

FLATTRADE

Flattrade Broking Private Limited

formerly Fortune Capital Services Private Limited

SEBI Rec No : INZ00201438

NSE . BSE . MCX . CDSL

IN-DP-811-2025

KYC DOCUMENT INDIVIDUAL

Account Opening Form

Individual · Version 0.1

DOCUMENT TYPE

Central KYC Registry Application

APPLICABLE TO

Individual Constituents

ISSUED BY

Flattrade Broking Private Limited

EXCHANGES

NSE · BSE · MCX

VERSION

v0.1 · April 2026

TOTAL SECTIONS

18 Mandatory + Voluntary Forms

Document ID: KYC-DP-001 | Version: 0.1 | Last Updated: 2025-04-01
© Flattrade Broking Private Limited. All rights reserved.

This document contains mandatory and voluntary forms as prescribed
by SEBI and Stock Exchanges. Please read all sections carefully.

CONFIDENTIAL

Flattrade Broking Private Limited.

(formerly Fortune Capital Services Private Limited)

Central KYC Registry | Know Your Customer (KYC) Application | Individual

INDEX			
S.No	Name of the Document	Brief Significance of the Document	Pg.
MANDATORY FORMS AS PRESCRIBED BY SEBI AND EXCHANGE			
1	Account Opening Form	A. KYC Form – Documents captures basic information about the constituents B. Document captures the additional information about the constituent relevant to the trading account	1, 3
2	Rights and Obligations	Documents stating the rights and obligations of stock broker / trading member and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading)	17
3	Risk Disclosure Document	Documents detailing risks associated with dealing in the securities market	20
4	Guidance Note	Document detailing do's and don'ts for trading on exchange, for education of investors	23
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker	24
6	Tariff Sheet	Document detailing the demat fee schedule & rate / amount of brokerage and other charges levied on the client for trading	29
DEMAT ACCOUNT OPENING FORM AND VOLUNTARY FORM AS PROVIDED BY THE STOCK BROKER			
7	Demat Account Opening Form (CDSL)	A. Demat Account Opening Form – Documents captures the basic and additional information about the constituents B. Terms & Conditions cum registration / modification form for receiving SMS alerts from CDSL & TRUST offered by CDSL	8, 54
8	Voluntary Additional Tariff Sheet	Other charges levied on the client for the services opted by them, if any, in trading on the stock exchange(s)	30
9	ECN Declaration	Electronic Contact Note Declaration for receiving Contact Notes.	37
10	Voluntary Rights & Obligations	Voluntary undertakings stating the rights and obligations of stock broker / sub-broker / client for trading on exchange	33
S.No	Name of the Document	Brief Significance of the Document	Pg.
11	Running A/c Authorisation	Authorisation by constituent to stock broker for maintaining fund and securities on running account basis.	36
12	Acceptance Letter	Letter accepting the Rules and Regulations of Flattrade Broking Private Limited and Client Declaration	39
13	Acknowledgement & Authorization	Acknowledgement for receipt of documents executed and Authorization for the modification requests.	48
14	Authority Letter	1. Authorisation for adjustment of account between exchanges and segments. 2. Authorisation to Debit Demat Account operating charges. 3. Authorisation by constituent to stock broker for communicating information on financial products. Authorization for verification of information.	50
15	Consent for MTF	Client consent for availing Margin Trading Facility (MTF) and Rights & Obligation of MTF	50
16	Mutual Fund Service System Facility	Terms & Conditions for availing Mutual Fund services of BSE STAR / NSE MFSS facility	50
17	BSE STAR MF / MFSS Facility	Details of terms & conditions for the Investor / Client for using New BSE STAR MF / MFSS facility	51
18	Voluntary Freezing / Blocking Online Trading Account	Framework on facility provided to clients for voluntary freezing / blocking online trading account	51

MEMBER DETAILS					
Name of the Trading Member : Flattrade Broking Private Limited. (formerly Fortune Capital Services Private Limited.)					
Name of the Clearing Member : Flattrade Broking Private Limited. (formerly Fortune Capital Services Private Limited.)					
SEBI Registration No. : INZ000201438					
Cash Segment, Deravatives (F&O, Currency) – NSE, BSE Commodities - MCX					
NSE TM Code	14572	BSE TM Code	6524	MCX TM Code	16765
CDSL: Depository services through Flattrade Broking Private Limited. (formerly Fortune Capital Services Private Limited.) – IN-DP-811-2025					
Registered Office Address					
M/s. Flattrade Broking Private Limited, "Kochar Technology Park" 6th Floor, SP 31-A, 1st Cross Road, Ambattur Industrial Estate, Ambattur, Chennai – 600 058. Phone : 044- 6132 9696 E-Mail : ftc@ftconline.in Website: www.flattrade.in					
Compliance Officer Name			CEO Name		
Name: D. Meenambal Phone: +91 77080 65653 Email ID: compliance@flattrade.in			Name: K. Narayana Moorthy Phone : 044-6132 9696 Email ID : ftc@ftconline.in		
Investor Grievance					
For any grievance / dispute please contact Flattrade Broking Private Limited at the above address or email id- ftc@ftconline.in and Phone no. 91- 44 6132 9696. In case not satisfied with the response, please contact the concerned exchange(s) at,					
Exchange Name		E-mail ID		Phone No.	
National Stock Exchange of India Ltd.		ignse@nse.co.in		(022) 26598190	
Bombay Stock Exchange Ltd.		is@bseindia.com		(022) 2272 1233 / 34	
Multi Commodity Exchange of India Ltd. (MCX)		grievance@mcxindia.com		(022) 6731 8888	

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments – illustrative list

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

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

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

Flattrade Broking Private Limited
(formerly Fortune Capital Services Private Limited)
Central KYC Registry | Know Your Customer(KYC) Application | Individual

FLATTRADE

Application Type*:	NewKyc	Modification KYC	BSDA FLAG
--------------------	--------	------------------	-----------

KYC Mode* : Please Tick (✓)

Normal EKYC OTP EKYC Biometric Online KYC Offline KYC Digilocker

1. Personal Details			
Name *			
Maiden Name (If any *)			
Father/Spouse Name *			
Mother Name *			
Date of Birth *			
Gender			
Marital Status			
CitizenShip *			
Residential Status *			
Occupation Type *			
Residence for Tax Purposes In Jurisdiction(s) Outside India*			
Country of Jurisdiction of Residence*			
Tax Identification Number or Equivalent(If issued by jurisdiction)*			
Place/City of Birth *			
Country of Birth *			
2. Proof of Identity			
PAN *			
3. Proof of Address			
Address Type *		Proof of Address *	
Correspondence Address			
Address Line 1 *			
Address Line 2 *			
Address Line 3 *			
City/Town/Village *		State*	
Country *		PIN Code *	
Permanent Address			
Address Line 1 *			
Address Line 2 *			
Address Line 3 *			

Account Opening Form - Individual v0.1

City/Town/Village *		State*	
Country *		PIN Code *	
4. Contact Details			
Mobile No. *		Email ID *	
5. Details of Related Person			
Name			
Related Person Type			
PAN			
6. Applicant Declaration			
<p>*I am/We 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.</p> <p>*I am/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.</p> <p>*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 Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.</p>			
Date			
Place			
7. Attestation (For Office use only)			
Document Received			
Intermediary / Institution Details		In-person verification (IPV), Documents verified with original & Client interviewed by	
Name	Flattrade Broking Private Limited	Employee/SB/AP Name	
		SEBI Number of AP (if Applicable)	
		Employee ID	Designation
CKYC Institution Code		Signature	

8. Bank Account Details					
Primary Bank Details (For DP and Trading)					
Bank Name					
Account No.		Branch			
UPI ID					
IFSC		MICR Code			
Address					
Account Type		Pay-Out Option			
9. Depository Account Details					
I/We already have Demat A/c					
Depository Name					
DP ID		BO ID			
Name of Depository Participant					
Demat Account Proof Submitted					
Beneficiary Name					
10. Trading Preference					
Please sign in the relevant boxes where you wish to trade.					
Exchanges	NSE,BSE				MCX, NSE & BSE
All Segments	Cash	F&O	Currency	Debt	Commodity Derivatives
If you wish to trade in BSE Mutual Fund, sign here					
If you do not wish to trade in any segments / mutual funds, please mention here					
11. Facilities					
SMS and E-mail alerts from Stock Exchanges/Depository					
Whether you wish to receive Contract Note & Standard documents in physical or electronic mode					
*Standard Documents Rights & Obligations, Risk Disclosure Document, Guidance Note and Policies & Procedures, other terms and conditions					
I/We wish to avail facility of internet trading /					

Account Opening Form - Individual v0.1

wireless technology	
Terms & Conditions:	
I understand that I am initiating the process to open Demat and Trading account under resident indian status. I authorize FLATTRADE and its representatives to call,email or SMS me regarding FLATTRADE products and services.	
Latitude	
Longitude	
12. Trading History	
Trading Experience / Number of years invested	
Stock Profile	
If you are dealing with any other stock broker, please provide following detail	
Name of the stock broker	N/A
Name of Sub-Broker (If any)	
Details of disputes / dues pending from / to such stock broker / sub-broker (In case dealing with multiple stock brokers, please provide details of all.)	
Client Code(UCC)	Exchange
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 / authorised persons in charge of dealing in securities during last 3 years.	N/A
13. Income, Education & Others Details	
Gross Annual Income Detail	
Net-worth in	As on(date)
Occupation	
Educational Details	
Politically Exposed Person/Related to a Politically Exposed Person	
Is the entity involved providing any of the following services	
- For Foreign Exchange / Money Changer Services	
- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)	
- Money Lending / Pawning	
FATCA / CRS Declaration / Self Certification For Individual	

