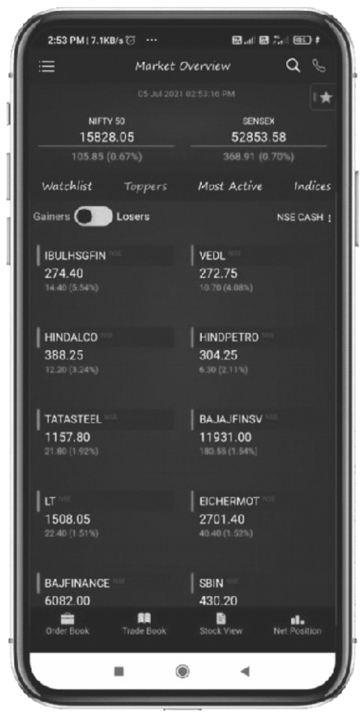
**TECSTOX**

# CLIENT REGISTRATION FORM

**Application No. :**

**A**

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# TECSTOX
SECURITIES PRIVATE LIMITED

## MEMBER : NSE I BSE I MCX I DP : CDSL

**CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS,** OFFICE No. 809, 8th FLOOR, JETALPUR ROAD, ALKAPURI, VADODARA-390 007. GUJ. (INDIA)
Mo. : 95836 03836 Email Id : support@tecstox.com Website : www.tecstox.com

**REGD. OFFICE :** SF 240, ATLANTIS K-10, SARABHAI COMPOUND, SUBHANPURA, VADODARA-390 023. GUJ. (INDIA)
Mo. : 95836 03836 Email Id : support@tecstox.com Website : www.tecstox.com CIN : U64990GJ2024PTC148753 GSTIN : 24AAKCT7824J1ZY

FOR OFFICE USE :

| | | | |
|---|---|---|---|
| Name : | | | |
| Client Code | | Date : | |
| A.P. Name : | | A.P. Code : | |
| DP Ref. No. : | | DP A/c. No. : | |
| DP Scheme : | | Family Code : | |

(Version No. : 1.1)

## *INDEX*



## *SAPERATES COPY FOR CLIENT ALSO AVAILABLE ON WWW.TECSTOX.COM*

**Client Copy - Page No. 1 to 21**



## *GENERAL INSRUCTION FOR FILLING UP THE CLIENT APPLICATION FORM*

1. Please fill up the form in CAPITAL Letters only. 2. Please ensure that the Form is complete in all respects and required documents are self-attested and attached with the Form. 3. If the information to be furnished does not fit in the Form, separate annexures may be used. 4. Please give full details of Bank Account including Bank Name, Branch, Address and account no. In case you have more than one Bank account, kindly furnish details pertaining to all such bank accounts. Please note that no payment from the bank account other than the captioned bank account(s) shall be accepted. 5. Please submit copy of PAN along with the KYC form. 6. If client desires to do trading through authorized person, give full details of such authorized person. 7. Photograph of the all authorized signatories (in case of non-individual clients) should be affixed (not stapled) and signed across. 8. Signature can be in English or Hindi or any of the languages contained in the 8th schedule of the Constitution of India. Thumb impressions and signatures other than in the above mentioned languages must beattested by a Magistrate or a Notary Public ora Special Executive Magistrate under his/her official seal. 9. Details of the Name Address and Tel. No. etc. of the Magistrate / Notary Public / Special Executive Magistrate are to be provide in case of any attestation done by them. 10. In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarized copy thereof, must be lodged along with the application .11. We do client - based trading and also pro - trading. 12. All correspondence / queries shall be addressed to the first / sole applicant. 13. In case of any correction in the form - Sign next to the correction done.

**SEBI Registration No :** INZ000328032 Dt. 25-07-2025
IN-DP-841-2026 Dt. 01-04-2026

For any grievances/dispute, please contact us at the below numbers or e-mail id.
For Trading Member : Jitendra Sharma e-mail id : jitendrasharma@tecstox.com Mo. : 92284 55355
For Depository Participants : Jitendra Sharma e-mail id : jitendrasharma@tecstox.com Mo. : 92284 55355
CEO Name, Phone no, e-mail id : Sagar N. Purohit e-mail id : sagar.purohit@tecstox.com Mo. : 90900 40034
In case not satisfied with your grievances, please contact
NSE at ignse@nse.co.in Tel. No. : 022-26598190 BSE at is@bseindia.com Tel. No. : 022-22728097
MCX at grievance@mcxindia.com CDSL at complaints@cdslindia.com

*For F&O Segment you have to submit financial statements i.e.
Balance Sheet, Networth Certificate, Bank entry for last Six Month, Self Declaration of asset and liability as on date and copy of ITR ancknowledgement, for the salaried person form no. 16 of last year and Demat account holding statement. (any one of them)

## (KYC) APPLICATION FORM - INDIVIDUAL - RESIDENT

No. : A

To,

# TECSTOX Securities Private Limited

**CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS,**
OFFICE No. 809, 8th FLOOR, JETALPUR ROAD, ALKAPURI, VADODARA-390 007. GUJ. (INDIA)
Mo. : 95836 03836 Email Id : support@tecstox.com

**REGD. OFFICE :** SF 240, ATLANTIS K-10, SARABHAI COMPOUND,
SUBHANPURA, VADODARA-390 023. GUJ. (INDIA)
Mo. : 95836 03836 Email Id : support@tecstox.com

CVL

CERSAI

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

Important Instructions:

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

For office use only
*(To be filled by financial institution)*

Application Type* ☐ New ☐ Modification

KYC Number ________ *(Mandatory for KYC update request)*

Account Type* ☐ Normal ☐ Minor ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline KYC ☐ Digilocker

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

| | Prefix | First Name | Middle Name | Last Name |
|---|---|---|---|---|
| ☐ Name* (Same as ID proof) | | | | |
| Maiden Name (If any*) | | | | |
| Father / Spouse Name* | | | | |
| Mother Name* | | | | |

Date of Birth* ____ ____ ____

PHOTO

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

PAN* ________ ☐ Form 60 furnished

Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ____ )

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service ( ☐ Private Sector ☐ Public Sector ☐ Government Sector )
☐ O-Others ( ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)
☐ B-Business ☐ X- Not Categorised

