



**LOHIA SECURITIES LIMITED**  
ALWAYS GO AHEAD

NAME

TRADING CLIENT CODE

BRANCH CODE

ACCOUNT OPENING DATE



CLIENT REGISTRATION KIT - NSE | BSE | MSE | MCX | NCDEX



Dear Clients,

Thank you for choosing us as the preferred platform for your trading & investment needs. We look forward to your becoming one of our valued Client and give us the pleasure of serving you. Lohia Securities Limited offers you diverse opportunities to trade in various segments of various exchanges (as the case may be).

To start with we request you to complete the relevant forms and submit the required documents. We have designed the form for ease of completion with simple instructions at relevant places to guide you along.

Should you face any difficulty in understanding the requirements please do not hesitate to contact our executive who will be ever willing to assist / guide you.

It shall be our endeavor as always, to provide you truly personalized & satisfying services.

Trading Member

## LOHIA SECURITIES LIMITED

Registered, Corporate & Correspondence Office  
4, Biplabi Tralokya Maharaj Sarani (Brabourne Road),  
5th Floor, Kolkata - 700 001  
Tel. +91 33 4002 6600 / 6700,  
Fax : +91 33 4002 6800  
Email : info@lohiasecurities.com ;  
Website : www.lohiasecurities.com

Clearing Member

Globe Capital Market Ltd.  
609, Ansal Bhawan, 16, K. G. Marg, Connaught Place,  
New Delhi-110001  
Phone : 011-30412345, Fax : 011-23720883  
Investor Compliants E-mail ID :  
compliance@globecapital.com  
Website : www.globecapital.com  
SEBI Reg. : IN2000177137 (NSE-FO,CD, Comm)  
(BSE-FO,CD,Comm)  
Clearing Number : M50302

PLEASE READ "LSL" AS "LOHIA SECURITIES LIMITED" WHEREVER IT APPEARS.

Compliance Officer Name, Tel. No. & Email ID : Sudheer Kumar Jain • 033 4002 6600 • sudheer.jain@lohiasecurities.com

CEO Name, Tel. No. & Email ID : Sudheer Kumar Jain • 033 4002 6600 • sudheer.jain@lohiasecurities.com

### SEBI REGISTRATION NUMBERS & DATE

NSE - CM	INZ 000202639	29.10.2018
NSE - F&O	INZ 000202639	29.10.2018
NSE - CDS	INZ 000202639	29.10.2018
NSE - DEBT	INZ 000202639	29.10.2018
NSE - COMM	INZ 000202639	29.10.2018
BSE - CM	INZ 000202639	29.10.2018
BSE - F&O	INZ 000202639	29.10.2018
BSE - CDS	INZ 000202639	29.10.2018
BSE - DEBT	INZ 000202639	29.10.2018
BSE - COMM	INZ 000202639	29.10.2018
MSEI - CD	INZ 000202639	29.10.2018
MSEI - CM	INZ 000202639	29.10.2018
MCX	INZ 000051337	23.05.2016
NCDEX	INZ 000051337	23.05.2016

### GRIEVANCES

For any grievance/dispute please contact LSL at the above address or email us at Investor Grievance Email  
grievance@lohiasecurities.com  
and call us at 033 40026600

In case not satisfied with the response,  
please contact the concerned exchange(s)

NSE	ignse@nse.co.in	022-2659 8190
BSE	is@bseindia.com	022-2272 8138
MSEI	investorcomplaints@msei.in	022-6731 8900
MCX	grievance@mcxindia.com	022-6649 4070
NCDEX	askus@ncdex.com	022-6640 6084

## INDEX

### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.NO.	NAME OF THE DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENT	PG. NOS.
1	INSTRUCTION /CHECKLIST	Document captures the instruction / checklist for filling KYC Form	B2-B3
2	ACCOUNT OPENING FORM	KYC form - Document captures the basic information about the constituent	SEPARATE
		Document captures the additional information about the constituent relevant to trading account	A-2
3	RIGHTS & OBLIGATIONS	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	B4-B7
4	RISK DISCLOSURE DOCUMENT (RDO)	Document detailing risks associated with dealing in the securities market.	B8-B10
5	GUIDANCE NOTE	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B11
6	POLICIES & PROCEDURES	Document describing significant policies and procedures of the stock broker	A-7
7	TARIFF SHEET	Document captures the additional information about the constituent relevant to trading account	A-11
8	FATCA / CRS DECLARATION FORM FOR INDIVIDUAL	Declaration from the client	A-12
9	FATCA/CRS DECLARATION FORM FOR NON-INDIVIDUAL	Declaration from the client	A-14
10	MOST IMPORTANT TERMS AND CONDITIONS (MITC)	Declaration from the client	A-17

### VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

1	WRITE-UP ON PMLA (For information only)	Brief Write-up on the provisions of Prevention of Money Laundering Act 2002 (PMLA) which clients needs to know.	B12
2	PMLA, 2002	Information to be provided by the client in relation to the PMLA, 2002	A-18
3	AUTHORISATION LETTER FOR ELECTRONIC COMMUNICATION OF CONTRACT NOTES, DAILY MARGIN STATEMENTS, ACCOUNT STATEMENTS FOR FUNDS AND SECURITIES ETC.	Authorisation for Electronic Communication of Contract Notes, Daily Margin Statement, Account Statements etc. (Voluntary document authorizing member to send contract notes, daily margin statement, Accounts Statements etc. electronically)	A-19
4	LETTER FOR APPOINTMENT OF AUTHORISED REPRESENTATIVES FOR OPERATION OF ACCOUNT AND FOR RECEIVING CONTRACT NOTES, DAILY MARGIN STATEMENT, ACCOUNT STATEMENT ETC.	Voluntary document for operational convenience of client account	A-20
5	AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS & SECURITIES	Voluntary document by client authorizing stock broker to maintain Running Account of funds and securities	A-21
6	FORM FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND EMAIL ADDRESS	Voluntary document by client for Registration & Verification of Mobile Number and Email Address	A-22