Account Opening Form - Individual v0.1

KYC ACCOUNT OPENING FORM

Flattrade Broking Private Limited · Account Opening Form · Individual · v0.1

Are you a tax resident of any country other than India?			
Note: If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration form can be downloaded from http://www.flattrade.in or write to support@flattrade.in			
Are you US Person (Yes means FATCA applicable. No means CRS applicable)			
Country(s) of tax residency	City/Town, State Code, Postal Code	TAX Identification Number (TIN) or functional equivalent number	Identification Type #
	N/A		
<p>#TIN is not available. Please specify the reason A, B or C [as defined below]</p> <p>A - The Country where the account holder is liable to pay tax does not issue TIN to its residents.</p> <p>B - No TIN required (Select the reason only if the authorities of the respective country of tax residence does not require TIN to be collected)</p> <p>C - Other reason (1 Student / 2 Home-maker/ 3 House-Wife / 4 Retired / 5 Diplomat 6 Specify)</p>			

14. Detail of Introducer			
Name			
Registration No. or Code			
PAN		Phone	
Address			

Account Opening Form - Individual v0.1

15. Demat Account Opening - CDSL			
I/ We request to open a Depository Account in my / our name as per the following details.			
15a. Type of Account			
Status		Sub - status	
15b. Account Holder Details			
Name of sole/1st Holder			
UID		PAN	
Name of 2nd Holder			
UID		PAN	
Name of 3rd Holder			
UID		PAN	
Nationality			
15c. CDSL - Details of Guardian (In case the account holder is minor)			
Name of Guardian (Mr./Mrs./Ms.)			
Relationship		PAN	
15d. CDSL - Additional Details			
Account statement requirement			
I/We instruct the DP to receive each and every credit in my / our account			
I/We wish to receive dividend/interest directly into my/our Bank A/c through ECS (If notmarked, the default option would be 'Yes'. ECS is mandatory for locations notified by SEBI from time to time.)			
I/We request you to send Electronic Transaction-Cum-Holding Statement through E-mail (Please mention E-mail ID in KYC form)			
SMS Alert Facility on Mobile Number as given in KYC Form (Mandatory, If you have given POA. If POA is not granted and you do not wish to avail of this facility, cancel this option)			
I/We would like to instruct the DP to accept all the Pledge instructions in my / our account without any other further instruction from my / our end.			
I/We would like to share the E-mail ID with the RTA.			
I/We would like to receive the annual report (If not marked, default option will be 'Physical')			
I/We would like to receive the copy of charges for Depository Services-Schedule A Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories. A (If not marked, default option will be 'Physical')			

Account Opening Form - Individual v0.1

15e. CDSL - SMS & TRUST			
SMS Alert Facility	Mobile No.		(Mandatory if you are giving a POA)
Transactions Use Secured Texting Facility(TRUST)	I wish to avail the TRUST facility Using the mobile no registered for SMS alert facility. I have read the terms and conditions prescribed by CDSL for the same - YES		
I/We wish to register the following Clearing Member IDs under my/our below mentioned BO ID egistered for TRUST			
Stock Exchange Name	Clearing Member Name		Clearing Member ID
NSE	Flattrade Broking Private Limited. (formerly Fortune Capital Services Private Limited)		
BSE	Flattrade Broking Private Limited. (formerly Fortune Capital Services Private Limited)		
MCX	Flattrade Broking Private Limited. (formerly Fortune Capital Services Private Limited)		

16. Declarations Reg : Prevention Of Money Laundering
<p>Prevention of Money Laundering Act, 2002 (hereinafter referred to as "Act") came into effect from July 1, 2005 vide Notification No. GSR 438(E) dated July, 1 2005 issued by Department of Revenue, Ministry of Finance, Government of India. Further SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all intermediaries should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Customer (KYC) policy. The intermediaries may, according to their requirements specify additional disclosures to be made by clients for the purpose of identifying , monitoring and reporting incidents of money laundering and suspicious transactions undertaken by clients. SEBI also issued another circular reference no. ISD/CIR/RR/AML/2/06 dated March 20, 2006 advising all intermediaries to take necessary steps to ensure compliance with the requirement of section 12 of the Act, interalia, maintenance and preservation of records and reporting of information relatinto cash and suspicious transactions to Financial Intelligence Unit - India (FIU-IND), New Delhi. The Investor should ensure that the amount invested in the securities and represented as credit in their demat account is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act, Prevention of Corruption Act and/or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder. To ensure appropriate identification of the customer(s) under its KYC policy and with a view to monitor transactions, FBPL DP reserves the right to seek information,record customer's telephonic calls and/or obtain and retain documentation for establishing the identity of the customer, proof of residence, source of funds, etc.It may re-verify identity, seek and obtain any incomplete or additional information for this purpose.</p>

17. Declaration
<p>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.</p> <p>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.</p> <p>3) I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'.I/We do hereby agree to be bound by such provisions as</p>

Account Opening Form - Individual v0.1

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.

Disclamier

Our policies and procedures are subject to change at any time in response to internal and external instructions, as well as circulars. We reserve the right to update, modify, or revise them as necessary

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

CHARGES FOR DEPOSITORY SERVICES - SCHEDULE - A

I/We agree to pay the charges as per the following for our Demat account

S.No	Charge Head	Charges
1.	Annual Maintenance Charges	Nil
2.	Documentation Charges	Rs. 175/- (If DDPI Registered)
3.	Dematerialization Charges	Rs. 2/- per certificate plus courier charges of Rs.35/- per demat request for every 500 gms.
4.	Debit Transaction charges Market / Inter-depository	A flat charge of Rs.20/- per debit transaction plus applicable GST.
5.	SLB Charges	For Security Borrowing : Rs.25/- plus Depository charges For Security Lending i: Rs.25/- plus Depository charges
6.	Pledge Charges Creation / Closure and Confirmation of both / Invocations	Rs.50/- per transaction / ISIN
7.	Rematerialisation Charges	Rs.50/- per Certificate + Depository Charges
8.	Same Day Execution - Per Instruction / Per Scrip	Rs.50/- or 0.025% whichever is higher.
9.	Off-market Charges	Rs.50/- per ISIN
10.	Failed / Rejected Transactions	Rs.30/- per transaction.
11.	Demat Rejection Charges	Rs.35/- per rejection.
12.	Adhoc / Non periodic statement requests	Rs.25/- per request upto 10 pages. Every additional 5 pages or a portion thereof will be charges at Rs.10/- plus courier charges.
13.	E-Mail Statement	Periodic Bills and Transactions statements and other communications will be sent by email only. Requests for Physical statements will be charged as mentioned above.
14.	Margin Pledge charges	Rs. 20 + GST

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

TARIFF SHEET TRADING ACCOUNT

I / we agree to pay the charges as per following charges structure for our Trading account

Trading Client ID:

S.No	CHARGE HEAD	Value Pack Scheme
1.	Equity Intraday	Nil
2.	Equity Delivery	Nil
3.	Equity Futures	Nil
4.	Equity Options	Nil
5.	Currency Futures	Nil
6.	Currency Options	Nil
7.	Commodity Futures	Nil
8.	Commodity Options	Nil
9.	Terms & Conditions	Digital Contract sent through email at free of cost.

In addition to the brokerage charge the following charges will also be levied

Schedule of Charges:

- 1) STT, CTT, GST, Education and Higher Education Cess, as applicable will be levied.
- 2) Exchange charges as applicable from to time.
- 3) Stamp Duty as applicable will be levied
- 4) SEBI charges @ 0.0001% on total turnover.
- 5) Statutory charges payable to Exchange / SEBI / Govt. Authorities etc.,

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

Account Opening Form - Individual v0.1

**RIGHTS AND OBLIGATIONS OF STOCK BROKERS AND CLIENTS
as prescribed by SEBI and Stock Exchanges**

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

CLIENT INFORMATION

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

Account Opening Form - Individual v0.1

MARGINS

10. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
11. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

20. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
21. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
22. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to conciliation/arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
23. The stock broker shall ensure faster settlement of any dispute through conciliation/arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall

FLATTRADE

be liable to implement the conciliation report/settlement agreement /arbitration awards made in such proceedings.

24. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

25. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
26. The stock broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

ADDITIONAL RIGHTS AND OBLIGATIONS

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

Account Opening Form - Individual v0.1

31. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
32. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
33. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
34. The stock broker / stock broker and depository participant shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

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

Account Opening Form - Individual v0.1

FLATTRADE

delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send either a physical contract note to the client or an ECN through electronic instant messaging services within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

3. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

38. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

Account Opening Form - Individual v0.1

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES (DEMAT)

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial

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

Fees/Charges/Tariff

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

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

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

Statement of account

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

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should

be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

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

Account Opening Form - Individual v0.1

Authorized representative

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

Law and Jurisdiction

28. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI.

32. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye- laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

Account Opening Form - Individual v0.1

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.

