanges. All Statutory and Regulatory charges will be levied as per exchange, SEBI and Depository Circulars published from time to time.

*These charges are subject to revision at the sole discretion of ARROW. and shall be informed by ordinary post/email/quarterly account statements/Call/SMS/notification on the back office interface.


 _____

Date:

D	D	M	M	Y	Y	Y	Y
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Charges for Depository Services

FOR DEMAT ACCOUNT

PARTICULARS	RATE (in Rs.)	
	Scheme Regular	
AMC (Yearly)	NIL for individual Rs. 500/- for other than individual	
Transaction Charges (Debit)	Per Transaction or (%) of Transaction Value whichever is higher	
Debit Transaction - Payin to ARROW	Rs. 20/-	
Debit Transaction - Other than ARROW	Rs. 20/- or 0.03%	
Margin Pledge	Rs. 20/- per Transaction	
Pledge Request (other than Margin Pledge)	Pledge Creation Rs. 30/- per transaction Pledge Closure Rs. Nil per transaction Pledge Invocation Rs. 20/- per transaction	
Dematerialisation	a) Rs. 150/- per Certificate + Rs. 100/- Courier Charges b) Rs. 100/- for per Demat Rejection + Rs. 100/- Courier Charges	
Rematerialisation	Rs. 150/- for every hundred Securities or part there of or a flat fee of Rs. 150/- per Certificates whichever is higher + Rs. 100/- Courier Charges	
Other Charges		
Cheque Dishonour	Rs. 350/-	
Re-issuance of DIS Booklet	a) With Requisition Rs. 100/- per booklet b) Without Requisition Rs. 200/- per booklet	
Modification Charges		
Client Master details changes	Rs. 25/- per Modification	
Basic Service Demat Account (BSDA)		
Stock Valuation in Rs. (including debt and other than debt securities combined)	AMC (Rs.)	
Upto Rs. 4 lakhs	Nil	
More than Rs. 4 lakhs but up to Rs. 10 lakhs	NIL	
More than Rs. 10 lakhs	NIL	
Transaction Charges (Rs.)		
As per Regular Scheme		
NOTES:		
<ol style="list-style-type: none"> 1) GST (Goods & Services Tax), Stamp duty, Statutory Charges, Notary charges and other charges if any shall be levied as per the stipulation of the concerned authorities. 2) The first year AMC will be charged on pro rata basis from the month of account opening till 31 March. Subsequently, it will be charged annually from the month of April for next financial year. All other charges will be billed on a monthly basis for any transaction during the month. 3) Charges may also be collected upfront, by the authorities at the point of acceptance of delivery instruction. 4) Delayed Payment Charges will be levied @24% p.a. if payment for the billing month is not received by the end of next month. In case of delay in the payment of charges, the account may be frozen for all operations until such time all dues are cleared. 5) In case of account is closed during the year, AMC for the unrealized quarter/Balance of quarter will be refunded to the client. 6) "All market Instructions for transfer must be received latest by 4.00 P.M working day prior to the Pay in Day as per SEBI Guidelines. All off market instructions for transfer must be received at least 24hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility*" 7) Charges are subject to revision at the Company's sole discretion and/or as per the revisions in the Depositories Charges. Any service not quoted will be charged separately. 8) Value of transaction will be In accordance with rate provided by the Depositories. 9) Stamp Duty on off Market transactions where consideration is Involved will be levied as applicable from time to time. 10) A settlement fee at the rate of Rs 3.50 per debit instruction in a client's account shall be charged by CDSL to the participant of the client. 		
 Signature of Sole / 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder



Declaration for Basic Services Demat Account (BSDA)

To,
IRAGE BROKING SERVICES LLP (DPID-12101300)
 Unit 1 & 2, 17th floor, Gift One Tower Road
 SC, Zone 5 ,Gift city, Gandhinagar-382050

Date:

With reference to my / our application for opening a depository account, I / We request you to open my / our depository account as per the following details:

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

I/We have read and understood the Securities and Exchange Board of India’s guidelines for facility for a BSDA.