**PART II - TRADING ACCOUNT RELATED DETAILS**

**FOR INDIVIDUALS & NON-INDIVIDUALS**

**A. BANK ACCOUNT(S) DETAILS**

	First Account (Default)	Second Account	Third Account
Bank Name			
Branch Name			
Branch Address			
Bank Account No.			
Account Type - <i>Saving/ Current / Others - In case of NRI/NRE/NRO</i>			
MICR Number			
IFSC Code			

**B. DEPOSITORY ACCOUNT(S) DETAILS**

DP Name			
Depository Name NSDL/CDSL			
DP ID			
Beneficiary ID (BO ID)			
Beneficiary Name 1			
Beneficiary Name 2			
Beneficiary Name 3			

**C. TRADING PREFERENCES**

\*Please sign in the relevant segment where you wish to trade. The segment not chosen should be struck off by the client.

**NSE-CM**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**NSE-F&O**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**NSE-CDS**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**NSE-IBT**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**NSE-DEBT**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**NSE-COMM**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**BSE-CM**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**BSE-F&O**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**BSE-CDS**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**BSE-DEBT**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**BSE-IBT**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**BSE-COMM**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**MSEI-CDS**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**MSEI-CM**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**NCDEX**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

**MCX**  \_\_\_\_\_  
SIGNATURE OF THE CLIENT

# 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.

**D. PAST ACTIONS**

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

**E. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS**

If client is dealing through the authorised person, provide the following details :

Authorised Person Name		Exchange Registration number
Registered Office Address		
Phone	Fax	Signature of Sub-Broker (optional)
Website		
Email ID		

Whether dealing with any other stock broker/authorised person,

(If case dealing with multiple stock brokers/authorised person, provide details of all)

Name of stock broker	Name of authorised person, if any
Client Code	Exchange
Details of disputes/dues pending from/to such stock broker/authorised person	

**F. ADDITIONAL DETAILS**

Whether you wish to receive Physical Contract Note or Electronic Contract Note (ECN) (please specify): \_\_\_\_\_

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

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

Number of years of Investment/Trading Experience

Any other information

**G. INTRODUCER DETAILS**

Name of the Introducer (Surname - Name - Middle Name)

Status of the Introducer	<input type="checkbox"/> Authorized Person	<input type="checkbox"/> Existing Client
	<input type="checkbox"/> Others, please specify .....	
Address of the Introducer		
Phone No. of the Introducer	Signature of the introducer	
Mobile No. of the Introducer		



14	<b>Nominee Identification details #</b> [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)			Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

**Signature of witness for Nomination**

Name of the witness	Address	Signature

Date 

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

# Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

**Note :**

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Name and Signature of Holder(s)*		
1. _____	2. _____	3. _____

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

**I. OTHER DETAILS**

**(FOR INDIVIDUALS ONLY)**

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

0-1 Lac     1-5 Lacs     5-10 Lacs     10-25 Lacs     > 25 Lacs

or Net-Worth as on date \_\_\_\_\_ Rs. \_\_\_\_\_ (\*Net worth should not be older than 1 year)

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

<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Business
<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife
<input type="checkbox"/> Student	<input type="checkbox"/> Others (please specify.....)		

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

**(FOR NON-INDIVIDUALS ONLY)**

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

0-1 Lac     1-5 Lacs     5-10 Lacs     10-25 Lacs     > 25 Lacs - 1 Crore     > 1 Crore

Net-worth as on date \_\_\_\_\_ Rs. \_\_\_\_\_ (\*Net worth should not be older than 1 year)

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole Time Directors :

Politically Exposed Person (PEP)     Related to a Politically Exposed Person (PEP)

Any Other Information

### DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/we confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), "Risk Disclosure Document" & Guidance Note Document. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.

D	D	M	M	Y	Y	Y	Y

PLACE

\_\_\_\_\_  
SIGNATURE OF CLIENT / (ALL) AUTHORIZED SIGNATORY (ies)

### DISCLOSURE INFORMATION OF PROPRIETARY TRADING

To increase transparency in the dealings between us as a Trading Member and you as a Client we do hereby disclose that apart from Client based trading, we also do Proprietary Based Trading (self account) in ALL SEGMENTS of ALL EXCHANGES in which we are members. You are requested to please take a note of the same.

### FOR OFFICE USE ONLY

UCC Code allotted to the Client	Trading Code uploaded by :	
	<b>DOCUMENTS VERIFIED WITH ORIGINALS</b>	<b>CLIENT INTERVIEWED BY</b>
Name of the Employee		
Employee Code		
Designation of the employee		
Date		
Signature of the Employee		

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

\_\_\_\_\_  
SIGNATURE OF THE AUTHORISED SIGNATORY (LSL)

\_\_\_\_\_  
SEAL /STAMP OF THE STOCK BROKER

**a. Refusal of orders for penny/illiquid stock**

Penny stocks are those stocks appearing in the list of illiquid securities issued by Exchanges from time to time.