Account Opening Form - Individual v0.1

8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges. Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading. In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk. You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges. It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time. Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure you must seek professional advice on the same. In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/ derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be

Account Opening Form - Individual v0.1

substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since

Account Opening Form - Individual v0.1

a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc.The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part

of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

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

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place.

4. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

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

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

FLATTRADE

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

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

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

Account Opening Form - Individual v0.1



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

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

TRANSACTIONS AND SETTLEMENTS

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

Account Opening Form - Individual v0.1

receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:

- a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
- b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in cash market.
- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

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

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

POLICIES AND PROCEDURES

The underlying document outlines various policies and procedures of Flattrade Broking Private Limited. (formerly Fortune Capital Services Private Limited) (FBPL) has framed with respect to its dealing with clients for capital market transactions to ensure transparency and facilitate understanding on various aspects related to service delivery. Kindly note that the below stated policies and procedures are subject to change from time to time depending on the market and external environment and clients can refer our Website for the updated documents.

1. Refusal of orders for Penny / Illiquid Stocks:

The client is required to adhere to Exchange / Members guidelines and due diligence while trading in such stocks. Also SEBI / Exchange from time to time issues directives necessitating additional due diligence for dealing in such stocks.

We at our sole discretion, may impose certain restrictions / conditions (on case to case basis) subject to rules, regulations, bye-laws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances and risk policies at a related point in time. These restrictions / conditions include but are not limited to the following:

- a) Restrict wholly / partly for trading, in certain security or category of securities:
 - * Illiquid stocks / stocks having low liquidity
 - * Illiquid Options / far month options / long dated options
 - * Writing of Options
 - * Any other securities / contracts are volatile or subject to market manipulation or has concentration risk at client level or at the company level.
- b) Require the client to provide appropriate declarations before / after accepting such orders.
- c) Accept or partially accept an order for buy and / or sell. Such acceptance may require execution in a controlled environment (for e.g. from centralized desk instead of from designated dealing area or online platform)
- d) Cancel orders in above securities / contracts received from clients before execution or after partial execution without assigning any reasons thereof.
- e) We shall not be responsible for non-execution / delay in execution of such orders and consequential opportunity loss or financial loss to the client.
- f) Have the discretion to place such restrictions, notwithstanding the fact that the client has adequate credit balance or margin available in his account and / or the client had previously purchased or sold such securities / contracts through us.

2. Setting up of Client's Exposure Limit:

The Exchange bye-laws requires a member broker to adhere to various trading and settlement obligations and conditions which include but are not limited to

- * Upfront Margin maintenance requirements with the Exchange / Clearing Corporation prior to taking an exposure in the market
- * Cash and Collaterals / Security Deposit, in prescribed ratio, for margin maintenance.
- * Certain margins to be paid for in cash only, e.g. mark to market
- * Settlement obligations in respect of funds and / or securities to be honoured as per the settlement calendar prescribed by the exchange from time to time.

In order to enable FBPL to meet the obligation on behalf of the client, FBPL seeks client's co-operation to maintain adequate margin, make timely settlement of obligations, top-up margin by scheduled date, etc.,

Account Opening Form - Individual v0.1

Exposure Setting: Margin based limit / exposures will be set for clients for transacting in Cash , F&O and Currency segment.

While computing the available margin, clear credit lying in client's settlement and margin ledger and securities held in client's demat account for which limited power of attorney is available with FBPL etc., may be considered.

Margin can be paid in form of cash and approved collateral. Collateral will be valued on daily basis at latest / previous day's closing price and appropriate hair-cut shall be applicable. List of approved collaterals / securities along with applicable haircut, is subject to revision from time to time depending on market volatility, quality of collateral etc.,

3. Brokerage Policy:

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 and other levies / charges e.g. 1) Service Tax and Education Cess, 2) SEBI / Exchange / Clearing Member charges, 3) Stamp Duty, 4) Statutory charges payable to Exchange / SEBI / 24Govt. Authorities etc., 5) DP Annual maintenance charges / transaction charges / Demat / Remat / Inter- Sett. / Pledge / Unpledge etc., 6) Account Opening Charges and Charges towards customized / specialized services etc.,) 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 Option Contracts:

Brokerage for option contracts shall be charged on the premium amount of which the option contract was bought or sold and not on the strike price of the option contract. It is hereby clarified that brokerage charged on options contracts shall not exceed 2.5% of the premium amount or Rs.100/- (per lot) whichever is higher.

4. Imposition of Penalty / Delayed Payment Charges:

Penalty levied by Exchanges:

Exchanges / Clearing Corporation / SEBI levy penalties on the member broker for irregularities observed by them during course of its dealing with Members. FBPL shall recover such imposed penalties / levies, by the Exchange / regulators, from the client which arises on account of dealing by such client. Few examples of penalties are listed below :

- i. Auction resulting from short deliveries
- ii. Non adherence to client wise exposure limits in Cash, F&O and Currency Segment
- iii. Client wise shortfall in F &O and Currency margin
- iv. Any other reasons which may be specified by the Exchange / Clearing Corporation / SEBI from time to time.

Delayed payment charges / margin shortage charges:

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the margin by scheduled date. In case client fails to settle the dues in time,

FBPL shall reserve the right to – Levy delayed payment charges, not exceeding 2% per month, or such other rate as may be determined by the FBPL from time to time, on account of delays / failure by the client in meeting the pay-in / margin obligations / mark to market obligation on the scheduled date till the date of payment in Cash and / or F&O segment and/or Currency segment. Actual Balance will be considered for computation of delayed payment charges and not the Ledger Balance. Levy a charge for disproportionate cash versus collaterals ratio prescribed by the Exchanges for deposit of margins in F&O and Currency.

Not consider any credit balance in other family or group account of the client while computing delayed payment charges on the debit balance in the running account of a client.

The above levy is only a penal measure incase of a client default in meeting settlement and margin obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges.

Interest free Deposits: FBPL provides exposure against the upfront margin received in the form of cash / collateral from the client and the client also has the prerogative to demand withdrawal of cash or collaterals at his discretion, subject to surplus margin in place. FBPL shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins .

5. Liquidation Policy:

The right to sell Client's securities or close client's Positions, without giving notice to the client on account of non-payment of dues by client) As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the required margin by scheduled date. The client agrees and confirms that in case of any delay (beyond permissible time limit as per SEBI or Exchange rules, regulations, byelaws, circulars and other applicable laws / provisions) in the making the payment, FBPL shall have the right to sell client's securities / positions / contracts, both unpaid securities as well as collaterals deposited towards margins or securities previously purchased by the client or close out client's open positions / contracts or offset credit balance in other segment / exchange against client's obligation / debit balances / liabilities, without giving any notice to the client, as per prevalent risk policy from time to time, in circumstances including but not limited to the following:

- a) Where intraday position if any not liquidated before prescribed time or placing of fresh intraday order after a cut-off time fixed by FBPL
- b) Where client is not having adequate margins, as per conditions specified in Exposure Limit section and failure to top-up further margins.
- c) Client delays / fails to meet the pay-in obligation, mark to market dues, clearance of debit balances or realization proceeds of the cheque deposited by the client to meet obligation is not received
- d) Cheque bouncing / not honouring sale obligation by delivering shares in time or due to any reason, delays or fails in clearing outstanding dues to FBPL
- e) Volume in excess of permissible internal limit cap in illiquid / penny stocks / long dated options / far month options or excessive speculative trading.
- f) Irregularities in dealing and other surveillance / anti-money laundering related observations.
- g) Client categorized as ineligible due to non-traceable, disputes, possible default by client and any other circumstances leading to raising non-confidence in client.
- h) Disputed delivery / trading position

Account Opening Form - Individual v0.1

i) Any direction from SEBI / Exchange or such other regulatory / statutory authorities.

Such liquidation may be in full or partial to the extent of shortfall / debit and securities / position / contracts selection would be at the discretion of FBPL. Securities previously purchased would be used for liquidation where the sale proceeds of unpaid securities are inadequate to cover the pay-in obligations and or where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required. After such square off of open positions as mentioned in the above clauses, if there is a debit balance, the client shall pay the same immediately. If, the client does not clear off the debit balance, FBPL shall have the right to liquidate the shares and other securities of the client (kept as collateral / margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral / margin and the shares and securities that needs to be sold or liquidated. FBPL, its Directors and employees shall not be responsible for any loss or damages arising out of such selling.

6. Shortages in Obligation arising out of internal netting of trades:

The client may not receive shares on T + 2, in case there is an internal shortage situation with FBPL i.e. the buyer and seller are both FBPL clients and the seller defaults in delivery due to which the buyer may not receive the shares. A penalty as applicable from time to time, will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client. Rate of penalty will be decided by member as applicable from time to time. In case of default of securities pay-in by the client and the shortage is vis-à-vis the Exchange, auction value of the exchange and all levies as applicable shall be recovered from the defaulting client. In case 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 compulsorily closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

7. Conditions under which a client may not be allowed to take further position or the broker may close the Existing position of a client.

We have margin based RMS system. Client may take exposure up to the amount of margin available with us. Client may not be allowed to take position in case of non-availability / shortage of margin as per our RMS policy of the company. Further it would be the duty of the client to monitor its position with FBPL from time to time. The existing position of the client is also liable to square off / close out without giving notice due to shortage of margin / non making of payment for their pay-in obligation / outstanding debits.