I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.

 Signature of Sole / 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder
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Demat Debit and Pledge Instruction (DDPI) Authorization

Date:

To,
IRAGE BROKING SERVICES LLP
 Unit 1 & 2, 17th floor, Gift One Tower Road
 SC, Zone 5 ,Gift city, Gandhinagar-382050





Dear Sir/Madam,

Sub: Demat Debit and Pledge Instruction (DDPI) Authorisation

I/We,

(UCC _____)

hereby explicitly agree, authorize and give consent to authorize **ARROW**, to access Beneficial Owner (BO) Account _____ as per following purposes:

S. No.	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of mine / us (clients) towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me / us (clients) on the Stock Exchange through IRAGE BROKING SERVICES LLP . (ARROW)	1st Holder  2nd Holder _____ 3rd Holder _____
2.	Pledging / re-pledging of securities in favour of ARROW / Clearing Member (CM) / Clearing Corporations (CC) for the purpose of meeting margin requirements of the clients in connection with the trades executed by me/us (the clients) on the Stock Exchange.	1st Holder  2nd Holder _____ 3rd Holder _____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	1st Holder  2nd Holder _____ 3rd Holder _____
4.	Tendering shares in open offers through Stock Exchange platforms.	1st Holder  2nd Holder _____ 3rd Holder _____

Signature of First Holder

Signature of Second Holder

Signature of Third Holder

If the account jointly held by the account holder, all the account holders should sign this form and submit for activation. All the boxes, client is required to be signed. The same may be e-Signed or signed physically. This authorization will continue to remain valid until revoked in writing by you (pursuant to SEBI Circular no SEBI/HO/MIRSD/DOP/P/CIR/2022/44 dated 04-04-22 2022.) If client require only two or three option so account holder submit signed physically DDP

I/we am/are entitled to revoke this authorisation at any time, after sending the revocation letter at your office. Such revocation shall not affect my/our obligations outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued have been settled.


Schedule I provides the details of demat account of ARROW/Clearing Members/Clearing Corporations/Exchanges, where client shares / commodities can be transferred / Pledged / Repledged.

*The same may be e-signed or signed physically. DDPI document shall be valid from the date as specified by Regulator

SCHEDULE - I

Depository Participants Name	DP ID	Client ID
NSDL NSE POOL A/C	IN304375	10003002
CDSL NSE POOL A/C	12101300	00001141
CDSL NSE EARLY PAY-IN A/C	11000011	00022790
NSDLBSE POOL A/C	IN304375	10002995
CDSL BSE POOL A/C	12101300	00001120
CDSL BSE EARLY PAY-IN A/C	11000010	00025212
NSDL CLIENT MARGIN PLEDGE A/C	IN304375	10003019
CDSL CLIENT MARGIN PLEDGE A/C	12101300	00000021

Signed and delivered for and on behalf of the Client,

 _____ First Holder	_____ Second	_____ Third
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In case of HUF all adult Co-Parceners should sign

Name	Signature of Co-parcener
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____



OPTION FORM FOR ISSUE OF DIS BOOKLET

To,
IRAGE BROKING SERVICES LLP
 Unit 1 & 2, 17th floor, Gift One Tower Road
 SC, Zone 5 ,Gift city, Gandhinagar-382050

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / Demat debit pledge Instruction (DDPI) / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. **OR**

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / Demat debit Pledge Instruction (DDPI)executed PMS agreement in favour of / with **IRAGE BROKING SERVICES LLP** _____ (name of the attorney /Demat debit pledge Instruction (DDPI) / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