The stock broker may from time to time limit (quantity and/or value)/refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI. Provided further that stock broker may require compulsory settlement / advance payment of expected fund pay-in obligation / delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.

The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and the client is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

**b. Setting up client's exposure limits**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange / SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.) and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at anytime, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/ exchange / SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such

refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The client is not entitled to trade without adequate margin/ security and that it shall be his/her/its responsibility to ascertain before hand the margin / security requirements for his/her/its orders/trades/deals and to ensure that the required margin/security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he/she/it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) &/or any claim/loss/damage arising out of the non availability/ shortage of margin/security required by the stock broker &/or exchange &/or SEBI.

**c. Applicable brokerage rate**

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

**(a) For Cash Market Segment**

The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5% of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs. 10/- or less, a maximum brokerage of 25 paise per share may be collected.

**(b) For Derivatives segment:**

i) For Option Contracts : Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract.

It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount of Rs. 100/- (per lot) whichever is higher.

ii) For F&O Contracts : The maximum brokerage chargeable by a trading Member in relation to trades effected in the contracts admitted to dealing on F&O segment of NSE/BSE/MSEI/MCX/NCDEX is fixed at 2.5% of the contract value exclusive of statutory levies.

**d. Imposition of penalty/delayed payment charges**

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at such rates as may be determined by the stock broker.

In case where the stock broker has to pay any fine or bear any punishment from any authority in connection with or as a consequence of or in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

The Company follows a policy of making payment within next working day from the date it becomes due. Clients maintaining running account with the brokers are required to make a written application for payment at the head office/regd. office. For such clients payment due date shall be next working day from receipt of such letter. Similarly for margin release the clients have to make written application at Head Office/Regd. Office and the shares/ funds shall be released within next working day from the receipt of such application. However, in case where the shares of client are lying with the clearing corporation/clearing house the same shall be released in three working days from the receipt of such letter. The payment shall be subject to force majeure conditions.

The client is aware and agrees that arrangement for the collection of cheque from Head Office/Regd. Office or Branch Office is to be made by the client. Under no circumstances responsibility of delivering of cheque lies with the broker.

However, if the company is at default in making timely payment, it agrees to pay delayed payment interest @ 7.5 % for period of default. For clients not having running account such period shall commence from one day after the settlement day and for clients who have given authority for running account such period shall commence from one day after the receipt of written request from the clients and such period shall end on day of payment.

The client is aware and agrees that he has to demand the delayed payment interest in writing. Such demand of delayed payment is to be sent to head office/registered office. Furthermore, interest shall be claimed by the client within 15 days from the end of the calendar month in which such payment becomes due. The client agrees that no delayed payment interest can be claimed by him from the stock broker after expiry of 15 days from end of the calendar month in which such payment becomes due.

The client is aware and agrees that there shall be no interest for delay payment due to force majeure conditions.

The client is aware and agrees that the stock broker has a right to claim interest from client @ 18% p.a. for the delay payment on the outstanding balance payable by the client.

Further more the client is aware and agrees that the stock broker does not lose his right to claim interest from client for delayed payment even if the stock broker has not charged/

claimed interest on delayed payment on earlier occasions. The client agrees that waiver of interest by stock broker on delay payment in past will not lead to stock broker losing his right of such delayed payment charges in future.

The client agrees to pay to the stock broker brokerage, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account/transactions/services that the client avails from the stock broker.

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

i) **The right to sell client's securities without giving notice to the client on account of non payment of clients' dues.**

Notwithstanding any thing contained anywhere in this agreement or elsewhere the stock broker is entitled to but not obliged to sell client's share without further notice due to non payment of dues by the client, and/or if the client has failed to meet any of his obligations and such obligations include but not limited to non payment by client within the date of settlement.

The client is aware and agrees that such sale of shares of client by the stock broker may lead to losses by the client and that such loss shall entirely and exclusively be borne by the client and the stock broker shall not be held responsible for such losses.

The client is also aware and agrees that the stock broker is entitled to sell his shares on the next working day or any day thereafter from the date of settlement and the stock broker also has discretion to decide time of such sell on the next working day or any day thereafter, as the case may be. The client also agrees not to question the time of such sale.

The client is also aware and agrees that sell of securities shall be at the market rate.

The client & stock broker agree that such sell of client securities shall be limited to the extent of settlement/margin obligation.

ii) **The right to close client's position without giving notice to the client on account of non payment of client's dues.**

Notwithstanding any thing contained anywhere in this agreement or elsewhere the stock broker is entitled to but not obliged to close existing position of the client without giving prior notice on account of non-payment.

The client is aware and agrees that such closer of existing open position by stock broker may lead to losses by the client and that such losses shall entirely and exclusively be borne by the client and the stock broker shall not be held responsible for such losses.

The client is also aware and agrees that time for close of existing open position by stock broker shall be thirty minutes before schedule close of trading or MTM percentage reaching or crossing 75% of margin available.

The client is also aware and agrees that closer of existing open position by stock broker shall be at market rate.

The client and stock broker agree that such close of existing position shall be limited to the extent of settlement /margin obligation.