8. Suspension of trading account and Deregistering the client

Suspension of Trading Account

FBPL may carry a periodic review of the client accounts and may, at its discretion, suspend the clients accounts from trading in the following circumstances.

1. Where the client's status is dormant or inactive during last 24 months from the date of last transaction.
2. Where the client has not cleared the naked or uncovered debits in prescribed time.
3. Default by the client in honouring its settlement / margin obligation including cheque bouncing / auction of shares.
4. Irregular trading pattern from surveillance / AML perspective.
5. Where FBPL is unable to transfer the shares to the default demat account provided by the client, till the client submits the revised demat account details along with proof.

Account Opening Form - Individual v0.1

6. Where the client is categorized as ineligible due to being non-traceable, pending disputes / complaints, possible default by client and any other circumstances leading to raising non-confidence in client including return of undelivered couriers citing reason of "no such person" / addressee left / refusal to accept mails / POD's signed by the third persons etc., or Digital Contract Notes (DCN) failed (bounced email) on more than 3 instances until client submits and registers new email id or non-delivery of the statement of account sent on periodic basis or non-updation of financial and other details viz. email id, mobile no., landline details or it is found to be belonging to a third person.
7. Where the account is under investigation by any regulatory body including receipt of notice from statutory, government or local authorities including income tax, service tax, a judicial or a quasi judicial authority, or client is arrested by way of court order, police action or any other legal action.
8. Where a client is reported to or known to have deceased.
9. Where client fails to provide executed or renewed mandatory documentary requirements as prescribed by Exchanges / Regulators from time to time and or refusal to do the periodic submissions as required by Exchanges / Regulators. De-registering a Client FBPL may at its discretion de-register the client account in circumstances including but not limited to the following:
 - a) Action taken by Exchanges / Regulators or being part of list of debarred entities published by SEBI,
 - b) Where the client indulge in any irregular activities not limited to synchronized trading, price manipulation etc., resulting in violation of rules, regulations of the exchange and any other such activity.
 - c) Based on information found in sites of CIBIL, Watch out Investors or client having suspicious back ground, link with suspicious organization etc.,
 - d) Irregular trading pattern from surveillance / AML perspective.
 - e) Where the client is categorized as ineligible due to being non-traceable, disputes, possible default by client and any other circumstances leading to raising non confidence in client including return of undelivered couriers citing reason of no such person / addressee left / refusal to accept mails / POD's signed by the third persons etc., or Digital Contract Notes failed (bounced) on more than 3 instances until client submits and registers new email id or non-delivery of the statement of account sent on periodic basis or non-updation of financial and other details viz. email id, mobile no., landline details or it is found to be belonging to a third person
 - f) Right to deregister after serving a 30 days written notice without assigning any reason thereof In such case, FBPL shall have the right to close out the existing positions / contracts, sell the collaterals to recover its dues, if any, before de-registering the clients account.

9. Disclosure of Proprietary Trading by FBPL:

Pursuant to SEBI Circular No. SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003 FBPL discloses to its clients about its policies on proprietary trades. FBPL doesn't do proprietary trades in the cash, F&O and Currency segments of NSE & BSE.

10. Policy for Dormant / In-active account

When there is no transactions have taken place in client's account during the last 24 months / 2 Years from the date of last transaction, it will be considered as dormant / in-active account. If the account status is tagged as dormant in-active account, the surplus funds or securities lying with FBPL shall be refunded / returned to clients to their Bank A/c. / DP Account for their Funds and Securities respectively as per details available in Account Opening Form.

Account Opening Form - Individual v0.1

11. Reactivation of Trading Code:

A client's trading account will be re-activated, on submission of proof of identity (POI) and proof of address (POA) along with the client's request letter where the account is suspended due to dormant / inactive status or on submission of such other information/ documents as deemed fit by FBPL.

CLIENT DECLARATION & SIGNATURE	
Name of Client	
Signature of Client	
Date	Place

VOLUNTARY ADDITIONAL TARIFF SHEET – TRADING ACCOUNT

In addition to the CHARGES mentioned in the Tariff Sheet, the following charges will be levied , if the Services opted by the Client. Please sign in the relevant boxes where you wish to opt the additional services and not chosen should be struck off by the client.

Trading Client ID:

Other Services	Option Opted
In addition to Digital Contract, if the client requires Physical Contract Note shall be charged @ Rs.50/- per Exchange per Day.	YES
Call & Trade /Offline Trade/Intraday square Off of MIS/CO/BO Order : Equity Intraday, FAO & Currency Futures – Rs.50/- plus GST per executed order or 0.01% of turnover plus GST whichever is lower. Equity Delivery - Rs.50/- plus GST per executed order or 0.1% of turnover plus GST whichever is lower. Options (Future & Currency) - Rs.20/- plus GST per executed order. Commodity (Future & Options) -Rs.50/- plus GST per executed order.	YES
Non-Acceptance of MTF Pledge Requests by Clients – 0.5% of MTF value if < ₹1 lakh; 1% of MTF value if ≥ ₹1 lakh. If non-acceptance instances occur for more than 3 consecutive days in a calendar year, 5% of the non-accepted MTF value will be charged.	YES
Debit my trading account for Application charges.	

CLIENT DECLARATION & SIGNATURE	
Name of Client	
Signature of Client	
Date	Place

Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from**Definitions:**

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.

2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

Account Opening Form - Individual v0.1

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

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

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai. I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below.

- a) I / We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.
- b) I / We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.
- c) I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP. I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.
- d) I / We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID	
Mobile Number on which messages are to be sent	
The mobile number is registered in the name of	
Email ID	

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

Account Opening Form - Individual v0.1

**VOLUNTARY / NON MANDATORY
RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB BROKERS AND CLIENTS**

These Voluntary / Non Mandatory Rights and Obligations enumerated below are in addition to the Mandatory Rights and Obligations of Stock Bokers, Sub – Brokers and Clients to ensure smooth functioning of the operations, the parties thereto have agreed to the following terms and conditions.

1. Digitally signed Contract Notes, Bills, Transaction Statements, Confirmation & Electronics

Communication:

- l) The client hereby agrees and permits FBPL to provide digitally signed contract notes through internet / email. The client also authorizes FBPL to send Welcome Kit, Statements of Account, Statement of Margin, Funds and Securities, Ledgers, Bills, Collateral Statements, Daily Margin Statements, reports, notices, circulars, letters and other documents pertaining to the Trading Account on email address. For the sake of clarity all of the above documents are referred to as "Digital Documents". The client acknowledges that once Digital Documents are mailed by FBPL at their email address registered with it, it shall be deemed to have been received by the client and hence there will be no further requirement on the part of FBPL to send the same physically in the paper based format to the client unless Digital Documents are rejected by the client's email ID and is bouncing back to FBPL. The client hereby acknowledges that he has read and understood the following points governing issuance of the Digital Documents by FBPL.
- a) For the purpose of the above, the email id used would be the same as provided by the client in the Client Registration Form at the time of opening of an account or email id subsequently notified by the client in writing. Any change in the email id of the client shall be immediately intimated by the client to FBPL.
 - b) The client shall access the contract notes / confirmations of the trades executed on his behalf on the trade date electronically. The client understands that it is his responsibility to review all confirmations, contract notes and other communications including but not limited to margin and maintenance calls etc., All information contained therein shall be binding on the client if the client does not object, either in writing or electronic mail within 24 hours after any such documents are available to the client.
 - c) Should the client experience any difficulty in opening a document electronically delivered by FBPL, FBPL may, on receipt of intimation from the client in that behalf, make the required delivery by any other electronic means (e mail, electronic mail attachment or in the form of an available download from the back-office website) or in paper based format. Failure to advise FBPL of such difficulty within twenty four (24) hours after delivery shall serve as an affirmation that client was able to receive and open the said document. The client hereby agrees to pay all such amounts that FBPL may charge to cover the operational costs that FBPL incurs in preparing and delivering the said communication, confirmation, contract notes, documents, reports and alerts.
 - d) The client shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password. Unless the client lodges a complaint with FBPL as to his inability to access the system, it would be presumed that contract notes and all other documents have been properly delivered to the client.
 - e) The client agrees that FBPL fulfils its legal obligation to deliver to the client any such document if sent via electronic delivery and FBPL has not received any report indicating bouncing back of such electronic delivery.

- f) The client shall complete the necessary formalities that are required under the provisions of the Information Technology Act, 2000 for getting the above facility. The client shall initially download the specified software or any other software specified by FBPL from time to time on our computer and the same shall be used for receiving, viewing, storing the Electronic documents including but not limited to digital contract notes, bills, Ledgers, statements of funds and securities, collateral statements, daily margin statements, notices, reports, letters, circulars, communications etc., that shall be sent by FBPL from time to time in respect of the trades / transactions that have been executed by me / us through FBPL.
- g) The client agrees not to receive the contract notes in paper form from FBPL. Provided however that in case when FBPL is not able to provide Contract Note to me / us through electronic medium due to any unforeseen events, FBPL would ensure that the contract note is sent to me / us in physical form as per the time schedule stipulated in the bye-laws, Rules and Regulations of the Exchanges.
- h) The client agrees that as an alternative to ^{Contract} l communication and / or in case of non-receipt of the electronic documents through e-mail he / she / they shall utilize the facility of accessing the website hosted by FBPL to access the Electronic documents.