FOR DEMAT ACCOUNT

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

SMS Alert Facility <small>(Refer to Terms & Conditions given as Annexure 2.4)</small>	Mobile No. <u> +91 </u> <small>[[Mandatory, if you are giving Power of Attorney / POA) / Demat debit pledge Instruction (DDPI)] (if POA is not granted & you do not wish to avail of this facility, cancel this option.)</small>									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using Mobile number registered for SMS Alert Facility. I have read and understand the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; margin-top: 5px; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name / ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 34%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)								
Easi	To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in ‘ON’ and in a mode to receive the SMS. If the mobile phone is in ‘Off’ mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
 13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
 14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
 15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
 16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

17. Indemnity:

In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. Disclaimer:

Depository shall be absolved of any liability in case:-

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.



Client Signature

INSTRUCTIONS TO THE APPLICANTS (BOS) FOR ACCOUNT OPENING

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



Family Declaration - Email/ Mobile Updation in Family Codes
(Compulsory in case having common email & mobile in more than one A/C in ARROW)

To,
IRAGE BROKING SERVICES LLP
Unit 1&2, 17th Floor, Gift One Tower
Road SC, Zone 5, Gift City, Gandhinagar, Gujarat- 382 050

Dear Sir / Madam,

Subject: Family Declaration for registering common Mobile/Email

I and my family members hereby request that mobile number and email id, as mentioned on KYC Page shall be considered in your records for the purpose of receiving communication from ARROW or Stock Exchanges/ Depositories with regard to trading/ demat transactions executed by me / us through ARROW.

Thus, any communication relating to my/our trading and demat accounts should be sent to mobile number and e-mail id mentioned on KYC Page. This facility shall be provided to me/us as an exception, for my / our convenience of receiving transaction details at a single mobile number and e-mail id. I / we understand that for the purpose of availing the above facility by the family members where "family" means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines)..

Sr. No.	Client Name	Client ID / UCC		Signature
			Self	
			Dependent Parent Mother	
			Dependent Parent Father	
			Spouse	
			Dependent Daughter	
			Dependent Daughter	
			Dependent Son	
			Dependent Son	
			Non Individual like company / HUF / Partnership etc.	
			Non Individual like company / HUF / Partnership etc.	
			Non Individual like company / HUF / Partnership etc.	

In case of Non Individual Person Should be either Director/Authorised Person I Partner / Karta of HUF/Partnership etc.) (In case of additional Son / Daughter/Non Individual kindly provide details in separate sheet.)



CONSENT LETTER FOR BALANCE AND TRADE ALERT THROUGH SMS FACILITY

VOLUNTARY

Date:

To
IRAGE BROKING SERVICES LLP
Unit 1 & 2 , 17th Floor ,Gift one Tower Road
SC Zone 5 Gift City Gandhinagar, Gujarat- 382050

Dear Sir/ Madam,

This with reference to my / our registration for trading in the Cash and/ or F&O and/ or Commodity derivatives segment of NSE, BSE and /or MCX and the facility offered to receive Trade and Account balance alerts vide SMS facility. In this connection, I/we give my/ our consent and authorize you to send SMS alert for trades and account balance for transaction carried on by me /us with you to my /our mobile number as given here under:

Mobile Number: - +91

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I/we undertake to check the SMS alerts and bring the discrepancies, if any to your notice by a letter or email within 24 hours of the receipt of SMS. My/ our non-verification or not checking the SMS alerts on real time basis shall not be a reason for disputing the Trade and Account balance alerts at any time. The mandate is subject to terms and conditions mentioned here in below :