**f. Shortages in obligations arising out of internal netting of trades**

The policy and procedure for settlement of shortage, obligations arising out of internal netting of trades is as under:

i) The short delivering client is debited by an amount equivalent to closing rate of the trading day immediately preceding the settlement date plus 20%. The securities delivered short are purchased from market on the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.

ii) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on Auction day on Exchange +10%. However, where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.

iii) In cases of securities having corporate actions, all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at (a) official closing price on the auction day plus 10% or (b) the highest traded price from first trading day of the settlement till the auction day- whichever ever is higher.

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

**1) Condition under which the client may not be allowed to take further position:**

Notwithstanding any thing contained any where in this

agreement or elsewhere the stock broker may not allow the client to take further position where it seems to stock broker's risk management that such further position by client is undesirable and/or may lead to a risk to stock broker and/or other circumstances considered relevant by the stock broker including but not limited to:

- i) Client being in default.
- ii) Client not having adequate margin in his account as per brokers norms.
- iii) Client failing in keeping adequate margin in past.
- iv) Client failing in keeping margin in desired form,
- v) Client profile does not justify such further position.

The client is aware and agrees that such refusal by stock broker may lead to opportunity loss by the client and that such opportunity loss or any other loss that may be incurred due to such refusal by the stock broker shall entirely and exclusively be borne by the client and the stock broker shall not be held responsible for such refusal.

Further more, the stock broker is entitled to disable/freeze trading facility of the client (and also his account), if the client has committed a crime/fraud or has acted in contradiction of this agreement or is likely evade/violate any law, rules, regulation directions of a lawful authorities including but not limited to that of SEBI, Exchange, Depository or if the stock broker so apprehends that the further trade may lead to such evasion/violation of any law, rules, regulations, directions of lawful authorities.

**2) Condition under which stock broker may close existing position of a client:**

Notwithstanding any thing contained any where in this agreement or elsewhere the stock broker is entitled to but not obliged to close existing position of the client if the client has failed to meet his obligations and such obligations include but not limited to:

- i) Non payment by client.
- ii) Client not having adequate margin in his account as per brokers norms.
- iii) Client's Mark to Market (MTM) percentage reaches or crosses 75% of margin available.
- iv) Client failing in keeping margin in desired form.

The client is aware and agrees that such closer of existing open position by stock broker may lead to losses by the client and that such loss shall entirely and exclusively be borne by the client and the stock broker shall not be held responsible for such losses.

The client is also aware and agrees that time for close of existing open position by stock broker shall be thirty minutes before schedule close of trading or MTM percentage reaching or crossing 75% of margin available.

The client is also aware and agrees that closer of existing open position by stock broker shall be at market rate.

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

- (i) The client may request the stock broker to temporarily suspend his account and stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and/or other obligation.
- (ii) The stock broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or/and regulatory order/action requiring client suspension.

**I. De-registering a client**

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- (i) If the action of the Client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the Client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client.
- (v) If the Client has voluntarily or 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 of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (vi) If the Client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (vii) If the Client have taken or suffered to be taken any action for its recognition, liquidation or dissolution;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;

(ix) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

(x) If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;

(xi) If the Client is in breach of any term, condition or covenant of this Agreement;

(xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place as mentioned in the client agreement executed between stock broker and the client.

**J. Inactive Client**

- (i) A client has to trade at least once in a financial year to keep his account active. In case a client fails to trade even once on any financial year, his client code/trading account/client account will be deemed to be inactive from the first day of the financial year following the financial year in which the client has failed to trade even once and his assets (funds and / or securities), if any will be returned to the inactive client within 30 days from such date. The policy does not apply in the first financial year in which the client code is allotted.
- (ii) If a client wish to trade with us and his client code/trading account/client account is inactive, he has to apply for reactivation of his account. On receiving a written request from a client, LSI will activate his account within seven working days from the date of receipt of such request. However the company reserves the right of reactivation and may ask for explanation/and or documents from such client code, the company will inform such client within three days from the end of seven working days from the date of reactivation request made by the client.
- (iii) Once the client trades after reactivation his account will remain active. It shall be subject to conditions mentioned herein above in Para 1.
- (iv) In case the client fails to trade any time in three consecutive financial years, his client code/trading account /client account will be permanently closed. In case such clients whose trading accounts has been and he wishes to trade again, he has to go through the whole process of Client Registration a fresh, i.e. KYC formalities and signing of client agreement, other documents and submission of documents is to be carried out once again.

- (v) To keep his an account active, a client has to trade in any of the segment of any of the exchange in which LSL is a member.
- (vi) Once the client code/trading account becomes inactive, the company will treat the client code/trading account inactive for all the segment of all the exchange in which the company is member.
- (vii) Treating an account to be in active by LSL does not lead to waiver of trade or other receivables. Other receivable includes (but not limited to) charges, taxes, duties, levies, penalties etc. If a client owes any money on account of trade receivable or other receivable, in any form, the company reserves the right to claim the same any time, although the client code/trading account might have become in operative on account of company's in active Account Policy.