II) Statement of Account in Digital Format: FBPL may send the Statement of Trading Account or other statements, related notices, circulars, amendments and records and documents by whatever name called (herein after referred to as "statements") to the client in electronic form on their registered e-mail ID. The client agrees and permits FBPL under the terms of this document to provide to the client, Statements through Internet (web based).

III) Copy of Client Registration Documents: FBPL may send the Client Registration documents vis., Account Opening Form, Mandatory and Voluntary Rights and Obligations, Risk Disclosure Document, Guidance Note, and a copy of any other document executed with the client (herein after referred to as "Registration documents") to the client in electronic form. The client hereby agrees and permits FBPL under the terms of this document to provide to the client, the Registration documents through Internet (web based).

IV) Terms governing issue of digitally signed Contract Notes / Statement(s) for Trading Account, Client Registration Documents, Digital Documents and other documents (herein after collectively referred to as "the Documents") in electronic form to your Email Id:

- a) The client undertakes to change the initial password of such e-mail account upon first login. The client shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of such e-mail accounts. FBPL shall not be liable to or responsible for any breach of secrecy. Unless the client lodges a complaint with FBPL as to his / her / its inability to access the system, it would be presumed that the documents ^{letters,} n properly delivered. The client agrees that the Documents may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.
- b) The client agrees that FBPL shall not be responsible for non-receipt of Documents sent via electronic delivery due to change in / incorrect email address provided by the Client for the purpose or for any other reason which inter alia include insufficient space in the inbox of the client, technical reasons or malfunction of the clients computer system / server / internet connection etc.,

It shall be the responsibility of the client to intimate FBPL of any change in the client's email accounts.

- c) FBPL shall not be liable or responsible for any statement received from frauds or impostors or any consequences thereof and shall not be liable for any problem which arises at the client's computer network because of the client receiving any such statement from FBPL.
- d) FBPL agrees that in case of receipt of bounced back notification from all the email account(s), FBPL shall make required delivery by any other electronic means or available download from the back office website immediately thereafter. However the client agrees that FBPL shall not take cognizance of out of office/out of station auto replies and the client shall be deemed to have received such electronic mails.
- e) The client hereby agrees to intimate FBPL of any change in E-mail ID immediately. f. The client understands and agrees that FBPL shall be entitled to charge to the client fees / charges for sending such Documents. Such fees and charges shall be intimated to the client from time to time by FBPL.
- f) The client acknowledges and accepts that the internet is an inherently unreliable medium of communication and provision of services due to the public nature of the communication and that the accuracy, reliability and soundness of such means of communication and provision of services depends upon, amongst others, the service providers and the telephone, modem, cables, systems, facilities and the like used and operated from time to time by such providers and other participants. Client acknowledges and further accepts that as a result of such unreliability, there are risks associated in using such means of communication including the congestion, breakdown, interruption or failure of transmission of the internet service or any communication equipment or facilities, errors, omissions or delay in the transmission and receipt of data and information.
- g) There are also other risks involved such as in the unauthorized access, tampering, modification or alteration of the service and / or the system, components and software used or comprised in the service which may result in the use, manipulation, retrieval or the theft or loss of data and information, including client personal data. The client agrees that the stock broker shall not be liable / responsible for such matters and resultant losses under any circumstances

2. Order Placement Instructions:

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing / modifying / cancelling order. Even if I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting / calling / E-mailing the FBPL in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my, my authorized representative or mandate holder's ^{cognizance} / instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN / Physical contract notes or trade confirmations through SMS and other modes. I indemnify FBPL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

3. PMLA Declaration:

I declare that I have read and understood the contents and the provisions of the PMLA Act 2002, which were also explained to me by FBPL officials. I further declare that I shall adhere to all the provisions of PMLA Act 2002. I further undertake and confirm that; I do not have any links with any known criminal. I

Account Opening Form - Individual v0.1

am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is deposited ^{Errors & Omissions:} and does not involve any black or Hawala money in any manner.

4. Not to act as Un-registered Sub-broker:

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case, FBPL perceives that I am acting as an unregistered sub-broker, FBPL has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owned by me to FBPL without the requirement of any notice from FBPL. Further, FBPL has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify FBPL from any loss / damage / claim arising out of such activity.

5. Indemnification:

I hereby indemnify and hold FBPL, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and / or expenses that are occasioned or may be occasioned to the FBPL directly or indirectly, relating to bad delivery of shares / securities and / or third party delivery, whether authorized or unauthorized and fake / forged / stolen shares / securities / transfer documents introduced or that may be introduced by or through me during the course of my dealings / operations on the Exchanges and / or proof of address, identity and other supporting / documents provided by me at the time of registration and / or subsequently. Indemnity of Joint Holdings: I hereby agree to indemnify and hold the FBPL harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and / or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

6. No Market Manipulation:

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronised trades, cross trades, self trades etc., or which could be termed as manipulative or fraudulent trades by SEBI / Exchanges. In case, I am found to be indulging in such activities, FBPL has every right to inform the Exchange / SEBI / other regulatory authority of the same and suspend / close my trading account.

7. Not Debarred by any Regulator:

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and / or Statutory authority to deal in securities directly or indirectly. I agree to inform FBPL, in writing, of any regulatory action taken by any Exchange or Regulatory / Statutory authority on me in future. In case, I fail to inform the same and FBPL on its own comes to know of such action, FBPL has the right to suspend / close my trading account and refuse to deal with me. Also, FBPL can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

8. Errors & Omissions:

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances FBPL shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold FBPL responsible beyond this and claim

additional damages / loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by FBPL.

9. Mutual Fund Service System (MFSS) Facility:

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that Know Your Client details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I / we further confirm that the details contained in same remain unchanged as on date.

I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by SEBI and AMFI. I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe / redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

Account Opening Form - Individual v0.1

Maintenance of Running A/c.- Letter of Authority

To

M/s. Flattrade Broking Private Limited,
 “Kochar Technology Park”,
 6th Floor, SP 31-A, 1st Cross Road,
 Ambattur Industrial Estate,
 Ambattur, Chennai – 600 058.

Dear Sir,

I / we are dealing through you as a client in Capital Market and / or F & O segment and / or Currency Segment and / or Interest Rate Future Segment / Commodity Segment & Option Segment and in-order to facilitate ease of operations and upfront requirement of margin for trade. I / we authorize you as under:

I / we request you to maintain running balance in my account and retain the credit balance in my / our account and to use the unused funds towards my / our margin pay-in / other future obligation(s) at any segment(s) of any or all the Exchange(s) / Clearing Corporation unless I / we instruct you otherwise. I / we further authorize FBPL to settle the funds atleast once in a calendar quarter / month as specified by me below in accordance with regulations in force.

Quarterly Monthly

In case, I / we have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds towards margin liability as on the date of settlement of running account, in all segments and additional margins (maximum upto 125% of total margin liability on the day of settlement). The margin liability shall include the end of the day margin requirement excluding the MTM and pay-in obligation, there, you may retain 225% of the total margin liability in all the segments across the exchanges.

I/ We hereby authorise you to settle the entire credit balance in case there is no transactions in the 30 calendar days since the last transaction within three working days irrespective of the date when the running account was previously settled.

REF: SEBI Circular Ref. No.: MIRSD/SE/Cir-19/2009 dated December 03, 2009, SEBI/HO/MIRSD/MIRSD2/CIR/P2016/95 dated September 26, 2016, and SEBI/HO/MIRSD/DOP/P/CIR/2021/577 Dated June 16, 2021, regarding quarterly/ monthly settlement of running accounts of clients.

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

Account Opening Form – Individual v0.1

CONSENT FORM FOR RECEIVING TRADE ALERTS THROUGH SMS AND / OR E-MAIL

Client Name		Date	
a. Mobile Number			
b. Email ID			

I/We agree to the terms and condition specified by the Exchange vide circular No. MCX/T&S/165/2012 dated April 26, 2012 and circulars/clarifications issued by Exchange from time to time in this regard. I/We are/am also aware that this is an additional facility provided by the exchange and I/we shall not solely rely or use such data for any purpose and, Exchange shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

CLIENT DECLARATION & SIGNATURE

Name of Client	
Signature of Client	

Date

Place

Electronic Contract Note (ECN) – DECLARATION(VOLUNTARY)

To,
FLATTRADE BROKING PRIVATE LIMITED
Member : NSE,BSE &MCX
Kochar Technology Park, 6th Floor, SP 31-A, 1st Cross Road,
Ambattur Industrial Estate, Ambattur, Chennai - 600 058.

Dear Sir,
I/We, a client with Member M/s FLATTRADE BROKING PRIVATE LIMITED, of NSE,BSE&MCX undertake as follows.

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

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

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

-My/our email ID is "" This has been created by me/us and not by someone else.

-I/We am/are aware that this declaration form should be in English or any other language known to me.

-I/We am/are aware that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the above e-mailID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us.

I/We am/are aware of the risks involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

CLIENT DECLARATION & SIGNATURE	
Name of Client	
Signature of Client	
Date	Place

Account Opening Form - Individual v0.1

Commodity Categorization

To,
 Flattrade Broking Private Limited,
 Kochar Technology Park, 6th Floor, SP 31-A, 1st Cross Road,
 Ambattur Industrial Estate, Ambattur, Chennai - 600 058.

With reference to the SEBI Circular No. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 Dated, January 04, 2019, In order to enhance transparency to the public in Commodity Derivatives Markets and also as recommended by Commodity Derivatives Advisory Committee (CDAC), we request your consent for each Commodity on Self Declaration basis for the following to report to Exchange.