Educational Qualification ________

Client Signature ⓧ (1)

## ☐ 2. PROOF OF IDENTITY AND ADDRESS*

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

☐ A- Passport Number

☐ B- Voter ID Card

☐ C- Driving Licence

☐ D- NREGA Job Card

☐ E- National Population Register Letter

☐ F- Proof of Prossession of Aadhaar XXXXXXXX

ii ☐ E-KYC Authentication XXXXXXXX

iii ☐ Offline Verification of Aadhaar XXXXXXXX

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

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

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

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

☐ A- Passport Number

☐ B- Voter ID Card

☐ C- Driving Licence

☐ D- NREGA Job Card

☐ E- National Population Register Letter

☐ F- Proof of Prossession of Aadhaar XXXXXXXX

ii ☐ E-KYC Authentication XXXXXXXX

iii ☐ Offline Verification of Aadhaar XXXXXXXX

IV ☐ Deemend Proof of Address-Document Type Code

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

## ☐ 4. CONTACT DETAILS

Mobile – – Tel. (Res) –

Email ID FAX –

## ☐ 5. REMARKS (If Any)

## ☐ 6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. 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 hereby consent to receiving information from Central KYC Registry and CVL KRA through SMS/Email on the above registered number/email address.
- I am/We are also aware that for Aadhaar OVD based KYC, my 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 Aadhar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purpose only.

Date :

Place :

Client Signature ☞ ⓧ (2)

## ☐ 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Recived ☐ Certified Copies ☐ E-KYC data received from UDAI ☐ Data received from Offline Verification
☐ Equivalent e-document ☐ Video Based KYC ☐ Digital KYC Process

**KYC VERIFICATION CARRIED OUT BY / IPV DONE BY**

Date / IPV Date

Emp. Name :

Emp. Code :

Emp. Designation :

Emp. Branch :

Emp. Signature :

**INSTITUTION DETAILS**

Name ***TECSTOX Securities Private Limited***

Code I N 0

[Institution Stamp]

## TRADING & DEMAT ACCOUNT RELATED DETAILS

**TYPE OF ACCOUNT :** (Please Tick whichever is Applicable) ✔

| Status | Sub - Status | Status | Sub - Status |
|---|---|---|---|
| ☐ Individual | ☐ Individual Resident ☐ Individual Director ☐ Individual Director's Relative ☐ Individual HUF - AOP ☐ Individual Promoter ☐ Individual Minor ☐ Individual Margin Trading A/c. (Mantra) ☐ Other (Specify) | ☐ NRI | ☐ NRI Repatriable ☐ NRI Non-Repatriable ☐ NRI Reptriable Promoter ☐ NRI Non-Repatriable Promoter ☐ NRI Depositorey Receipt ☐ Other (Specify) |
| ☐ Foreign National | ☐ Foreign National ☐ Foreign National - Depository Receipts ☐ Other (Specify) | | |

### A. BANK ACCOUNT DETAILS :

| | | | |
|---|---|---|---|
| **Bank Name & Branch Location :** | | | |
| **Account No.** | ☐ Saving ☐ Current ☐ Other | | |
| **MICR Code** | | **IFSC Code** | |

### B. DEPOSITORY ACCOUNT DETAILS : (DP1 DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)

| | **DP 1 Details** | **DP 2 Details** |
|---|---|---|
| **Depository** | ☑ CDSL | ☐ CDSL ☐ NSDL |
| **DP Name** | TECSTOX Securities Private Limited | |
| **Client Name** | | |
| **DP ID** | **1 2 1 0 4 5 0 0** | |
| **Clent ID** | | |

### C. TRADING PREFERNCES : *Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

| Exchanges | NSE, BSE & MSEI | | | | MCX, NCDEX, BSE & NSE |
|---|---|---|---|---|---|
| All Segments | Cash/Mutual Fund | F&O | Currency | Debt | Commodity Derivatives |
| | | | | | |

If you do not wish to trade in any of Segments / Mutual Fund, please mentioned here________________________

**If, in future, the client wants to trade on any New Segment / New Exchange, separate authorization / letter will be taken.**

### D. PAST ACTION :

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 person in charge of dealing in securities during the last 3 years:

☐ Yes ☐ No If yes, please specify

### E. INTRODUCER DETAILS :

| | |
|---|---|
| **Status of Introducer:** ☐ Sub-broker/AP ☐ Employee ☐ Existing Client ☐ Others (Specify): | |
| **Name of Introducer:** | SB/Emp/Client Code: |
| Address of SB/AP: | Optional |
| | Signature of the Introducer |
| Mobile No.: | |

## F. DEALING THROUGH SUB-BROKERS / AUTHORISED PERSON (AP) / OTHER STOCK BROKERS DETAILS :

| | | |
|---|---|---|
| If Yes, Please Specify: | | |
| Name of Stock Broker: | Name of SB/AP: | |
| Name of Exchange: | Client Code: (as given by other broker) | |
| Details of disputes/dues pending from/to stock broker/sub-broker: | | |
| Whether you are a Member / Sub-broker /AP of any Exchange ☐ Yes ☐ No | | |
| If yes, provide SEBI REGISTRATION No.: | | |

## G. STANDING INSTRUCTION / OTHER DETAILS /EMAIL-SMS ALERT /CONTRACT NOTE PREFERENCE:

| | |
|---|---|
| **Contract Note / Holding & Transaction Statement** | ☐ Electronic ☐ Physical |
| **Receive Delivery Instruction Slip** | ☐ Yes ☐ No |
| **Share Email ID with Register & Transfer Agent** | ☐ Yes ☐ No |
| **Receive Annual Report** | ☐ Electronic ☐ Physical ☐ Both |
| **DP Account Statement** | ☐ Monthly ☐ Fortnightly ☐ Weekly ☐ Daily<br>☐ As per SEBI Regulation |
| **Declaration for Mobile Number** | ☐ Self ☐ Spouse ☐ Child ☐ Parents |
| **Declaration for E-mail ID** | ☐ Self ☐ Spouse ☐ Child ☐ Parents |
| **Internet Base Trading** | ☐ Yes ☐ No |
| **SMS** | ☐ Yes ☐ No |
| **Margin Trading Facility**<br>**(Refer Rights & Obligation Doc)** | ☐ Yes ☐ No |
| **Do you wish to receive dividend/interest directly in your bank account given thru ECS ?** | ☐ Yes ☐ No |
| **Mode of Operation** | ☐ Sole Holder ☐ Jointly All Holder ☐ Any One or Survivors |

