

CKYC No.		FORM No.	
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Bharat Bhushan Equity Traders Ltd.

Member NSE Capital Market, Currency Derivatives & F&O
 BSE Capital Market & F&O
 Depository Participant : NSDL

CLIENT REGISTRATION KIT (CASH, F&O, CURRENCY & DEMAT ACCOUNT)
For: <input type="checkbox"/> INDIVIDUAL <input type="checkbox"/> NRI



BRANCH CODE/NAME		
GROUP (RM) CODE/NAME		
CLIENT CODE/NAME		
DP ID / CLIENT ID		
MOBILE / E-MAIL ID		
DATE OF OPENING / CLOSING		

Thinking Investments...Contact Bharat Bhushan

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INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
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		B. Document captures the additional information about DP Account Nomination Form, FATCA Declaration & Tariff Sheet.	5 to 12
		C. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	13 to 15
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	As per separate Booklet Page 1-8
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
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BHARAT BHUSHAN EQUITY TRADERS LIMITED

MEMBER : NSE (Capital Market, Currency Derivatives and F&O Segment)

BSE (Capital Market and F&O Segment)

SEBI REGN. NO.: INZ000204433, Dt. 01-10-2018

DP : NSDL • SEBI REGN. NO.: IN-DP-545-2021 • DP ID : IN301209

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Ph.: +91-11-49800900 • Fax : +91-11-49800933

Email : nse@bharatbhushan.com • Website : www.bbinvestments.in

Compliance Officer's Details

Name : Mr. Sanjay Rajora Ph.: +91-11-49800900

E-mail Id : compliance@bharatbhushan.com Mob.: +91-9312962804

CEO Details

Name : Mr. Vijay Bhushan Ph.: +91-11-49800900

E-mail Id : corporate@bharatbhushan.com

For any grievance/disputes please contact **BHARAT BHUSHAN EQUITY TRADERS LIMITED**, at the above address or email id **investorgrievance@bharatbhushan.com** and Phone No. 49800900. In case not satisfied with the response, please contact the concerned exchange(s) at :

Exchange Name

National Stock Exchange of India Ltd.

Bombay Stock Exchange Ltd.

NSDL

E-mail ID

ignse@nse.co.in

iscdelhi@bseindia.com

relations@nsdl.com

Phone No.

022-26598182, Toll Free : 1800 22 0051

011-41510481

022-24994200

* Clearing Member : GLOBE CAPITAL MARKET LTD.

609, Ansal Bhawan, 16, K. G. Marg, Connaught Place, New Delhi-110 001

NSE F&O / NSE CD / BSE F&O SEBI Regn. No.: INZ000177137

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A. IMPORTANT POINTS:

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

B Proof of Identity (POI) :- List of documents admissible as Proof of Identity:

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

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

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

ADDITIONAL INSTRUCTIONS/ CHECK LIST FOR DERIVATIVES

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/sub-broker's office.
- 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.

BHARAT BHUSHAN EQUITY TRADERS LIMITED

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001 • Ph.: +91-11-49800900, Fax : +91-11-49800933

Know Your Customer (KYC) Application Form | Individual

Important Instructions:

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



Photograph

Please affix your recent passport size photograph and sign across it.

For office use only

(To be filled by financial institution)

Application Type* New Update

KYC Number _____ (Mandatory for KYC update request)

Account Type* Normal Simplified (for low risk customers) Small

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

1.	Name* (Same as ID proof)	
2.	Maiden Name (if any)*	
3.	Father's / Spouse Name*	
4.	Mother's Name*	
5.	a) Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	b) Marital Status* <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others
6.	a) Citizenship* <input type="checkbox"/> IN - Indian <input type="checkbox"/> Other (ISO 3166 Country Code _____)	b) Residential Status* <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin
7.	PAN	
8.	Date of Birth	Place/City of Birth
9.	Occupation Type* (<input type="checkbox"/> S-Service <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Sector) (<input type="checkbox"/> O-Others <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X - Not Categorised	
10.	Income Range :	<input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs 1 - 5 Lac <input type="checkbox"/> Rs. 5-10 Lac <input type="checkbox"/> Rs. 10 - 25 Lac <input type="checkbox"/> More than Rs. 25 Lac (per annum)