Commodity	Farmers / FPOs	Value Chain Participants	Proprietary Traders	Domestic Financial Institutional investors	Foreign Participants	Others(All other participants which cannot be classified in the 5 categories)

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

participants

RULES & REGULATIONS

To,
Flattrade Broking Private Limited,
Kochar Technology Park,
6th Floor, SP 31-A, 1st Cross Road,
Ambattur Industrial Estate,
Ambattur, Chennai - 600 058.

1. Please maintain secrecy of your User Name and Password and never Share your Login Credentials / User Name and Password with anyone.
2. All Bank Accounts from which the client will issue cheques should be registered with FLATTRADE BROKING PRIVATE LIMITED. Third party cheques will not be accepted at any cost.
3. Flattrade will not accept any cash from its clients and will not pay by cash to its clients. Clients are strictly advised not to do any cash transactions with any of the sub brokers / staffs/associates of Flattrade. Flattrade Broking Private Limited will not be responsible for any cash transactions with any of the sub brokers / staffs /associates of Flattrade. Flattrade Broking Private Limited will not be responsible for any cash transactions.
4. Flattrade does not do any portfolio type of trading. Clients are advised not do any such activity with any of our sub brokers / associates / staffs.
5. Flattrade will not give any third party cheques at any cost and the cheques will be issued only from the Flattrade Broking Private Limited Bank account.
6. Kindly check the emails on a daily basis. We send all your contract notes, Daily Activity Reports, Longshort Positions, Ledgers on a daily basis to your email id. Discrepancies/Disputes if any, should be brought to our knowledge immediately. please write to us at support@flattrade.in
7. Daily the clients will be received a SMS from Flattrade with all the account details, Trade confirmations and their pending positions
8. Delayed payment charges @ 2% per month on account of delay / failure by the client in meeting the pay-in / margin obligations / mark to market obligations on the scheduled date till date of payment. Not consider any credit balance in other family or group account of the client while computing delayed payment charges on the debit balance in the running account of a client.
9. The above levy is only a penal measure incase of a client default in meeting settlement and margin obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges.
10. We are not a dealer and not selling any automated software, charts, technical analysis softwares etc., to our clients for placing orders / trading purposes. Flattrade neither have arrangements nor tied up with any vendor for selling any kind of automated software, technical analysis softwares etc., to our clients.

Account Opening Form - Individual v0.1

11. Flattrade neither providing any advisory regarding trading of stocks / commodities nor we offer Portfolio Management Services (PMS). Please be aware of unauthorised website / SMS / Emails / whatsapp / chats etc., for trading calls or PMS in our name. If you find any suspicious messages / chats with our name, please report the same to ftc@ftconline.in or call and inform us 044-6132 9696.

DECLARATION

I have read and understood all the terms and conditions of Flattrade Broking Private Limited mentioned in the Account Opening Form. I also read and understood the rules and regulations of Flattrade Broking Private Limited mentioned above and I will abide the same. I Further state and confirm that I have read & understood all the clauses of Risk Disclosure Document - RDD and Rights & Obligations. I will do all the trading on my own and I will not allow anyone else to do the trading on my behalf. I ensure you that I will not do any Portfolio Business through any associates of Flattrade Broking Private Limited. We are aware that Flattrade Broking Private Limited will not accept Cash, Un-mapped Bank account and / or Third Party Cheques from their clients. We are completely aware that Flattrade Broking Private Limited not selling any automated software, charts, technical analysis software etc., to their clients. I have been made understood by Flattrade Broking Private Limited that Flattrade Broking Private Limited will not be held responsible for all mis happenings, if I do not follow the Rules & Regulations.

CLIENT DECLARATION & SIGNATURE	
Name of Client	
Signature of Client	
Date	Place

MARGIN TRADING FACILITY (MTF)

Margin Trading Facility (MTF) is the facility offered by M/s Flattrade Broking Private Limited to fund its clients for the purchase of shares and securities and allow them to take a benefit of trading opportunities by taking delivery of shares based on margin. (The product hereinafter called as MTF).

I / we wish to avail the Margin Trading Facility (MTF) on the platform of National Stock Exchange of India Ltd., (NSE) as per the framework prescribed by SEBI vide its Circular No. CIR/MRD/DP/54/2017 dated, 13th Jun 2017.

Further I / we have read and understood "Rights and Obligation of Stockbrokers & Client for Margin Trading Facility (MTF)" as prescribed by NSE vide its Circular No. NSE/COMP/35260 dated, 30th Jun 2017 and BSE Vide its Circular No. 20170619-26 dated 19th Jun 2017.

I / we have read and understood the "Policies & Procedures for MTF" as specified by Flattrade Broking Private Limited (FBPL) regarding terms and conditions of Margin Trading Facility, method of communication for confirmation of orders / trades, margin calls and calls for liquidation of collateral / securities / positions etc. and agreed to abide by the clauses mentioned therein all the times. Further, I/we will refer to FBPL website www.flattrade.in from time to time for any updation w.r.t. Policies and Procedures.

Collection of Margin:

The margin is collected in Cash & Securities by way of pledge from the client who wish to trade in MTF Segment. Approved Securities List is available in our Website (www.flattrade.in) download page along with the Hair-cut valuenaming Acceptance of Approved Securities List.

Kindly refer the same before Pledging. Please find below the DP Account details to pledge the securities:

Account Type	DP ID	DP NAME	CLIENT ID
TM Client Securities Margin Pledge A/C	12080300	FBPL	

Setting of Exposure: Trading is allowed only against available margin in client's MTF account. For this purpose, margin should be available at the time of entering trade in the cash segment of NSE in the form of credit balance either cash or pledged securities value in the MTF segment of the client's trading account. The shares purchased by the client will be given to Pledge in the below mentioned DP Account of Client Security Margin Funding Account. The securities will be delivered to the clients own Beneficiary account on making the full payment and based on the request or delivered to the Exchange Pool a/c on obligations / selling of shares automatically.

Account Type	DP ID	DP NAME	CLIENT ID
Client Security Margin Funding A/C	12080300	FBPL	

Exposure for Approved Securities Buying under Product MTF :

The facility will be applicable only for approved securities. List of approved securities details are updated in our website (www.flattrade.in) download page naming "Approved Securities List for Buying".

Account Opening Form - Individual v0.1

At the time of order placing, always select the product code as “MTF” and place orders using the exe or mobile application provided for trading. Approved Securities List will be reviewed on monthly basis and the changes can be taken place with addition / removal of stocks. The clients will be provided additional One Time Margin for purchase of approved securities and the payment needs to be made to Flattrade Broking Private Limited whenever required. **For purchase of unapproved stocks, client must use the product code “CNC” for placing order and Unapproved Stocks are not allowed under MTF.**

Adjustment of Credit Balances in Regular Account with MTF Account:

Client has to make separate request by sending mail to accounts@ftconline.in / via MTF fund transfer option available in the application to transfer the Credit balance from their Normal Account to MTF account. The fund transfer will not be happened automatically from normal ledger to MTF Ledger and on receipt of request only transfer will be affected. Whenever there is short fall in margins, company having right to move the funds from the normal ledger to MTF ledger without intimation to the clients. Further, if there is debit in normal ledger, excess margin amount available in the MTF margin account, the same will be adjusted with the debit in the normal ledger automatically.

Interest Charges for MTF:

Interest will be levied @ 18 % p.a. for MTF Funded value after adjusting the Cash Margin available in the client's MTF margin ledger. In case, if the client provided securities through pledge as non-cash component towards margin, the same will not be considered towards interest calculation and interest will be charged for entire Funded value. Interest Charges will be calculated on a daily running balance and debited to the client ledger by end of the week. While calculating interest, the credit lying in Normal Ledger will not be considered and hence, please make the fund transfer request as explained above. Increasing the interest rates will be done by the company with the prior intimation notice to the clients.

Liquidation of the position under MTF:

If the client is not made good the Mark to Market (M2M) losses or margin short fall within 5 working days from the date of margin call, position will be squared off to the extend of the M2M losses or margin call with the discretion of the stockbroker.

If the securities are moved out of approved securities list by Flattrade Broking Private Limited and or Group 1 securities list provided by exchange / SEBI, client is expected to clear the debit and take delivery to his demat account immediately. Otherwise, position will be squared off by Flattrade Broking Private Limited without giving any intimation.

In case if the client is not fulfilled the Mark to Market (M2M) losses and or Margin shortfall and the same reaches 75% and the client is not made good on the Mark to Market losses and or margin shortfall, MTF Funded stock will be squared off immediately. Even after the square off the funded stock, there is shortfall in margin or debit in the trading account, collateral securities pledged towards margin also will be squared off and set off the losses occurred on the trading account of the client. Flattrade Broking Private Limited cannot guarantee the price at the time of square off and the orders are placed on market and the position will be squared off on the prevailing market price which is traded on the exchange.

If the securities are purchased in the market and the said securities are not received from the exchange or due to internal matching and the auction / Closed Out rates are provided by the exchange or as per policy, then the said MTF position will be liquidated and the necessary credits are passed on the client account.

In the event of any corporate action on a particular scrip held in the client's account, the funding amount associated with the scrip will be liquidated. The client must clear any resulting debit within T+1 day.