## H. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002 AND OTHER DETAILS:

| | |
|---|---|
| **Experience** | Number of years of investment / Trading Experience ☐☐ |
| **Gross Annual Income** | ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs and above |
| **Net worth** | In Rs. as on Date / / |
| **Occupation**<br>**(Please tick)** | ☐ Govt. Service ☐ Professional ☐ Private Sector Service<br>☐ Public Sector ☐ Business ☐ Retired ☐ Agriculturist<br>☐ Housewife ☐ Student ☐ Others |
| **Nature of Business** | ☐ Manufacturing ☐ Services ☐ Trading ☐ Consultancy ☐ Others |
| **Risk Categorisation** | ☐ Low ☐ Medium ☐ High |
| **Is the Client Politically Exposed Person (PEP) or Related to a PEP** ☐ Yes ☐ No | |
| **Any other information** | |
| **Education/Qualification** | |
| **Has the client ever been convicted by a court of law either for civil or criminal offence ? If yes, please specify.** | |

| | | |
|---|---|---|
| *e*asi* | If yes, please contact your DP for details<br>[Facility through CDSL's website : www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.] | |

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/or end
(if not marked, the default option would be 'No') ☐ Yes ☐ No

| | | | |
|---|---|---|---|
| Client Signature ☞ | ⓧ (3)<br>First Holder Signature | ⓧ<br>Second Holder Signature | ⓧ<br>Third Holder Signature |

## NOMINATION FORM FOR DEMAT ACCOUNTS **Annexure-A**

***TECSTOX Securities Private Limited***

CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS, OFFICE No. 809, 8th FLOOR, JETALPUR ROAD, ALKAPURI, VADODARA-390 007. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com

**Nominee Registration No.**

*(To be filled in by Individual applying Single or Jointly)*

| Date | | UCC | | DP ID | 1 | 2 | 1 | 0 | 4 | 5 | 0 | 0 | Client ID | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|

I/We hereby Nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our demise, as trustee on behalf of my/our legle heir(s)*

### NOMINATION DETAILS

| | Mandatory Details*** | | | | | | Additional Details*** | |
|---|---|---|---|---|---|---|---|---|
| | Name of Nominee | Share of Nominee(%)-- | Relationship | Postal Address | Mobile No. & E-mail | Identity Number | D.O.B. of Nominee | Guardian |
| Nominee 1 | | | | | | | | |
| Nominee 2 | | | | | | | | |
| Nominee 3 | | | | | | | | |
| Nominee 4 | | | | | | | | |
| Nominee 5 | | | | | | | | |
| Nominee 6 | | | | | | | | |
| Nominee 7 | | | | | | | | |
| Nominee 8 | | | | | | | | |
| Nominee 9 | | | | | | | | |
| Nominee 10 | | | | | | | | |

*Joint Accounts

| Event | Transmission of Account |
|---|---|
| Demise of one or more joint holder(s) | Surviving holder(s) through name deletion The Surviving holder(s) Shall inherit the assets as owners |
| Demise of all joint holder(s) simultaneously - having nominee | Nominee |
| Demise of all joint holder(s) simultaneously - not having nominee | Legal heir(s) of the youngest holder |

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

** Provide only number : PAN or Driving Licence or Aadhaar (last 4 digits). Copy of the document is not required. However in case of NRI / OCI / PIO, Passport number is acceptable.

** To be furnished only in following conditions / circumstances :

- Date of Birth (DoB) : please provide, only if the nominee is minor.
- Guardian : It is optional for you to provide, if the nominee is minor.

(1) I/We want the details of my/our nominee to be printed in the statement of holding or statement of account, provide to me/us by the DP as follows; (please tick, as appropriate).

☐ Name of nominee(s) :

☐ Nomination : Yes / No

(2) I hereby authorize ________________________ (nominee number____________) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encase my assets up to _____% of assets in the account or Rs.____________________. (Optional)
(strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me/us, if any.

| Client Signature | X (4) | X | X |
|---|---|---|---|

(3) Signature(s) - As per the mode of holding in demat account(s).

| Name(s) of holder(s) | | Signature(s) of holder / thumb impression | Signature of two witnesses* | Name of witness & Address (wherever applicable)* |
|---|---|---|---|---|
| Sole / First Holder (Mr. / Ms.) | | ☞ | ☞ | |
| Sole / Second Holder (Mr. / Ms.) | | ☞ | ☞ | |
| Sole / Third Holder (Mr. / Ms.) | | ☞ | ☞ | |

(3) Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee :

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominee(s) or for each nominees to open seperate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat Account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
  - 'Either or Survivor' Accounts - any one of the holder can sign.
  - 'First holder' Accounts - only First holder can sign.
  - 'Jointly' Accounts - all holders have to sign.

Transmission Aspects :

- DPs shall transmit the account to the nominee(s) upon receipt of (1) Copy of death certificate and (2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavit, indemnities, undertaking, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

| Client Signature ☞ | Ⓧ (5) | Ⓧ | Ⓧ |
|---|---|---|---|

## DECLARATION FORM FOR OPTING OUT OF NOMINATION

**Annexure B to SEBI Circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601**

**Dated July 23, 2021 0n Mandatory Nomination for Eligible Trading and Demat Accounts**

To,

***TECSTOX Securities Private Limited***

CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS, OFFICE No. 809, 8th FLOOR, JETALPUR ROAD,
ALKAPURI, VADODARA-390 007. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com

Date :

| | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| UCC/DP ID | | / | 1 | 2 | 1 | 0 | 4 | 5 | 0 | 0 | Client ID | | | | | | | | |
| Client ID (Only for Demat Account) | | | | | | | | | | | | | | | | | | | |
| Sole/First Holder Name | | | | | | | | | | | | | | | | | | | |
| Second Holder Name | | | | | | | | | | | | | | | | | | | |
| Third Holder Name | | | | | | | | | | | | | | | | | | | |