**Client Acceptance Policies and Procedures stated here in above:**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability at applicability of any provision/clauses of this document under any circumstances whatsoever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me/us with through any one or more means or methods such as post/speed post/courier/ registered post/ registered A.D /facsimile / telegram/cable / e-mail / voice mails/telephone (telephone includes such devices as mobile phone etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker;

by publishing/displaying it on the website of the stock broker/ making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or any other suitable or applicable mode or manner. I/We agree that the postal department/the courier company and the e-mail/voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and I/We agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

  
SIGNATURE OF THE CLIENT

**TARIFF SHEET / BROKERAGE SLAB**

SEGMENT	%	MINIMUM (PAISA)	MINIMUM AMOUNT	ROUNDED OFF
Delivery				
Sq. Off				
Futures				
Options				
Currency Derivatives				
Debt Segment				
Commodity Derivative Segment				

(Other charges like STT, Service Tax, Stamp and SEBI Charges and Transaction Charges & other charges, if any, shall be levied as per the rate stipulated by the concerned Authority)

  
SIGNATURE OF THE CLIENT

**LOHIA SECURITIES LIMITED**

4, BIPLABI TRAILOKYA MAHARAJ SARANI (BRABOURNE ROAD), 5TH FLOOR, KOLKATA - 700 001  
 Tel. +91 33 4002 6600 / 6700, Fax : +91 33 4002 6800  
 Email : info@lohiasecurities.com ; Website : www.lohiasecurities.com

FATCA/CRS DECLARATION FORM

FOR INDIVIDUALS

To : Lohia Securities Limited (LSL)

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

Client ID/UCC:	BO ID:	Residential	<input type="checkbox"/> Resident	<input type="checkbox"/> Non-Resident
Client Name				

**Part I - Please fill in the country for each of the following (Applicable for all customers):**

<b>1</b>	Country of :	
a)	Birth:	
b)	Citizenship:	
c)	Residence for Tax Purposes	
d)	Current Residence (Overseas Country for NRI)	
<b>2</b>	US Person (Yes / No) Refer definition on page 2	

**Part II - Please note:**

- a. If in all fields above, the country mentioned by you is India (except in case of seafarers) and if you do not have US person status, please proceed to **Part III** for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or Functional equivalent as issued in the specific country in the table below:

i)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent (please specify name & Number)	
	Country of Issue	
ii)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent (please specify name & Number)	
	Country of Issue	
iii)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent (please specify name & Number)	
	Country of Issue	

- c. If you satisfy the criteria mentioned in II (b) above but do not have Taxpayer Identification Number/functional equivalent, please tick the reason for the same as given below:

I am a person resident out of India with (choose only if applicable):

Country not issuing TIN/Functional equivalent \_\_\_\_\_  
(mention  VISA /  Residence /  Work permit number)

Dependent visa \_\_\_\_\_ (mention dependent visa number)

Student visa \_\_\_\_\_ (mention student visa number)

Seafarer status \_\_\_\_\_ (mention CDC/visa number)

Going to the country of residence for first time \_\_\_\_\_ (mention visa number.  
TIN/functional equivalent to be communicated to LSL within 90 days, else account will get closed).

OR

I am a person resident in India as well as resident for tax purposes in India (Please also fill Part IV self-certification)

- d. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship If not available provide reason/s for not having relinquishment certificate \_\_\_\_\_  
 Please also fill Part IV Self-Certification.

A-12

MANDATORY

**LOHIA SECURITIES LIMITED**

4, BIPLABI TRAILOKYA MAHARAJ SARANI (BRABOURNE ROAD), 5TH FLOOR, KOLKATA - 700 001

Tel. +91 33 4002 6600 / 6700, Fax : +91 33 4002 6800

Email : info@lohiasecurities.com ; Website : www.lohiasecurities.com

**FATCA/CRS DECLARATION FORM****FOR INDIVIDUALS****Part III- Customer Declaration (Applicable for all customers)**

i. Under penalty of perjury, I 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 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. **(This clause is applicable only if the account holder is identified as a US person) or**
2. The applicant is taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

ii. I understand that LSL is relying on this information for the purpose of determining my status in compliance with FATCA/CRS. LSL is not able to offer any tax advice on FATCA/CRS or its impact. I shall seek advice from professional tax advisor for any tax questions.

iii. I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

iv. I agree that as may be required by domestic regulators/tax authorities LSL may also be required to inform reportable details to **CBDT** or close or suspend my account.

v. I certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct, and complete including the taxpayer identification number / functional equivalent number of the Applicant.

Name:	Signature:	Date:

**Part IV- Self-Certification (Not Applicable for NRI customers except for point (b) below):**

To be filled only if-

(a) Any of the indicia parameters is outside India and TIN or functional equivalent is not available since not a resident for tax purpose outside India, or

(b) Country of Birth is US and US person is mentioned as "No" in Part I

I confirm that I am not a US person or a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and / or residency.

Signature

**Document Proof submitted (Please tick document being submitted)**

Passport  Election Id Card  PAN Card  Driving License  UIDAI Letter  NREGA Job Card  Govt. Issued ID Card

**Note:-****The term United States person means:**

- a) An individual, being a citizen or resident of the United States of America;
- b) Partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- c) A trust if: (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust;
- d) An estate of a decedent who was a citizen or resident of the United States of America.

**Functional Equivalent of TIN includes the following:**

A social security/insurance number, citizen/personal identification / services code / national identification number, a resident / population registration number, Alien card number, etc.