Account Opening Form - Individual v0.1

Failure to clear the debit within the stipulated time will grant FLATTRADE the right to square off the client's positions without further notice

Terms and Conditions:

1. Flattrade Broking Private Limited reserves the absolute right to either allow or refuse the aforesaid facility without giving any reasons to the clients and I agree that I shall not dispute the result in any manner whatsoever.
2. All Transactions in my account shall be subject to Margin Trading Facility rules and regulations of the exchange / SEBI.
3. The Maximum credit limit for a client will not exceed 10% of the net worth of the company computed as per SEBI Guidelines. However, Flattrade Broking Private Limited reserves the right to reduce the maximum credit limit at any time without any prior intimation or assigning any reasons thereof.
4. The maximum single scrip funding limit for a client will not exceed Rs.50 Lakhs where the scrip is part of Nifty, CNX 100 and Junior Nifty collateral and will not exceed Rs.25 Lakhs where the scrip is not part of Nifty, CNX 100 and Junior Nifty.
5. In order to avail margin trading, initial margin and maintenance margin required at all times shall be as prescribed by SEBI which is as under.

Category of Stock	Initial margin & maintenance margin as prescribed by SEBI	Initialmargin and maintenance margin as set-in trading platform
Group I stock available for trading in F&O Segment	VaR + 3 times applicable ELM	VaR + 4 times applicable ELM with minimum margin of 25%The margin will be determined as the highest of the following:(i) VAR + 4× applicable ELM, (ii) 25% of buy value, or (iii) Exchange-prescribed applicable margin (VAR+ELM+Adhoc) for the respective stock.
Group I stock other than F&O stocks	VaR + 5 times ELM	VAR + 6 times ELM with minimum margin of 25%The margin will be determined as the highest of the following:(i) VAR + 6× applicable ELM, (ii) 25% of buy value, or (iii) Exchange-prescribed applicable margin (VAR+ELM+Adhoc) for the respective stock.

6. Mark to Market (MTM) loss if any on the funded stocks should be paid immediately under this funding facility.
7. Margin call will be initiated by Flattrade Broking Private Limited at any time if the client fails to meet the daily mark to market. Margin calls to the client shall be made in the form of E-Mail to the registered email id or SMS to the registered mobile number or both by the company.
8. Upon receipt of the margin call, I agree to bring additional margin amount within the specified time to cover the margin short fall and make good of such deficiency in the amount of margin placed with the company. Margin shortfall can be replenished by way of online fund transfer / by pledging additional collateral stocks / by transferring the funds from the normal trading account to the MTF Account.
9. If there is a margin call on MTF Account and have the credit balance in the normal trading account, Flattrade Broking Private Limited reserves the right to transfer any clear credit balance from the normal trading account to MTF Account. By agreeing to this terms and conditions, you give Flattrade Broking Private Limited the explicit right to do this transfer without any intimation to you.

Account Opening Form - Individual v0.1

10. Margin Trading Facility allowed under this facility can be continued for a long period till it is terminated by you or Flattrade Broking Private Limited.
11. Flattrade Broking Private Limited at its discretion, may liquidate, close out / sell shares, a part of or whole position if I fail to meet the margin call made by the company within the specified time, without prior intimation to me.
12. Flattrade Broking Private Limited has full lien on cash and security balances in my trading / depository account and Flattrade Broking Private Limited may sell such securities lying with this demat account on account of any loss arising out of squaring off or sale of securities. Flattrade Broking Private Limited will not be liable for any cost or damage or any consequences thereof.
13. If there are no transaction for 90 days in the MTF Account and where MTF Account is in credit, then the same would be settled as per the running account settlement process.
14. I / We shall loge / protest any disagreement with any transactions done under the MTF facility within 2 days from the receipt of the contract note.
15. The stock valuation of fully paid securities in the Collateral account will be determined by Flattrade Broking Private Limited after applying the necessary haircuts from time to time.
16. Flattrade Broking Private Limited reserves the absolute right to withdraw this aforesaid facility at any time without giving any reasons thereof, and I shall not protest or take a stand against them.
17. If this MTF facility is granted to me\us, I\We shall have no right to revoke the POA or withdraw the Collateral, unless and until all the claims, demands, loss, damages, penalties, and liabilities are settled with Flattrade Broking Private Limited.
18. The brokerages and other regulatory charges etc. are applicable for each trade that is executed through the Margin funding account.
19. By signing and agreeing to the terms and conditions of MTF, I\We give my\our explicit permission to move the MTF trades to my MTF account daily basis.
20. I\We have the right to terminate this facility if, at any time, Flattrade Broking Private Limited breaches its terms and conditions.
21. I\We agree that, have received the Risk Disclosure document, Rights & obligations, Policies, and procedures, and read, understood and accepted the same.
22. Flattrade Broking Private Limited will have a discretion to alter / change any of the information / parameter defined in the policy on the basis of prevailing market conditions with or without intimation to the clients and can use their discretion to grant any kind of exemption / permission in case they deem fit on case to case basis.
23. I/we hereby confirm that I/we will continuously monitor the positions and the Margin Calls issued to me/us by Flattrade Broking Private Limited and I/we will top up the Margin immediately. I/we hereby confirm that I/we am/are aware that the Policy is tends to be changed depending on the market scenario and we will update myself/our^{damage} ar intervals

CLIENT DECLARATION & SIGNATURE	
Name of Client	
Signature of Client	
Date	Place

RIGHTS & OBLIGATIONS OF STOCK BROKERS AND CLIENTS FOR MARGIN TRADING FACILITY (MTF)

CLIENT RIGHTS

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stockbroker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

CLIENT OBLIGATIONS

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the timelines specified by the broker failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as the Stockbroker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stockbroker within such time as the Stockbroker may specify.
5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

STOCK BROKER RIGHTS

1. Stockbroker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Stockbroker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stockbroker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility..
3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

STOCK BROKER OBLIGATIONS

1. Stockbroker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stockbroker may take consent in writing in his own hand or in any

Account Opening Form - Individual v0.1

- irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.
 3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stockbroker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
 4. The Stockbroker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
 5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
 6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
 7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
 8. The Stockbroker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
 9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
 10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
 11. Margin Trading Accounts where there were no transactions for 90 days shall be settled immediately.
 12. The stocks deposited as collateral with the stockbroker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount.
 13. Stockbroker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

TERMINATION OF RELATIONSHIP

1. The margin trading arrangement between the stockbroker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stockbroker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.

Account Opening Form - Individual v0.1

3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stockbroker. The Stockbroker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stockbroker to make such adjustment.
4. After such adjustment, if any further amount is due from the client to the Stockbroker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stockbroker, the Stockbroker shall release the balance amount to the client.
5. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

CLIENT DECLARATION & SIGNATURE	
Name of Client	
Signature of Client	
Date	Place

**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/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 DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

Account Opening Form - Individual v0.1

Policy on Handling of Good Till Cancelled (GTC) Orders /Good Till Trigger (GTT) Orders

This document outlines the policy adopted by Flattrade Broking Private Limited in accordance with the requirements prescribed under NSE Circular No. NSE/INSP/62528 dated June 21, 2024 regarding handling of Good Till Cancelled (GTC), Good Till Triggered (GTT) or similar type of orders.

1. Background

Pursuant to the directions issued by the National Stock Exchange of India Limited (NSE) via circular NSE/INSP/62528 dated June 21,2024, trading members are required to frame a clear and transparent policy regarding Good Till Cancelled (GTC) / Good Till Triggered (GTT) orders, or orders of similar nature. This policy is to ensure investor protection and consistency in order handling practices across members.

2. Scope and Applicability

The Exchanges have stated that the policy shall include –

- a) Details of Good Till Cancelled/Good Till Triggered/Orders of similar type provided by member including its validity.
- b) Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- c) Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action

3. Details of Good Till Triggered / orders –

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

Account Opening Form - Individual v0.1

- j. All securities in BSE & NSE except securities in Mutual Fund, Debt Segment, NCD and Bonds are eligible for the placing GTT order.
- k. GTT Buy Order

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

Example as below:

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

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

Example as below:

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

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

Example as below:

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

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

Example as below:

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

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

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

4. Handling in Case of Corporate Actions

We shall be sending an communication through an email regarding corporate action related to GTT orders, and the client has to take action accordingly.

5. Updating Clients of upcoming Corporate Actions:

Clients shall review their GTT orders pro-actively whenever there may be impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

6. Client Communication and Disclosure

The said policy shall be made part of the Account Opening Form/Kit under heading "Policy on Handling of Good Till Cancelled Orders of Client" of Policy and Procedures document and shall also be displayed on the Flattrade website.

7. Policy Review

The said policy shall be reviewed on an annual basis.

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

ACKNOWLEDGEMENT

To
 M/s.Flattrade Broking Private Limited,
 Kochar Technology Park,
 6th Floor, SP 31-A, 1st Cross Road,
 Ambattur Industrial Estate
 Ambattur, Chennai – 600 058.

Dear Sir,

This is to acknowledge the receipt of the following documents. I further state and confirm that I have read and understood all the clauses of aforesaid document. I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Flattrade Broking Private Limited.