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

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

☞ X (6) ☞ ☞

1.______________________ 2.______________________ 3.______________________

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

## Most Important Terms and Conditions (MITC) Annexure-A

(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/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

| Client Signature ☞ | X (7) |
|---|---|

## TARIFF SHEET FOR TRADING AND DEMAT ACCOUNT

**A. Brokerage Structure : Trading :-**

| Branch : | Client Code : | | | |
|---|---|---|---|---|
| | **First Leg** | | **Second Leg** | |
| CASH - TRADING | | | | |
| CASH - DELIVERY | | | | |
| NSE FUTURES | | | | |
| NSE OPTIONS | | | | |
| NSE CURRENCY | | | | |
| BSE F & O | | | | |
| BSE CURRENCY | | | | |
| MCX | | | | |
| NCDEX | | | | |

**B.Note:** 1. The above rates are exclusive of Exchange transaction charge, stamp duty, SEBI turnover charge, securities transaction charge and GST which shall be charged extra at prevailing rate from time to time. Any other levy which may be imposed by Statutory Authorities shall be charged extra at specified rate. 2. Intraday trading means trading in which both long and short or vice-versa have taken place on the same day. Intraday trading shall be subject brokerage only on one leg of trading. 3. Late pay-in charge shall be applicable as enunciated in 'Policy and Procedures'. 4. The above said brokerage rates shall not exceed the SEBI-specified maximum brokerage rates. 5. Penalties levied by exchange, SEBI and other authorities are recovered from the clients. Such penalty may include, Short Margin Penalty, Code Modification Penalty, etc.

**C.Other Charges;** 1. Demat or Inter settlement Charges Rs. 15/-per instruction (ISIN). 2. Bank Charges for clearance of cheque/ dishonor of cheques given by client; @ Rs.500/- per instrument. 3. Auction Charges @ 1 % of auction value or Actual, whichever is higher. 4. Clearing Charges will be lavied upto 0.01 % for all segments and 0.05% for option premium turnover. 5. One time documents charges Rs. 100/-. 6. Printing of contract note cum bill shall be chargeable.

## DP TARRIFF : SCHEME PLAN BO ID : 12104500 ____________

| No. | Particular of Charges | ☐ BASIC AMC PLAN | ☐ BSDA |
|---|---|---|---|
| 1 | One Time A/c. & POA Charges* | Corporate - 1200/- Individual/HUF - 300/- | FREE |
| 2 | Annual Maintainance Charge | Rs. 300/- | FREE |
| 3 | Off Market Trade For TSPL DP* | Rs. 40/- | Rs. 40/- |
| 4 | Off Market Trade Other DP* | Rs. 40/- or 0.03% Whichever is higher | Rs. 40/- or 0.03% Whichever is higher |
| 5 | On Market Auto Pay-in | Rs. 20/- | Rs. 20/- |
| 6 | On Market Without Auto Pay-in | Rs. 30/- | Rs. 30/- |
| 7 | On Market (Other CM A/c.)* | Rs. 40/- or 0.03% Whichever is higher | Rs. 40/- or 0.03% Whichever is higher |
| 8 | Dematerialisation Charge | Rs. 20/- Per Certificate | Rs. 20/- Per Certificate |
| 9 | Rematerialisation Charge | Rs. 30/- Per Certificate | Rs. 30/- Per Certificate |
| 10 | Postage Per Demat Request | Rs. 35/- | Rs. 35/- |
| 11 | Pledge Creation/Invovocation/Closure | Rs. 50/- or 0.03% Whichever is higher | Rs. 50/- or 0.03% Whichever is higher |
| 10 | Margin Pledge/Unpledge Charges | Rs. 20/- Per ISIN | Rs. 20/- Per ISIN |

**In case of BSDA Scheme is not applicable due to any reason, We find ineligible for BSDA Scheme after a/c. opening, DP Scheme would be changed to Basic AMC PLAN Scheme. If any discrepancy in account opening, BO shall intimate TSPL within 30 days. Post which BO would require to give modification form for changes in account.**

**Note:** (1) Profile change - email / mobile / nomination / Address etc. charged @ Rs. 60/- per request. (2) POA charged as actual (3) Additional DIS (Delivery Instruction Slip) Book shall be charged @ Rs.211/- per book and extra. (4) Urgent DIS (Delivery Instruction Slip) Book shall be charged @ Rs. 250/- per book. (5) Online Trade charge @ Rs. 50/-. (6) Interest® 13% p.a. shall be charged on the amount outstanding and not paid within ten days of notice. (7) Corporate clients shall pay an additional amount of Rs. 500/- per annum, which is a CDSL annual levy on the corporate account. (8) In case of any additional charged by CDSL / SEBI / any statutory authority, the same shall be passed on to client. (9) BSDA Holding Value 0.00 to 4,00.000/- and up to 10,00,000 AMC will be applicable @ Rs. 100/- P.A. (10) Client master shall be provided by charging @ Rs. 40/- per Client master. (11) All charges, levied and debited, for demat account shall be transferred to your Trading Account. (12) All the aforesaid terms and conditions are subject to revision by TSPL at 30 days of notice. (13) Rs. 100/- will be charged to client for new DIS request without requisition slip. (14) For any correspondence, courier charges will be additional. (15) DP management reserves their right to modify / cancel the scheme with prior intimation. (16) GST as Applicable. **(17) I do not wish to OPT BSDA Scheme,** ☐

Demat account registered for SMART facility and Demat accounts under individual category and Demat accounts with only one Demat account of first holder within CDSL & NSDL where verified PAN of the first holder is available. This criteria has been applied in case of PAN exempt enitities. Value of securities held in Demat account not exceeding 2 Lakhs.