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Email : info@lohiasecurities.com ; Website : www.lohiasecurities.com

**FATCA/CRS DECLARATION FORM  
(Non-Individual)****Self Certification for Entities**

To : Lohia Securities Limited (LSL)

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

Client ID/UCC:	BO ID:	Residential <input type="checkbox"/> Resident <input type="checkbox"/> Non-Resident <input type="checkbox"/>
Client Name:		

**Part I**

A.	Is the account holder a Government body/International Organization/listed company on recognized stock exchange 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	<input type="checkbox"/> Yes <input type="checkbox"/> No
B.	Is the account holder a (Entity/Financial institution) tax resident of any country other than India If "yes", then please fill of FATCA/ CRS Self certification Form If "No", proceed to point C	<input type="checkbox"/> Yes <input type="checkbox"/> No
C.	Is the account holder an Indian Financial Institution If "yes", please provide your GIIN, if any, _____ If "No", proceed to point D	<input type="checkbox"/> Yes <input type="checkbox"/> No
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 If "yes", (then please fill FATCA/ CRS self-certification form). If "No", proceed to sign the declaration	<input type="checkbox"/> Yes <input type="checkbox"/> No

**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.
  - (iii) I/We understand that LSL is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. LSL 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.
  - (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
  - (iv) I/We agree that as may be required by domestic regulators/tax authorities LSL may also 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 taxpayer identification number of the applicant.

Name of the Entity _____	
Signature 1 _____	Signature 2 _____
Signature 3 _____	(As per MOP)
Date: _____	

**LOHIA SECURITIES LIMITED**

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Email : info@lohiasecurities.com ; Website : www.lohiasecurities.com

**FATCA/CRS DECLARATION FORM  
(Non-Individual)****Self Certification for Entities****Part II**

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

**Section 1: Entity information**

Name of the Entity	
Customer ID (if existing)	
Entity Constitution Type	
Entity identification No	<input type="checkbox"/> Tax Identification (TIN) <input type="checkbox"/> U.S. GIIN <input type="checkbox"/> Company Identification Number <input type="checkbox"/> Global Entity Identification Number (EIN) <input type="checkbox"/> Other
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 :	<input type="checkbox"/> Yes <input type="checkbox"/> No
a) An entity incorporated and taxable in US (Specified US person) If "yes", please provide your U.S. Taxpayer Identification Number (TIN) TIN _____	_____ TIN
b) An entity incorporated and taxable outside of India (other than US) If "yes", please provide your TIN or its functional equivalent Provide your TIN issuing country _____	<input type="checkbox"/> Yes <input type="checkbox"/> No _____ TIN
c) Please provide the following additional details if you are not a Specified US Person:	
FATCA /CRS classification for Non-financial entities (NFFE)	
<input type="checkbox"/> Active NFFE	
<input type="checkbox"/> Passive NFFE without any controlling Person	
<input type="checkbox"/> Passive NFFE without any controlling Person(s)	
<input type="checkbox"/> US <input type="checkbox"/> Others	
<input type="checkbox"/> Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus LSL 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 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:	<input type="checkbox"/> Yes <input type="checkbox"/> No _____ TIN
FATCA Classification	Please provide the Global Intermediary Identification number (GIIN) or other information where
<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction	
<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	
<input type="checkbox"/> Participating FFI in a Non-IGA Jurisdiction	
<input type="checkbox"/> Non-reporting FI	
<input type="checkbox"/> Non-Participating FI	
<input type="checkbox"/> Owner-Documented FI with specified US owners	

**LOHIA SECURITIES LIMITED**

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**FATCA/CRS DECLARATION FORM  
 (Non-Individual)**

**Self Certification for Entities**

**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
<b>Details</b>	<b>Controlling Person 1</b>	<b>Controlling person 2</b>	<b>Controlling person 3</b>	<b>Controlling person 4</b>	<b>Controlling person 5</b>
<b>Identification Type</b>					
<b>Identification Number</b>					
<b>Occupation Type</b>					
<b>Occupation</b>					
<b>Birth Date</b>					
<b>Nationality</b>					
<b>Country of Birth</b>					

**Section 5: Declaration**

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

- The number shown on this form is the correct taxpayer identification number of the applicant, and
- 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
- The applicant is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that LSL is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. LSL 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, LSL shall be required to comply to report, reportable details to CBOT 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 \_\_\_\_\_

(S.V.)

Date (DD/MM/YYYY) \_\_\_\_\_

**Most Important Terms and Conditions (MITC)**

(For non-custodial settled trading accounts)

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 pay-in.
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/fixe d returns schemes or any other schemes of similar nature and prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.



SIGNATURE OF THE CLIENT

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

**INFORMATION PROVIDED BY THE CLIENT IN RELATION TO THE  
PREVENTION OF MONEY LAUNDERING ACT, 2002**

**VOLUNTARY**

Name of the Client: \_\_\_\_\_ Client Code: \_\_\_\_\_

If Business / Profession: Nature of Business: \_\_\_\_\_  
Industry: \_\_\_\_\_

Details of my/our Relatives, having account with LSL

Name	Relationship	UCC (Client Code)
1.		
2.		

Details of the Corporate/Partnership Firm/Trust etc. where I/We am/are affiliated

Name	Entity Type	Nature of business	Relationship	UCC (Client Code)
1.				
2.				
3.				
4.				