1. The service will be available to those clients who have provided their mobile number to ARROW. The service may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reason as may be warranted. ARROW may also discontinue the service at any time without giving any prior notice for any reason what so ever.
2. The SMS facility will be provided to the clients only if they remain within the range of the service provider’s service area or within the range forming part of the roaming network of the service provider. The readability timelines and accuracy of providing the service depend on many factors including the infrastructure connectivity of the service provider. ARROW shall not be responsible for any non-delivery/delay in delivery or distortion of the alert in any may what so ever. The service is currently available to the clients residing in India.
3. In case of non-individual clients the service will only be available to one mobile number registered at the time of registration/ modification.
4. The client acknowledges that the SMS alerts will be received only if the mobile number is “Active/ ON” and in a mode to receive ‘SMS’ . If the mobile number is in “Inactive/ off” mode I.e. unable to receive the alerts then the client may not get /get after delay the alerts sent during such period.
5. The client is responsible for promptly intimating to ARROW through a letter or e-mail, any change in mobile number or loss of handset, on which the client wants to receive SMS alerts from ARROW, ARROW shall make every effort to change/ update the mobile number within a reasonable period of time. In case of change in mobile number not intimated to ARROW, the SMS facility continue to be sent to the last registered mobile number. The client agrees to identify ARROW from any loss or manage suffered by it on account of account of such circumstances.
6. The SMS alerts sent on the mobile number furnished above shall be deemed to have been received by the client and ARROW shall not be under any obligations to conform the authenticity of the person(s) receiving the alerts. If the client should immediately inform ARROW in Writing.
7. The client conforms that this mandate has been given by him/her/them and he/she/they have the right to terminate this mandate at any time by giving a notice to ARROW in writing.
8. The client undertakes that the mobile number is registered in his/her/their name and he/she/they have written the same in the above box.
9. Any changes in the terms and conditions shall be intimated from time to time.

Thanking you,

Client's Signature



MAINTENANCE OF MY/OUR FUNDS & SECURITIES ON RUNNING ACCOUNT BASIS & PREFERENCE FOR ACTUAL SETTLEMENT

VOLUNTARY

Date:

To,

IRAGE BROKING SERVICES LLP

Unit 1 & 2, 17th Floor, Gift one Tower Road

SC Zone 5 Gift City,

Gandhinagar, Gujarat-382050

I /We here by authorise you to maintain my/our account on running account basis and to retain credit balances in my/our account till further instruction (written or verbal) from my / our side or instruction for settlement interval given by me/us (monthly/quarterly as the case may be) whichever is earlier.

I/We understand that this authority for maintenance of funds on running account basis may be revoked by me / us at any time giving instruction in writing and shall remain in force until revoked by me/us in writing.

I/we hereby authorize you to make actual settlement of funds in respect of my /our trading account at least once in a

Quarter (90 Days)

Month (30 Days)

I/we understand that any excess funds lying with you shall be released during settlement of my account as per the above settlement interval.

I/we further understand that while settling the account, you shall send to me/us a statement of funds and in case there will be any dispute in the statement of account or settlement so made, I/we shall intimate the same within 7 working days from the date of receipt of fund or statement as the case may be.

Thanking You,

Yours Faithfully,

Client Signature  _____

(All the clauses mentioned in the 'Right and obligations' document 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/ commodities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. Which use internet protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/ securities trading/ commodities 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/ commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities/ commodities 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, risk, responsibilities, obligations and liabilities associated with securities trading/ commodities trading through wireless technology/ internet/ smart order routing or nay 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 transaction done by any person who so ever through the stock broker's IBT system using the client's Username and/ or password whether or not such person was authorize to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/ securities trading/ commodities 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 accessed through his username/ password /account with full details of such unauthorized use, the date, the manner and the transaction 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/ commodities trading through wireless technology and client shall be fully liable and responsible for any and all acts done in the client's Username / password in any manner what so ever.
8. The stock broker shall send the order/ trade confirmation through e-mail 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 in interruptions and dislocations. The stock broker and the Exchange do not make nay 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 a account of any suspension, interruption non-availability of malfunctioning of the stock broker's IBT System or service of the Exchange's service or system or non-execution of his order due to any link/system failure at the client / stock brokers / Exchange end for any reason beyond the control of the stock broker/ Exchanges.