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

**OPTION - 1:** ☐

I / We require to issue Delivery Instruction Slip (DIS)

**OPTION - 2:** ☐

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We issue a POA in favour of TECSTOX Securities Private Limited for executing delivery instruction for setting stock exchange trades [settlement related transaction] effected through such Cleaning Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

**Client Signature**

☞ Ⓧ (8)
First Holder Signature

☞ Ⓧ
Second Holder Signature

☞ Ⓧ
Third Holder Signature

## RUNNING ACCOUNT AUTHORISATION DOCUMENT

# *TECSTOX Securities Private Limited*

CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS, OFFICE No. 809, 8th FLOOR, JETALPUR ROAD,
ALKAPURI, VADODARA-390 007. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com
REGD. OFFICE : SF 240, ATLANTIS K-10, SARABHAI COMPOUND,
SUBHANPURA, VADODARA-390 023. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com

I/We are dealing through you as a client in Security Market and/or Future & Option segment and/or Currency segment and/or or Commodity Derivative Market & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under

1. I/We be required to make payments to and receive payments from you for bills raised by you. However since, I/We intend to have regular running account with you for all the segments i.e. cash and derivative of NSE, BSE, MCX, NCDEX. I/We do not want you to make payments to me/us on settlement-to settlement basis. You would however make payments due to me/us when specifically requested by me/us. The credit balance in my account can be adjusted against any debit in subsequent/previous settlement of any segments. I/We also request you to consider any credit balance in my/our account as margin money. I/We further authorize you to inter transfer, adjust balance between various segments i.e. NSE Cash, NSE Derivatives, BSE Cash, BSE Derivatives, MCX Commodity Derivative Segment, NCDEX Commodity Derivative Segment.
2. I/We authorize you to retain the payout of securities with you for margin purpose unless you receive specific instructions from me/us for transferring to my/our demat account and if required, after adjusting any obligation of margins/funds etc., you may deliver the securities for my/our subsequent pay in obligation. You had very categorically insisted that you will deliver the securities strictly on settlement basis but to avoid practical difficulties and settlement defaults, I/We have made the above authorization.
3. You can collect mark to market, initial margin on daily basis by debiting my/our account.
4. I/We authorize you to utilize the margin of cash or securities lying with you in any form for placing it with stock exchanges, custodians or with any other institutions permitted by SEBI / Exchange.
5. You may send me/us contract notes, bills, various ledgers and statements through e-mail.
6. Although you had insisted on written instruction for placement/modifications/cancellation of orders in writing, but due to practical difficulties and in on line trading environment where the rates fluctuate within seconds, I/We request you to waive this condition and take my/our oral placement/modification/ cancellation and confirmation of orders and need not send me/us order trade confirmation / modification / cancellation slips generated from BOLT / NEAT /NEXTRA/MCX TWS System/NCDEX TWS System.
7. You had further instructed that as per the procedure of your company, you will note down the order detail like time of order, quantity order etc. which in my/our view, would take some time and I/We may not get the best prevailing market price as it is an order driven system based on time and price. I/We request you to modify the above procedure for me/us and immediately act on my/our oral instruction.
8. Further I/We hereby authorize you to transfer, adjust, pass journal voucher for my/our cash margin, payout of funds, my/our running ledger balance, share margin, payout of shares between my/our various accounts held with you in same segment or different segments. I/We hereby will fully and unconditionally issue standing instructions for transfer of credit/debit balance from Mark to Market / Premium Account to Margin Account and vice versa. I/We also hereby unconditionally issue standing instructions to you to maintain my/our our financial ledger account on a running basis. I/We hereby authorize you to withhold my/our funds pay-out (if any) towards margin as and when warranted and similarly debit my/our account with you for fresh Mark to Market differences, Margin etc. on a daily basis if required.
9. I/We hereby agree and undertake that in case of any failure on my/our part to meet pay-in/margin or any other liability, merely on your demand, you shall have the right to realize the same from my/our credits, securities, collaterals, balances, margins, deposits or all or any such other balances lying with you.
10. I/We have thoroughly understood all the terms and conditions of yours as well as of Stock Exchange, SEBI etc. and I/We have read Rules, Regulations, Bye Laws of Stock Exchanges, various Acts, Regulations of SEBI and I/We will update myself/ our on regular basis with all such rules through web-site, SEBI Manual or any other mode.
11. I/We hereby agree to avail members ITORS Service for Purchasing, Selling or Otherwise dealing in securities whenever member offer Internet Trading Through Order Routing System (ITORS) service to its client as per Annexure I of NSE, BSE, MCX, NCDEX agreement's voluntary document clauses and rules regulations by laws of respective Stock Exchange Commodity Exchange and SEBI as time to time.
12. I/we confirm you that I/we can revoke the above mentioned Authority or any Clause of the same at any point of time by sending instruction to you in writing or through Email. ' ;
13. I/We hereby also undertake that:
    (a) I/We am/are doing business dealing only for me/us and not on account of any client.

(b) I/We have not to issue any further contract notes, whatsoever to anybody in relation to my/our dealings with you.

© I/We further undertake that I/We shall not to effect any third party transaction during the course of my/our dealing through you. Further I/We undertake to indemnify you against any losses/damages suffered by you if I/We indulge in third party transaction.

1. You may square-off my/our outstanding position(s) due to any of the following :
2. (i) Any natural calamities like flood, war, earthquake, riots or similar situation beyond the control of TSPL;
   (ii) Any restriction in relation to volume of trading outstanding business or margin stipulated by any exchange, clearing corporation orTSPL;
   (iii) Delay by me/us in meeting my/ours obligation;

15. I/We hereby undertake and confirm that we will not make any cash payment to the company or its representative under any circumstances and if so paid to any of the Representative / Employee /Authorized Person / Sub-broker, it shall not be the responsibility of TECSTOX Securities Private Limited

    We clearly understand that the company never accepts money in cash.

16. I/We hereby agree to settle my / our securities / funds on a ☐ monthly basis ☐ quarterly basis, if not marked option will be quarterly.

| Client Signature ☞ | Ⓧ (9) |
|---|---|

## VOLUNTARY TERMS AND CONDITIONS

Whereas I/We the client intends to open securities trading accounts with TECSTOX Securities Private Limited, (hereinafter referred as TSPL) for the purpose of trading in Capital Market Segment, Futures & Options, Currency Derivative and Commodity Derivative Segments of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., Multi Commodity Exchange of India Ltd., National Commodity and Derivative Exchange Ltd. and the by SEBI recognized Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed or to be provided by TSPL and also the additional services that may be made available by TSPL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions.

1. **Authorization for delivering / pledging shares:** The client understands and agrees that TSPL may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the client.