I/We agree to submit every year any one of following documents to LSL:

- |  |                                       |
|--|---------------------------------------|
| 1. Profit & Loss Account and Balance Sheet                     | 2. Form No. 16 (Salary Certification) |
| 3. Self attested copy on Income Tax Return                     | 4. Networth Certificate               |
| 5. Demat Transaction Statement & Bank Statement (for 6 months) |                                       |

I/We confirm that I/We will immediately inform LSL in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We hereby declare that I/We do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002, or

I/We declare that I/We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under):

- |   |  |
|---|--|
| <input type="radio"/> Nonresident Client  | <input type="radio"/> High Net-worth Clients   |
| <input type="radio"/> Politically Exposed Persons   | <input type="radio"/> Companies offering foreign exchange offerings                            |
| <input type="radio"/> Non face to face client   | <input type="radio"/> Clients with dubious reputation as per public information available etc. |
| <input type="radio"/> Companies having close family shareholdings or beneficial ownership   |  |
| <input type="radio"/> Trusts, Charities, Non-Governmental Organisations (NGOs) and organizations receiving donations              |  |
| <input type="radio"/> Clients in high risk countries where existence / effectiveness of money laundering controls is suspect etc. |  |

I/We intend to invest in the stock market with :  Own Funds  Borrowed Funds

(If Borrowed Funds, then please specify below Sources of Funds):

Sources of Borrowed Funds (if any)	Amount (Rs.)

I/We hereby declare that I/We am/are beneficial owner of the Trading/Online Account opened with LSL

  
SIGNATURE OF THE CLIENT

**FOR OFFICE USE ONLY**

**RISK CATEGORY:**  VERY HIGH  HIGH  MEDIUM  LOW  VERY LOW

**AUTHORISATION LETTER FOR ELECTRONIC COMMUNICATION OF CONTRACT NOTES,  
DAILY MARGIN STATEMENTS, ACCOUNT STATEMENTS FOR FUNDS AND SECURITIES ETC.**

**VOLUNTARY**

D	D	M	M	Y	Y	Y	Y

To,

**LOHIA SECURITIES LIMITED**

4, Biplabi Trailokya Maharaj Sarani (Brabourne Road), 5th Floor, Kolkata - 700 001

**Sub: Communication in Electronic Form**

Dear Sir/Madam,

I/We understand that I/We have the option to receive the contract notes, daily margin statement, account statement etc. and notices in electronic form or in physical form. In pursuance of the same, I/We hereby opt for the receipt of the contract notes, daily margin statements, account statements, holding statement, trade order confirmations etc. in electronic form. I/We also opt for the receipt of other communications and notices in electronic form.

I/We understand that for the above purpose, you are required to take from the client "an appropriate e-mail ID" for you to send the electronic contract notes, daily margin statement, account statements, etc. and notices in electronic form. Accordingly, please register the following e-mail ID for sending same to me/us.

E-mail ID (1): \_\_\_\_\_

E-mail ID (2): \_\_\_\_\_

I/We agree not to hold you responsible for late/non-receipt of contract notes, various statements, any other communication and notice in electronic form for any reason including but not limited to failure of e-mail servers, loss of connectivity, e-mail in transit etc. I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

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

I/We understand that I am required to intimate any change in the email ID/email account mentioned herein above and it needs to be communicated by me through a physical letter to you, provided however that if I/we am/are an internet client then in that event the request for change in email id/email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking you

Yours faithfully,



**SIGNATURE OF THE CLIENT**

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

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

**LETTER FOR APPOINTMENT OF AUTHORISED REPRESENTATIVES FOR OPERATION OF ACCOUNT AND FOR RECEIVING CONTRACT NOTES, DAILY MARGIN STATEMENT, ACCOUNT STATEMENT ETC.**

**VOLUNTARY**

To,

**LOHIA SECURITIES LIMITED**

4, Biplabi Trailokya Maharaj Sarani (Brabourne Road), 5th Floor, Kolkata - 700 001

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D D M M Y Y Y Y

Dear Sir/Madam,

This is with reference to the know Your Client (KYC) Application Form executed between me/us for the purpose of dealing in securities under client code number \_\_\_\_\_ I/We hereby authorise the undersigned persons to operate my/our account with you and issue instructions in relation thereto.

Name	Relation	Telephone No.	Signature of Authorised Person	Attestation

I/We agree that all instructions issued, orders placed and acts done in relation to my/our account by the authorised representative mentioned hereinabove with you shall be binding upon me/us and that I/We will be personally liable to you for all the obligations that I/We may incur as a result of any and all acts and deeds done in relation to my/our account with you by the above mentioned authorized persons.

I/We also authorise the undersigned persons (alongwith the authorised persons mentioned) above to receive contract notes and other documents on my/our behalf.

Name	Relation	Signature of Authorised Person	Attestation

I/We agree that all contract notes, daily margin statement, account statements and/or other documents delivered to or received by the above mentioned authorised person/persons shall be deemed to have been received by me/us and thereupon. Lohia Securities Limited shall stand discharged of its obligation of timely delivering of the said documents.

I/We agree that Lohia Securities Limited shall not be responsible for non-receipt of contract notes, daily margin statement, account statements and other documents due to any change in the address not intimated to you in writing.

Thanking you

Yours faithfully,



SIGNATURE OF THE CLIENT

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

**AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS & SECURITIES**

**VOLUNTARY**

To,  
**LOHIA SECURITIES LIMITED**  
 4, Biplobi Trailokya Maharaj Sarani (Brabourne Road), 5th Floor, Kolkata - 700 001

D	D	M	M	Y	Y	Y	Y

Dear Sir,

I/We have been / shall be dealing through you as my/our broker on the Capital market and/or Futures & Options Segments and/or Currency Derivative Segment and/or Debt Segment and/or Commodity Derivative Segment. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealing on my/our behalf as per instructions given below.