Client's Signature



MANDATE TO ISSUE CONTRACT NOTE, MARGIN REPORTS, STATEMENT OF FUNDS & SECURITIES & OTHER DOCUMENT IN DIGITAL FORMAT

Date:

To

IRAGE BROKING SERVICES LLP

Unit 1 & 2 , 17th Floor ,Gift one Tower Road SC

Zone 5 Gift City Gandhinagar, Gujarat- 382050

Dear Sir/Madam,

Ref: Trading Code:- _____

I/we hereby agree and give my/our consent to you to issue contract notes, Margin Analysis Report, Statement of fund & securities, notices, circulars, amendments & other relevant documents related to my/ our trading account in Digitally signed electronic mode as specified in the Information Technologies Act 2000 and the rules made there under over my/ our e-mail id as mentioned in KYC application from.

I/we shall accept all the documents sent by you in digitally signed electronic mode to my/ our specified e-mail id subject to following terms & conditions:-

1. The contract notes, Margin Reports, Statement of Funds & securities and other documents will be issued in Digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
2. Digitally signed electronic contract notes, Margin Report, Statement of Funds and Securities & other document will be mailed to my/ our specified email id as mentioned in KYC application form.
3. I/we can view the digitally signed electronic contract notes on company website by using the user name & password provided to me/us.
4. The digitally signed contract notes will be archived at an interval of 15 days. If I/we intend to view the digital contract notes for a period prior 15 days, I/we may request for the same in writing.
5. In case of any failure in sending of digitally signed electronic contract note, Margin report, Statement of Funds & securities and other document, you will arrange to send the document in physical form through post, registered post, speed post, courier or any other similar mode of communication.
6. I/we agree to inform you in case of any discrepancies, within 24 hours of issue of the digitally signed electronic contract notes, Margin report, Statement of Funds & securities and other document.
7. The non- receipt of bounced mail notification by you shall amount to delivery of contract notes, Margin report, Statement of Funds & securities and other document at my/ our E-mail id.
8. I/We hereby undertake to intimate you of any change in my/our email ID through a physical letter immediately.
9. I/we confirm that the email id as mentioned in KYC application form belongs to me/ us and I/we regularly access the same. The digitally signed electronic contract notes, Margin report, Statement of Funds & securities and other document sent to my/ our aforesaid email id shall be construed as delivery of documents to me/ us and non accessibility of E-mail id or any auto E-mail informing non accessibility by me/ us will not be taken/ accepted as an excuse for non acceptance of aforesaid documents.

Thanking you

Yours faithfully

Client's Signature

Date:

To,

IRAGE BROKING SERVICES LLP

Unit 1 & 2 , 17th Floor ,Gift one Tower Road

SC Zone 5 Gift City Gandhinagar, Gujarat- 382050

Dear Sir/ Madam,

Ref: Trading Code:- _____

I/We hereby agree/undertake/ authorize as follows:

1. I/We understand and agree that I/we am/are liable to pay the margin up-front on or before creating a position in Cash , Futures and Option and Commodity contract. IRAGE BROKING SERVICES LLP (herein after referred to as "ARROW") or the Exchange(s) shall decide upon such margin from time to time. Furthermore I /we am/are liable to pay daily margins depending on whether the price of the Cash, Futures and Option and commodity contract moves for or against the position undertaken. I/we hereby agree to make all margin payments as demanded by ARROW failing which ARROW can square up all or any outstanding position of sale and / or purchase without any notice to me/us.
2. I/we hereby undertake to deposit monies securities, commodities or other property which may be required to open and or maintain my / our account with ARROW.
3. I/we undertake that I/we shall not, acting alone in concert with others, directly or indirectly, hold and control excess number of permitted derivatives contracts and shares as fixed from time to time.
4. I/we hereby undertake that I/we shall not exercise a long or short position where acting alone or in concert with others, directly or indirectly that it shall have exercised / taken delivery in excess of the number of permitted derivatives contracts and shares as fixed form time to time by the said Exchanges.
5. I/we agree and acknowledge that I/we will not held ARROW and/or its employees liable for losses caused directly or indirectly by Government restriction Exchanges or market rulings, acts of God, commotion insurrection embargo, industrial dispute , suspension of trading computer telephone or system failure, war, earthquake, flood, accident, power failure equipment or software malfunction strikes or any other condition.
6. I/we understand that in the event of ARROW or any employee or official of ARROW, providing any information recommendation or advice to me /us, I/we may act upon the same at my our sole risk and cost, and ARROW shall not be liable or responsible for the same. I/we assume full responsibility with respect to my /our investment decision and transactions. ARROW or its officers, directors, partners, employees, agents and affiliates will have no liability with respect to my / our investment decision or transaction.
7. I/we authorize and instruct ARROW to Issue summarized contract not instead of detailed contract note for the trades executed.
8. I/we hereby agree and understand that ARROW shall deliver contract note of the trades executed by me/ us via e-mail / digitally signed /post/ or courier. The contract note shall be final and binding proof of the order placed by me/us if I/WE do not object to it within 24 hours from the receipt of contract note . For the purpose of sending digitally signed contract notes by e-mail, the e-mail id specified by me/us in the account opening form or send by any later communication would be used.
9. I/we authorize ARROW to deliver the contract note or any other documents at the address provided by me/us to any person available at that address.
10. I/we undertake that I/we will make payment of all the dues of my/ our account to ARROW within the due date. I/we hereby agree and understand that in case of non-payment by me/us to ARROW within the due date, ARROW in respect of such late payment will levy delay/late payment charges on the outstanding amount. The said late payment shall

include amounts payable by me/us to ARROW in respect of daily margin, mark to market and other related margins, pay-in obligations and such other dues payable to ARROW. Delay/Late payment charges will be levied at a maximum rate of 21% per annum for the delayed period.

11. I/we hereby agree to furnish such details as regards financial position assets, liabilities etc. as and when required to do so by ARROW.
12. I/we hereby authorize ARROW to maintain records/ books of accounts for me /us collectively for different exchanges/ segments of the exchanges and /or any other service which I/we may be availing . I/we hereby authorize ARROW to transfer make adjustment and /or set off a part of whole of the securities and/or commodities placed as margin and or any surplus fund in any segment / exchanges of my our above account maintained with ARROW against the outstanding dues payable if any by me/us in other segment/ Exchanges of my/ our above account. Any entries passed by you in accordance with this authorization shall be binding on me.
13. I/we do not have any involvement, what so ever, with regards to the increase or decrease in the price of share dealt by me/us.
14. I/we agree that I/we will not act as Stock Broker / Authorized Person without prior written permission of ARROW and without obtaining certificate of registration from SEBI/ Exchanges, as applicable.
15. I/we agree and understand that it is advised and preferred that I/we give instructions for order placement modification / cancellation in writing to avoid disputes. However, as the fluctuations in market are so rapid it is not practical to given written instructions for order placement / modification / cancellation , hence I/we hereby authorize ARROW to accept my /our authorized representative's verbal instructions for order placement / modification/ cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/we shall not be entitled to disown orders and consequent trades (if any) under the plea that same where not under my/ our instructions.
16. I/we understand that ARROW undertakes proprietary trading in addition to client based trading . I/we have noted the same and have no objection to ARROW doing the same.
17. I/we hereby declare that I/we shall indemnify and keep indemnified the ARROW harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges, and or expenses that are occasioned to ARROW directly or indirectly owing to bad delivery of shares/ securities /commodities as a result of fake / forged / stolen shares / securities / commodities / transfer documents that are introduced or that may be introduced by or though me/us during the course of my /our dealings / operations on the Exchanges.
18. I/we understand and agree that ARROW reserve the right to transfer my/ our funds lying in the client account of one exchange to the client account of other exchange(s) to satisfy the debit balance of my/ our account in that exchanges.