**2. Authorization to debit charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that TSPL may levy charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by TSPL and as may be required by the Clientand as agreed by client under demat account tariff sheet, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with TSPL.

**3. Payment by cheque:** Where payment by the client towards margin money is made through cheque/pay order/demand draft issued in favor of TSPL, trades may be executed at the discretion of TSPLonly upon realization of the funds of the said cheque /pay order/demand draft.

**4. Lien:** All securities, funds and/or properties of the Client as may be permitted by the Exchange(s) from time to time to be placed with TSPL shall be subject to a lien for the payments or fulfillment of all undischarged liabilities or obligations of the Client and to sell and / or appropriate to it self all such securities, funds at its sole discretion and at any point of time.

**5. Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes TSPL to transfer its debit / credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock purchased/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of TSPL.

**6. Disclaimer:** The Client understands and agrees that neither TSPL nor any other party disseminating any market data, message or information through the Website of TSPL or in any other media shall be liable for:

(a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or

(b) Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Nonperformance, or

(c) Interruption in making available any such data, information or message, due to either any act or omission by TSPL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of TSPL or any disseminating party.

**7. Manner and Mode of placing orders/instructions:** The Client may communicate orders and other instructions to TSPL or the sub-broker/ authorize person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. Client may use any one or more of these means as may be permitted by the SEBI / Exchanges from time to time for placing orders.

**8. Non-execution/delay/cancellation of Orders:** The client hereby agrees that TSPL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of TSPL or the Exchange.

**9. Client not to act on representations of agents, employees:** Client is aware that TSPL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of TSPL.

**10. Recording of Conversation:** The client is aware and agrees that TSPL may tape record the conversation between the client/client's representative and TSPL, whether over the telephone or in person. TSPL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.

**11. Confidentiality of Client Details:** TSPL may disclose the client information to any person /entity as required under the law.

**12. Disclosure as to Proprietary Trades by TSPL :** TSPL carry out proprietary trades in addition to trades on behalf of its Clients.

**13. No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.

**14. Notices:** All notices or communications issued by TSPL shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:

14.1 (a) By E-Mail or (b) By registered post (c) Under certificate of posting or (d) By express delivery post or (e) by SMS on registered mobile or by telephonic call or (f) By affixing it on the door at the last known business or residential address or (g) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (h) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (i) By publishing it in the website of TSPL wherein secured log-id and password to Client is provided or (j) By a notice posted on the notice board of the Exchange if no address be known or (k) By Post or fax or (l) By hand delivery or By Courier or any other mode as may be allowed for communication.

14.2 Not with standing anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between TSPL and the Client may be made orally.

**15. Electronic Contract Note (ECN):**

15.1. Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing TSPL in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent.

15.2. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform TSPL either in writing or via E-mail within 7 working days of the receipt of the same. TSPL shall also publish the Contract Note on the Web site www.tecstox.com or on any other designated location specified by TSPL from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, TSPL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advice TSPL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.

**16. Electronic Transmission of other Documents:** The Client who have opted for ECN agrees that TSPL may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices/communications in electronic mode either at the email ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, TSPL shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of TSPL within seven working days from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.

**17. Electronic Payment Gateway for Net Banking Services:** TSPL may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with TSPL. Client understands that TSPL is only providing access to the electronic fund transfer facility provided by the banker of the Client through TSPL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make TSPL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that TSPL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.

**18. Electronic Payout :** I/We hereby, irrevocable authorised TECSTOX Securities Limited to credit my/our bank account electronically i.e. through Net Banking, RTGS, IMPS, NEFT etc. for all the funds pay out due to me/us. I/We confirm that I/We am/are the first holder and bonafide owner of the given bank account/'s. I/We am/are enclosing documentary proof in this regard for your reference and record. I/We am/are aware and understand the risks associated with electronic transfer of funds and hereby indemnify TSPL Securities Private Limited from all liabilities losses resulting either from delay in crediting of pay out amount and / or non execution of such electronic pay out instruction for any reasons beyond the controlled of TECSTOX Securities Private Ltd. I/We have provided Canceled Cheque /Bank Statement with IFSC Code for you to do the needful.

**19. Extra Ordinary Events and termination/suspension of trading facility:** TSPL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond TSPL's control resulting in non execution, partial or incomplete execution of orders and the resulting financial loss, if any TSPL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

**20. Amendments to the terms and conditions:** TSPL reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised term 21. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this agreement, any contracts, dealings and transactions made subject to the bye law, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act. 1996 and the Bye laws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redrassal mechanisms or to the investor protection schemes of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Bye laws, Rules and Regulations of the Exchange are not attracted and the client understands and agree that any application for invoking the arbitration/grievance redressal mechanisms or investor protection scheme of the Exchanges in relation to any such dispute, claims or differences shall be liable to be dismissed.

**21. For delay payments / overdue payments:** I am / We are aware and agree that you may charge delay payment charges @ 1.5% per month or at such other rate as you determine at you absolute discretion.

**22. Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.

| Client Signature ☞ | Ⓧ (10) First Holder Signature | Ⓧ Second Holder Signature | Ⓧ Third Holder Signature |
|---|---|---|---|

## Electronic Contract Note [ECN] - VOLUNTARY DECLARATION [Client can revoke the same by giving 7 day's notice in writing]

To,

**_TECSTOX Securities Private Limited_**

CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS, OFFICE No. 809, 8th FLOOR, JETALPUR ROAD,
ALKAPURI, VADODARA-390 007. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com
REGD. OFFICE : SF 240, ATLANTIS K-10, SARABHAI COMPOUND,
SUBHANPURA, VADODARA-390 023. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com

Dear Sir,

I, a client with Member, M/s. TECSTOX Secrities Private Limited of NSE / BSE / MCX, NCDEX Exchange undertake as follows:

1. I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
2. I am aware that the Member has to provide electronic contract note for my convenience on my request only. Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ordered by me.
3. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.

My email id is ____________________________________________, this has been created by me and not by someone else.

4. I am aware that this declaration form should be in English or in any other Indian language known to me.
5. I am aware that non receipt of bounced mail notification by the member shall amount of delivery of the contract note at the above E-mail Id.