I am/We are aware that you and I/We have the option to deliver securities/make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/circulars, issued by exchange / regulatory authorities. However, I/We find it difficult to carry out repeated pay-in of funds and securities. Further, I/We also desire to use my/our securities and monies as margin/collateral without which we cannot deal/trade.

Therefore I/We hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/ clearing corporations/other receiving party(ies) to settle my/our trades/dealings. Similarly, where I/We have to receive securities / funds in settlement of trades/dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading.

In the event I/We have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in manner specified by the exchanges. While settling the account please send a statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at our registered office then in that event the statement of accounts or settlement so made shall attain finality and I/We shall have no right to dispute any/either of these ever. Please do not carry out above stated settlement of running account in the event I/We avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG) /Fixed Deposit receipts (FOR).

Please further note that I/We am/are entitled to revoke this authorisation at anytime from the date of physical delivery of revocation letter at your registered office/corporate office to allow you to make necessary changes to handle my/our account without running account authorisation. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/monies under this agreement.

Dividend and/or interest on Securities, Debentures etc., kept with you as margin or otherwise to be treated as margin money and that the benefit thereof be given to me/us against my/our exposures in the CM/F&O/CDS/DEBT/COMMODITY segments till the same is remitted to me/us.

I/We understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you. I/we further confirm that the above referred arrangement/request is for my/our own convenience.

My/Our preference for actual settlement of funds and securities is at least:

Once in a Calender Quarter

Once in a Calender Month

  
 \_\_\_\_\_  
 SIGNATURE OF THE CLIENT

  
 \_\_\_\_\_  
 SIGNATURE OF THE CLIENT

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

  
 \_\_\_\_\_  
 SIGNATURE OF THE CLIENT

To,

LOHIA SECURITIES LIMITED

4, Biplabi Trailokya Maharaj Sarani (Brabourne Road), 5th Floor, Kolkata -700 001

D	D	M	M	Y	Y	Y	Y

Dear Sir,

We/I are/am aware that NSE/BSE/MSEI/MCX/NCDEX provides SMS/email alerts to the constituents (clients) of its member for trades executed on its platform. We/I hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- I want to receive transaction alerts in SMS as well as Email
- I want to receive transaction alerts only in SMS.
- I want to receive transaction alerts only in Email.
- I do not want to receive any transaction alerts, specify reason.

.....

**The alerts should be sent on:**

Mobile number (enter 10 digit mobile no.): \_\_\_\_\_

Email id: \_\_\_\_\_

We/I agree to the terms and condition specified by the SEBI in its circular no. CIR/MIRSD/15/2011 dated 02-08-2011 modified from time to time. We/I are/am aware that the receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/my written request.

Thanking you

Yours faithfully,



SIGNATURE OF THE CLIENT

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

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



SIGNATURE OF THE CLIENT

A-22

## ACKNOWLEDGEMENT

From,

D	D	M	M	Y	Y	Y	Y

To,

**LOHIA SECURITIES LIMITED**

4, Biplabi Trailokya Maharaj Sarani (Brabourne Road), 5th Floor, Kolkata - 700 001

Dear Sir,

Ref. : Acknowledgement for the receipt of documents

**A. This is to Acknowledge the receipt of a copy of the following Mandatory Documents viz.,**

- Know Your Client (KYC-KRA) PART I (Separately)
- Trading Account Related Details – Part II, duly executed
- Rights & Obligations (Separately – Part B)
- Risk Disclosure Document (Separately – Part B)
- Guidance Note (Separately – Part B)
- policies & Procedures
- Tariff Sheet
- MITC

**B. This is to Acknowledge the receipt of a copy of the following Voluntary Documents viz.,**

- Information of PMLA, 2002 (Separately – Part B)
- Information to be provided by the client in relation to the PMLA, 2002, duly executed
- Authorisation Letter for Electronic Communication of Contract Notes, Daily Margin Statements, Account Statements for Funds and Securities Etc.
- Letter for appointment of authorised representatives for Operation of Account and for Receiving Contract Notes, Daily Margin Statement, Account Statement Etc.
- Authority Letter for Running Account of Funds & Securities
- Form For Registration And Verification of Mobile Number and Email Address

Thanking you

Yours faithfully,



SIGNATURE OF THE CLIENT





**FORM CHECKED BY**

NAME : \_\_\_\_\_ SIGNATURE \_\_\_\_\_ DATE: \_\_\_\_\_

**AUTHORISED & APPROVED BY**

NAME : \_\_\_\_\_ SIGNATURE \_\_\_\_\_ DATE: \_\_\_\_\_

**BACK OFFICE CODE FED BY**

NAME : \_\_\_\_\_ SIGNATURE \_\_\_\_\_ DATE: \_\_\_\_\_

**BACK OFFICE CODE CHECKED BY**

NAME : \_\_\_\_\_ SIGNATURE \_\_\_\_\_ DATE: \_\_\_\_\_



## LOHIA SECURITIES LIMITED

Registered, Corporate & Correspondence Office :

4, Biplabi Trailokya Maharaj Sarani (Brabourne Road)  
5th Floor, Kolkata - 700 001

Tel. : +91 33 4002 6600 / 6700, Fax : +91 33 4002 6800

Email : [info@lohiascurities.com](mailto:info@lohiascurities.com); Website : [www.lohiascurities.com](http://www.lohiascurities.com)