S.No.	Brief Significance of the Document
Equity & Commodity Segment	
1.	Rights and Obligations for Equity & Commodity
2.	Risk Disclosure Document (RDD)
3.	Guidance Note Do's and Don'ts for trading on the Exchanges for Investors
4.	Policies and Procedure document pursuant to the SEBI Circular Dt: 03.12.2009
5.	Duly executed copy of KYC & Tariff Sheet
6.	Voluntary Documents executed with the Trading Member
7.	Most Important Terms And Conditions (MITC) (For Non-Custodial Settled Trading Accounts)
8.	Policy On Handling Of Good Till Cancelled (GTC) Orders / Goods Till Trigger(GTT) Orders
9.	Risk Management Policy
10.	Additional Risk Disclosure – Options Trading
Depository Operation	
1.	Rights & Obligations for DEMAT Account

I have executed the voluntary documents without any compulsion, and I read and understood the same. The above documents are binding on me.

Yours faithfully,

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

AUTHORIZATION FOR ACCOUNT MODIFICATION REQUESTS

I / We hereby authorize you to carry out any addition, modification and/or removal of my details like Mobile No & E-mail ID without supporting documents and Bank Details, DP Details, Address Details with supporting documents duly self attested including brokerage plan changes sent through my Registered Mail ID with you to your Mail ID support@flattrade.in and/or or intimation through an interface provided by you, whereto I have been allowed secured access.

Request for updation of same mobile number / email id

Client Name	
Mobile No	
Email Id	

Option for issuance of DIS booklet along with account opening

To be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker / Portfolio Manager and do not intend to open a Basic Services Demat Account.

Client Name	
Date	
Pan	
I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.	
I/We hereby accept to trade with online delivery instruction slips in the CM segment.	
Signature of the client	

Client Declaration

I hereby confirm that I have read and understood the contents of the form including declarations, authorization and have also verified the information in the form. I hereby confirm that I have digitally signed the form including declarations, authorizations and copy of documents at all places with inscription

'Digitally Signed by

CLIENT DECLARATION & SIGNATURE	
Name of Client	
Signature of Client	
Date	Place

Account Opening Form - Individual v0.1

AUTHORITY LETTER

With respect to the client - member relationship with you, we authorize you to do the following:

1. Adjustment of account between exchanges and segments :

I/we hereby inform you that I have executed/intend to execute an agreement with you for trading on different exchanges, i.e., NSE, BSE & MSEI in cash and derivative segments. I/We request you to transfer, make adjustments and/or set off a part or whole of the securities placed as margin and/or any surplus funds in any of the accounts maintained with you against the outstanding dues payable if any, by me/us to any of my/our account(s) maintained with you. You will have lien on the credit balance in any of my/our account for meeting the debit or obligations in progress in any other of my/our account. Any entries passed by you in accordance with this authorization will be binding on me/us.

2. Authorization to debit Demat Account operating charges :

I/We opened/ have a Beneficiary account with you and I/we have a trading account with you for investment and trading purpose. It will be very difficult for me/us to issue separate cheques against your depository bills. Hence, I authorize you to debit the trading account for the debit charges payable to you as Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

3. Authorization For Communication Of Financial Products

I/We have opened an account with you and am/are interested in knowing about other financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which Flattrade Broking Private Limited, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute; through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

Please score out whatever not accepted/ not agreed with.

CLIENT DECLARATION & SIGNATURE	
Name of Client	
Signature of Client	
Date	Place

MUTUAL FUND SERVICE SYSTEM FACILITY

I/We am/are registered as your client with Client Code No. and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd./ National Stock Exchange of India Ltd.(Exchange).

I/We am/are interested in availing the BSE STAR MF/MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF/ MFSS of the Exchange. For the purpose of availing the BSE STAR MF/ MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE STAR MF/ MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 24, November 2009 & 2, December, 2009 for NSE & BSE Respectively and as may be specified by the Exchanges from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS/ BSE STAR MF.

Details of terms & conditions for the Investor /Client for using New BSE STAR MF/MFSS facility

A. Pre-requisites for becoming Investor / Client for the BSE STAR MF/MFSS facility

1. The client who is desirous of investing in units of mutual fund schemes through the New BSE STAR MF/MFSS.
2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New BSE STAR MF/MFSS.
3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
4. The Client has approached to the Participant with the application for availing the New BSE STAR MF/MFSS facility.
5. The client has submitted relevant KYC (Know Your Client) details to the Participants.

B. Terms and Conditions

1. The client shall be bound by circulars issued by BSE/NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.

Account Opening Form - Individual v0.1

2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New BSE STAR MF/MFSS or at any time thereafter.
3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
5. The client shall be wholly responsible for all his investment decisions and instruction.
6. The client shall ensure continuous compliance with the requirements of the BSE, NSEIL, SEBI and AMFI.
7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or BOISL / NSEIL or NSCCL.
10. In case of any dispute between the Participants and the investors arising out of the BSE STAR MF Fund / MFSS facility, BSE and /or BOISL and NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

FACILITY PROVIDED TO CLIENTS FOR VOLUNTARY FREEZING / BLOCKING ONLINE TRADING ACCOUNT

Policy is framed to provide the facility of voluntary freezing/ blocking the online access of the trading account, used by the clients, on account of suspicious activities.

Objective and scope: This policy is applicable to clients using online trading platform with the option to temporarily freeze their online trading accounts if any suspicious activity is observed in the trading account.

Methods Available for Clients to Freeze/Block Online Access:

1. **Trading App:** Clients can use the FLATTRADE Trading application available on Desktop, Web, and Mobile platforms. Using their user ID and password, clients can request freezing/blocking of their online trading account.
2. **Email:** Clients can send an email from their registered email ID to a dedicated email ID: stoptrade@flattrade.in to initiate the freezing/blocking of their trading account. The timelines for freezing/ blocking of the online access of the clients' trading account is as under

Methods Available for Clients to Freeze/Block Online Access:

1. **Trading App:** Clients can use the FLATTRADE Trading application available on Desktop, Web, and Mobile platforms. Using their user ID and password, clients can request freezing/blocking of their online trading account.
2. **Email Request:** FLATTRADE will validate the client's email request from the registered email ID. After successful validation,
 - a) The team will contact the client to confirm the request and proceed with canceling all pending orders before freezing/blocking the trading account.
 - b) In case client is not reachable, FLATTRADE will cancel all pending orders based on the request and freeze/block the trading account.
3. **Responsibility of Open Positions:**
 - a) FLATTRADE will not close out any open positions in the client's trading account.
 - b) It is the client's responsibility to close all open positions before freezing/blocking the trading account.
4. **Communication:** Upon freezing/blocking the account, FLATTRADE will send an SMS/Email communication to the client's registered email ID, confirming the cancellation of all pending orders and detailing any open positions as stipulated by SEBI / Exchanges.
5. **Reactivation:**
 - a) If a client wishes to reactivate their trading account, they must send an email to stoptrade@flattrade.in from their registered email ID.
 - b) Upon verification, the account will be reactivated, and an email confirmation will be sent to the client's registered email ID.

Account Opening Form - Individual v0.1

This policy ensures that clients can voluntarily freeze or block their trading accounts to protect against suspicious activities while maintaining clear communication and validation procedures.

Reference: SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024

CLIENT DECLARATION & SIGNATURE	
Name of Client	
Signature of Client	
Date	Place

Nomination Form

M/s. Flattrade Broking Private Limited		FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)			
Kochar Technology Park, 6 th Floor, SP 31-A, 1st CrossRoad, Ambattur Industrial Estate, Ambattur, Chennai – 600 058.					
Date		UCC/ DP ID		Client ID	
Client ID with Spaces(tabs)					
I/We wish to make a nomination. [As per details given below]					
Nomination Details					
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.					
Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee	
1.Name of the nominee(s) (Mr./Ms.)					
2.Share of each Nominee	Equally [If not equally, please specify percentage]	Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
3.Relationship With the Applicant (If Any)					
1. Address of Nominee(s) City / Place: State & Country:		Pincode		Pincode	
5.Mobile / Telephone No. of nominee(s)					
6.Email ID of nominee(s)					
7.Nominee Identification details- (Please tick any one of following and provide details of same) Aadhaar Savings Bank Photograph & Signature PAN Aadhaar Savings Bank account no. Proof of Identity Demat Account ID					
Sr. Nos. 9 - 14 should be filled only if nominee(s) is a minor:					
8.Date of Birth in case of minor nominee(s)					
9.Name of Guardian (Mr./Ms) in case of minor nominee(s)					
10.Address of Guardian(s) City / Place: State & Country:		Pincode		Pincode	

Account Opening Form - Individual v0.1

11.Mobile/TelephoneNo.of Guardian			
12. Email ID of Guardian			
13.Relationship of Guardian with nominee			
14.Guardian Identification details - [Please tick any one of following and provide details of same] Photograph & Signature PAN Aadhaar Savings Bank account no. Proof of Identity 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, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Note:

- a) This nomination shall supersede any prior nomination made by the account holder(s), if any.
- b) The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

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 on Mandatory Nomination for Eligible Trading and Demat Accounts]

Date:

To

Flattrade Broking Private Limited

Regd. Office : "Kochar Technology Park", 6th Floor, SP 31-A, 1st Cross Road,
Ambattur Industrial Estate, Ambattur, Chennai – 600 058.

Phone : 044 - 6132 9696 Email : ftc@ftconline.in Web : www.flattrade.in

UCC/DP 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 may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

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

CLIENT DECLARATION & SIGNATURE

Name of Client

Signature of Client

Date

Place

Account Opening Form - Individual v0.1