Thanking you

Yours faithfully



Client's Signature

Applicability of PMLA Act

- a. Banking company
- b. Financial institutions
- c. Intermediary (which includes stock broker sub-broker, depository participant, share transfer agent, portfolio manager, other intermediaries associated with the securities market and registered under section 12 of the SEBI Act, 1992)

Objectives

The Act is intended to supplement the law enforcement authorities to detect proceeds derived from serious crimes and help to effectively money laundering terrorist financing and recycling of illegally obtained money.

In brief the objectives of AML are as follows:

- a. To prevent financial intermediaries from being used as a channel for the purpose of Money laundering & terrorist financing.
- b. To preserve the integrity/ stability of the Financial System.
- c. To work hand in hand with the regulators to flush money laundering and terrorist financing activities out of our financial system.

What is money laundering?

Money laundering is a process of making dirty money look clean. Money laundering is the process by which criminal attempt to hide a disguise the true origin and ownership of the proceeds of their criminal activities.

Through money laundering the launderer the transforms the monetary proceeds derived from criminal activity into funds with an apparent legal source.

Step taken by IRAGE BROKING SERVICES LLP (here-in-after referred to as ARROW):-

ARROW is fulfilling objective of AML program in 3 steps:

- A. Identification of clients
- B. Monitoring of clients transactions
- C. Reporting of suspicious transactions

Obligation of the client:

Implementation of AML/ CFT measure requires demand of certain information from investors which may be of personal nature of has either to never called for. Such information can include documents evidencing source of funds/ income tax return/ bank records etc. This can sometimes lead to raising of questions by the client with regard to the motive and purpose of collecting such information. This document has therefore been prepared to sensitize the clients about requirements emanating from AML and CFT framework.

Clients are required to provide complete details at the time of account opening:

1. Address proof ,
2. Identity proof
3. PAN
4. Income details

Clients are required to periodically update:

1. Contact details
2. Financial details
3. Occupational details

The transactions executed by the clients need to be commensurate with the disclosed income details.

Clients are required to provide requested explanation/ details for suspicious transactions.



Client's Signature

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, 2018, 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, 2018 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

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

Statement of account

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

Manner of Closure of Demat account

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

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

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances 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

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

25. 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

26. 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

27. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
28. 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.
29. 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.
30. 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
31. 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.
32. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



ACKNOWLEDGEMENT LETTER

Date:-

To,
IRAGE BROKING SERVICES LLP
Unit 1 & 2, 17th Floor, Gift one Tower Road
SC Zone 5 Gift City Gandhinagar, Gujarat- 382050

Ref:- Trading Code _____ DP Client ID _____

Dear Sir,

This has reference to my/our aforesaid trading and / or Demat account with you. In this connection i/we hereby acknowledge the receipt of the copies of the following documents:-

Know your Client(KYC), Right & obligations , Risk Disclosure documents, Guidance Note-Do's & dont's, Policies & Procedures, Invertor Charter, Tariff Sheet/schedule of charges, PMLA Brochure, MITC, Policy for Handling GTT / GTC orders and Other voluntary Documents. I/We aware that Standard Documents are made available on company website i.e <https://irage.in/>

For the purpose of account opening, I/we hereby declare that the details provided on the KRA/KYC page downloaded from KRA/CKYC system by you are true and correct till date. I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we are aware that I/we may be held liable for it.

Thanking You,

Your's Faithfully

Signature of the client

 _____

1st holder

2nd Holder

3rd Holder

CLIENT NAME	:	_____
CLIENT CODE	:	_____
FORM NUMBER	:	_____



IRAGE BROKING SERVICES LLP

(LLPIN-AAD-8258)

SEBI Registration No. : INZ000011262

Unit 1 & 2, 17th floor, Gift One Tower Road
SC, Zone 5, Gift city, Gandhinagar-382050

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