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

Date : ______________________

Place : ______________________

| Client Signature | Ⓧ (11) (First/Sole Holder Signature) |
|---|---|

## I. FATCA/CRS DECLARATION / CERTIFICATION FOR INDIVIDUAL :

| Client Name | | | | |
|---|---|---|---|---|
| | | First Holder | Second Holder | Third Holder |
| 1. | Are you Indian Resident Person ? | ☐ Yes ☐ No | ☐ Yes ☐ No | ☐ Yes ☐ No |
| 2. | Specify Country of Residence for Tax purpose | | | |
| 3. | Specify Tax Indentification No. / Others | | | |

**NOTE :** If you are a U.S. person and / or if your tax residency / nationally / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration from can be downloaded from www.tecstox.com or call at KYC Helpdesk at Mo. 95836 03836 Email ID : support@tecstox.com

| Client Signature | Ⓧ (12) First Holder Signature | Ⓧ Second Holder Signature | Ⓧ Third Holder Signature |
|---|---|---|---|

## Demat Debit and Pledge Instruction

To,

**TECSTOX Securities Private Limited**
CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS, OFFICE No. 809, 8th FLOOR, JETALPUR ROAD,
ALKAPURI, VADODARA-390 007. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com
REGD. OFFICE : SF 240, ATLANTIS K-10, SARABHAI COMPOUND,
SUBHANPURA, VADODARA-390 023. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com

From,

Client Name: ______________________ Client Code : ______________________

Demat A/c No.: **12104500** ______________________

| S.No. | Purpose | Signature of Client(s) | B01 Signature(s) | B02 Signature(s) B03 |
|---|---|---|---|---|
| 1 | Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker. | ☞ First Holder Sign | ☞ Second Holder Sign | ☞ Third Holder Sign |
| 2 | Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. | ☞ First Holder Sign | ☞ Second Holder Sign | ☞ Third Holder Sign |
| 3 | Mutual Fund transactions being executed on Stock Exchange order entry platforms. | ☞ First Holder Sign | ☞ Second Holder Sign | ☞ Third Holder Sign |
| 4 | Tendering shares in open offers through Stock Exchange platforms. | ☞ First Holder Sign | ☞ Second Holder Sign | ☞ Third Holder Sign |

### Particulars of Pool Account Nos. of TSPL

| | | |
|---|---|---|
| NSE CASH<br>NSE SLB | | |
| BSE CASH | | |
| BSE MF CM BP ID | | For NSDL - IN |

### Particulars of Margin Pledge Account Nos. of TSPL

| | |
|---|---|
| TM/CM Client Securities Margin Pledge | |
| MTF: Client Securities Margin Funding | |
| MTF: Corporate Margin Pledge | |

The Demat account details given above and any other beneficial account/s in the name of TSPL maintained/required to be maintained in future for this purposes and/or clearing House, Clearing Corporation or the respective stock Exchange or any other account as may be deemed fit by TSPL in respect of transaction/order in the securities through TSPL in any segment of any recognized Stock Exchange.

CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS, OFFICE No. 809, 8th FLOOR, JETALPUR ROAD,
ALKAPURI, VADODARA-390 007. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com
REGD. OFFICE : SF 240, ATLANTIS K-10, SARABHAI COMPOUND,
SUBHANPURA, VADODARA-390 023. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com

## Additional Risk Disclosure document for Options Trading (Only For MCX Commodity Exchange)

To,

**TECSTOX Securities Private Limited**

CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS, OFFICE No. 809, 8th FLOOR, JETALPUR ROAD, ALKAPURI, VADODARA-390 007. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com

REGD. OFFICE : SF 240, ATLANTIS K-10, SARABHAI COMPOUND, SUBHANPURA, VADODARA-390 023. GUJ. (INDIA) Mo. : 95836 03836 Email Id : support@tecstox.com

**Subject**: Additional Risk Disclosure document for Options Trading as per Circular MCX/INSP/244/2017 dated July 21, 2017 of Multi Commodity Exchange of India Limited.

**Name**:______________________________**PAN**:______________________________**UCC**:___________

Dear Sir,

I / We undertake that, further to MY / OUR KYC details I / WE intend to trade in Commodity Options subject to regulatory requirements of the Exchange and SEBI from time to time. I / WE further undertake that I / WE have read, understood and accepted the Risks of Option Trading as mentioned below.

**Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

**Risks of Option Writers:**

**1.** If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

**2.** The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

**3.** Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

## DECLARATION PURSUANT TO SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 DATED 04TH JANUARY, 2019

### LIST OF COMMODITIES (MCX)

| COMMODITIES | CODE | COMMODITIES | CODE | COMMODITIES | CODE | COMMODITIES | CODE |
|---|---|---|---|---|---|---|---|
| Aluminium | | Brass | | Copper | | Lead | |
| Nickel | | Zinc | | Barley | | Cardamom | |
| Castor | | Chana | | Cocudakl | | Cotton | |
| Dhaniya | | Guargum | | Guarseed | | Jeeraunjha | |
| Kapas | | Maize | | Moong | | Pedy | |
| Pepper | | RM Seed | | Sugar | | Soyabean | |
| Turmeric | | Wheat | | Gold | | Silver | |
| CPO | | Crude Oil | | Menthal Oil | | Syoref | |
| Natural Gas | | | | | | | |
| All Commodities | | | | | | | |

### CATEGORY CODE REFERENCE TABLE AS PER SEBI

| Category | FPOs / Farmer | Value Chain Participants | Proprietary Traders (Only for Registered Stock/Commodity) Broker | Domestic Financial Institutional Investor | Foreign Participants | Others |
|---|---|---|---|---|---|---|
| Category Code | 1 | 2 | 3 | 4 | 5 | 6 |

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

Date : ____________________________

Place :____________________________

Client Signature ☞ Ⓧ (13) (First/Sole Holder Signature)

## DECLARATION

To,

**TECSTOX SECURITIES PRIVATE LIMITED** - VADODARA.

**Subject: Acknowledgment for additional documents to KYC and Client Registration Form**

I have received understood and executed the documents listed below:

1. I/We that the particulars given by me/us are true to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP/Stock Broker 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. I/ We further acknowledge the receipt of a separate booklet containing all the mandatory documents containing Rights & Obligation of Stock Broker, Authorised Person and Clients/ - including additional Rights and Obligations in case of Internet & Wireless Technology Based Trading Facility / Risk Disclosure Document ( RDD ) / Guidance – DO's and DON'T's / Rights & Obligation of Beneficial Owner and Depository Participant / Policies and Procedures of Trading Member along with the Rights & Obligation of NSE / BSE for Margin Trading Funding (MTF) and Terms and Conditions prescribed by TECSTOX Securities Private Limited for MTF.
3. I/We also confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and tariff sheet. I/We have also the informed that the standard set of documents has been displayed for information on stock broker's designated website i.e. www.tecstox.com

I/We have received a copy of the duly completed documents viz. Client Registration Form (KYC) and also a copy of the Voluntary Documents executed by me/us.

| Client Signature ☞ | X (14) First Holder Signature | X Second Holder Signature | X Third Holder Signature |
|---|---|---|---|

## VOLUNTARY DOCUMENT

**Sub. : Declaration of being mapped to the Authorised Person** Date :

Dear Sir,

I/We________________________________________

residing at________________________________________

hereby acknowledge and confirm that I/We have been introduced to you as a client by your Sub-broker / Authorised Person and accordingly, agree and confirm to be mapped with the Authorised Person, in so far as above Trading Account is concerened.

| Client Signature ☞ | X (15) First Holder Signature | X Second Holder Signature | X Third Holder Signature |
|---|---|---|---|

### VOLUNTARY DOCUMENT Declaration of being mapped to the sub-broker/remister by the client and sub-broker

**To,**

***TECSTOX Securities Private Limited***

CORRESPONDANCE OFFICE : MIDTOWN HEIGHTS, OFFICE No. 809, 8th FLOOR,
JETALPUR ROAD, ALKAPURI, VADODARA-390 007. GUJ. (INDIA)
Mo. : 95836 03836 Email Id : support@tecstox.com

From,

Sub Broker Name :________________________

Address :________________________

Dear Sir,

I / We hereby introduce to you a client Mr. / Mrs. / Ms. ________________________

having his / her / its address at ________________________

for dealing in the cash and / or derivatives segment of NSE / BSE / MCX & NCDEX. I /We hereby agree and undertake to keep you indemnifies against any claims, losses, damages, costs. tec. in connection with the dealings of the client. I/We also have done an in-person verification of this client and have checked and verified all the documents of the client against the originals thereof. I/We vouch that client is actually the person holding himself/herself out to be and further the copies of documents submitted by the client are the true copies of originals thereof, which we have seen and verified.

Thanking You,

Yours Faithfully

**Signature of Sub-broker / Authorised Person** (With Stamp)

## INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED

**BY STOCK BROKER TO CLIENT :** All the clauses mentioned in the 'Rights and Obligations' Document(s) shall be applicable. Additionally, the claused mentioned herein shall also be applicable.

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of device such as mobile, phone, laptop with data card etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to Internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the Internet Based Trading facility or the facility for securities trading through use of wireless technology. The Stock Broker shall provide the Stock Broker's IBT Service to the Client, and the Client shall avail of Stoke Broker's IBT Service, on subject to SEBI/ Exchanges Provisions and the terms and conditions specified on the Stock Broker's IBT Website provided that they are 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 through wireless technology/ internet/smart order routing or any other technology should be brought to the notice of the client by the Stock Broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchange/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock Broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorize representative are not revealed to any third party including employees and declare of the stock broker.
6. The Client shall immediately notify the Stock Broker in writing if he forgets his password, discovers the security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the Transactions effected pursuant to such unauthorized use etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/Password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock Broker and the Exchange do not make any representation or warranty that the Stock Broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock Broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock Broker's IBT System or Service or the Exchange's service or system or non execution of his orders due to any link/system failure at the Client/Stock Brokers/Exchange end for any reason beyond the control of the Stock Broker/Exchanges.

| Client Signature ☞ | X (16)<br>First Holder Signature | X<br>Second Holder Signature | X<br>Third Holder Signature |
|---|---|---|---|

## CHECKLIST FOR KYC (PLEASE TICK WHEREVER APPLICABLE)

### Valid Documents (Copies of all Documents to be Self Attested)

| | | | |
|---|---|---|---|
| **PAN Card** | Account Holder & Joint Holder's (if any) | | **Please Tick** |
| **Photograph** | One Colored Passport Size Photograph | | |
| **Additional Proof of Indenty (Any One)** | a. PAN Card | ☐ KRA Document used<br>(Email ID & Phone Number to be provided on given KRA Form) | |
| | b. Voter ID | | |
| | c. Valid Passport | | |
| | d. Valid Driving Lincense | | |
| | e. Unique Identification Number (UID) (Aadhaar) | | |
| | f. Other (Pls. Specify)______________________________ | | |
| **Proof Address (Any One)<br>Permenent / Correspondence** | a. Voter ID | ☐ KRA Document used | |
| | b. Valid Passport | | |
| | c. Valid Driving Lincense | | |
| | d. Unique Identification Number (UID) (Aadhaar) | | |
| | e. Other (Pls. Specify)______________________________ | | |
| **Bank Proof with MICR / IFSC Code (1st Holder Only)** | a. Bank Statement / Bank Passbook with Cheque Leaf (not more than 3 months old) | | |
| | b. Banker's Certificate on Letter Head of the Bank (ORIGINAL) | | |
| | c. Cancelled Personalized Cheque Leaf | | |
| **Demat Proof (Any One) (1st Holder Only)** | a. Client Master (CML Copy Duly Attested by DP) | | |
| | b. DP Statement / Transaction cum Holding Statement (Duly Attested by DP) | | |
| **Proof of Income (Any One) Mandatory for Derivatives Segments (1st Holder Only)** | a. Copy of Latest ITR Acknowledgement | | |
| | b. In case of Salary Income - Salary Slip, Copy of Form - 16 | | |
| | c. Net-worth Certificate (Not more than 1 Year Old) | | |
| | d. Copy of Demat Account Holding Statement (not more than 3 months old) | | |
| | b. Bank Account Statement for Last 6 Months Reflecting Income | | |