2. ADDRESS DETAILS

1.	Local / Correspondence Address								
		City/Town/Village*		PIN/Post Code*					
		State/U.T. Code*		ISO 3166* Country Code					
2.	Contact Details (All communications will be sent on provided Mobile no./Email Id)	Tel. (Off.)		Tel. (Res.)					
		Fax No.		Mobile No.					
		Email ID							
3.	Current / Permanent / Overseas Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)								
		City/Town/Village*		PIN/Post Code*					
		State/U.T. Code*		ISO 3166* Country Code					

3. PROOF OF ADDRESS (POA)* (Please refer instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

- Address Type * Residential Business Residential / Business Registered Office Unspecified
Proof of Address * Passport Driving Licence UID (Aadhaar) Voter Identity Card NREGA Job Card
 Simplified Measures Account - Document Type Code Others _____

4. PROOF OF IDENTITY (POI)* (Please refer instruction C at the end)*(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)*

<input type="checkbox"/> A- Passport Number _____	Passport Expiry Date _____
<input type="checkbox"/> B- Voter ID Card _____	
<input type="checkbox"/> C- PAN Card _____	
<input type="checkbox"/> D- Driving Licence _____	Driving Licence Expiry Date _____
<input type="checkbox"/> E- UID (Aadhaar) _____	
<input type="checkbox"/> F- NREGA Job Card _____	
<input type="checkbox"/> Z- Others (any document notified by the central government) _____	Identification Number _____
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input type="text"/> <input type="text"/>	Identification Number _____

5. DETAILS OF RELATED PERSON (in case of additional related persons, please fill Annexure B1) (Please refer instruction G at the end)

<input type="checkbox"/> Addition of Related Person	<input type="checkbox"/> KYC Number of Related Person _____
<input type="checkbox"/> Deletion of Related Person	(if available)*

<input type="checkbox"/> Related Person Type*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative
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Name _____

(If KYC number and name are provided, below details of Section 6 are optional)

6. PROOF OF IDENTITY (POI)* OF RELATED PERSON* (Please refer instruction H at the end)*(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)*

<input type="checkbox"/> A- Passport Number _____	Passport Expiry Date _____
<input type="checkbox"/> B- Voter ID Card _____	
<input type="checkbox"/> C- PAN Card _____	
<input type="checkbox"/> D- Driving Licence _____	Driving Licence Expiry Date _____
<input type="checkbox"/> E- UID (Aadhaar) _____	
<input type="checkbox"/> F- NREGA Job Card _____	
<input type="checkbox"/> Z- Others (any document notified by the central government) _____	Identification Number _____
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input type="text"/> <input type="text"/>	Identification Number _____

7. APPLICANT DECLARATION

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.
- I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by NDML KRA only for the specific purpose of validating / maintaining / sharing my KYC record and as an audit evidence.
- I will have an option to request for deletion of my Aadhaar record.
- I/We hereby consent to receiving information from NDML KRA through SMS/Email on the above registered number/Email address.
- I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my 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

Place : _____

Date : _____ **Signature / Thumb Impression of the Applicant**  (2)**8. ATTESTATION / FOR OFFICE USE ONLY**Document Received Certified Copies Verified with Originals**KYC & IN-PERSON VERIFICATION CARRIED OUT BY**

Emp. Name / Code	
Emp. Designation	
Emp. Branch	
Emp. Signature	
Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

INSTITUTION DETAILS

Name : BHARAT BHUSHAN EQUITY TRADERS LIMITED
Code : IN 0077
NDML MI ID : P1158
CVL POS Code : 1800000110

BHARAT BHUSHAN EQUITY TRADERS LIMITED

DP : NSDL, DP ID : IN301209 • SEBI REGN. NO.: IN-DP-545-2021

Registered Office : 503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Ph.: +91-11-49800900 • Fax : +91-11-49800933

Email : dp@bharatbhushan.com • Website : www.bbinvestments.in

Annexure-J

PART II - ACCOUNT OPENING FORM (FOR INDIVIDUALS)

(To be filled by the Depository Participant)

Client ID										Date	D	D	M	M	Y	Y	Y	Y
-----------	--	--	--	--	--	--	--	--	--	------	---	---	---	---	---	---	---	---

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

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

A. TYPE OF ACCOUNT

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> Margin	<input type="checkbox"/> Promoter
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Others (Specify) _____

B. In Case of NRIs/Foreign Nationals/FIIs/Others (as may be applicable)

RBI Approval Reference Number		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration Number (For FIIs)										

C. DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Name
Sole/First Holder	
PAN	
Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Agriculturist <input type="checkbox"/> Professional <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Pl. Spcify) _____
Income Range : (per annum)	<input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs 1 - 5 Lac <input type="checkbox"/> Rs. 5-10 Lac <input type="checkbox"/> Rs. 10 - 25 Lac <input type="checkbox"/> More than Rs. 25 Lac
Second Holder	
PAN	
Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Agriculturist <input type="checkbox"/> Professional <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Pl. Spcify) _____
Income Range : (per annum)	<input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs 1 - 5 Lac <input type="checkbox"/> Rs. 5-10 Lac <input type="checkbox"/> Rs. 10 - 25 Lac <input type="checkbox"/> More than Rs. 25 Lac
Third Holder	
PAN	
Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Agriculturist <input type="checkbox"/> Professional <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Pl. Spcify) _____
Income Range : (per annum)	<input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs 1 - 5 Lac <input type="checkbox"/> Rs. 5-10 Lac <input type="checkbox"/> Rs. 10 - 25 Lac <input type="checkbox"/> More than Rs. 25 Lac
Brief Details	

D. BANK DETAILS

1.	Bank Account Type	<input type="checkbox"/> Saving A/c <input type="checkbox"/> Current A/c <input type="checkbox"/> Other (Pl. Specify)_____										
2.	Bank Account Number											
3.	Bank Name											
4.	Branch Address											
		City/Town/Village					Pin Code					
		State					Country					
5.	MICR Code											
6.	IFSC											

E. STANDING INSTRUCTIONS

1.	I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2.	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3.	Account to be operated through Demat Debit Pledge Instructions (DDPI)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
4.	SMS Alert facility : [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]			
	Sr. No.	Holder	Yes	No
	1.	Sole / First Holder	<input type="checkbox"/>	<input type="checkbox"/>
	2.	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
3.	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	
5.	Mode of Receiving Statement of Account (Tick any one)	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Read Note 4 and ensure that email ID is provided in KYC Application Form)		
6.	For Joint Accounts communication to be sent to (See note 5)	<input type="checkbox"/> First Holder <input type="checkbox"/> All Joint Account Holder		

F. MODE OF OPERATIONS FOR JOINT ACCOUNTS

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

NOMINATION FORM

(Annexure-A)

To, (To be filled in by individual applying singly or jointly)

BHARAT BHUSHAN EQUITY TRADERS LIMITED

Registered Office : 503, Rohit House, 3, Tolstoy Marg, New Delhi-110001
Ph.: +91-11-49800900 • Fax : +91-11-49800933

DATE	D	D	M	M	Y	Y	Y	Y	UCC									
DP ID	I	N	3	0	1	2	0	9	Client ID									

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 <small>Equally [If not equally, please specify percentage]</small>	%	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>			
3. Relationship with the Applicant (if any)			
4. Address of Nominee(s) City / Place State / Country PIN Code			
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]			
<input type="checkbox"/> Photograph & Signature	Please sign across the photograph	Please sign across the photograph	Please sign across the photograph
<input type="checkbox"/> PAN			
<input type="checkbox"/> AADHAAR			
<input type="checkbox"/> Saving Bank A/c No.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID			

GUARDIAN DETAILS (where sole holder is a minor) :

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

Guardian Name	
PAN	
Relationship of Guardian with Minor	

Sr. Nos. 8-12 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			
		PIN Code		
11.	Mobile/Telephone No. of Guardian			
12.	Email ID of nominee(s)			

	Name(s) of Holder(s)	Signature(s) of Holder
Sole/First Holder (Mr./Ms.)		 (3)
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.

Notes :

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination, are as below:
 - I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
4. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
5. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
6. For receiving Statement of Account in electronic form :
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this.
7. Strike off whichever is not applicable.

To,

BHARAT BHUSHAN EQUITY TRADERS LIMITED

Registered Office : 503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Ph.: +91-11-49800900 • Fax : +91-11-49800933

DATE	D	D	M	M	Y	Y	Y	Y	UCC								
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DP ID	I	N	3	0	1	2	0	9	Client ID								
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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.

Signatures of Holder(s)

 (4)

Signature of 1st Holder



Signature of 2nd Holder



Signature of 3rd Holder

FEMA / FATCA-CRS DECLARATION

To,

BHARAT BHUSHAN EQUITY TRADERS LTD.

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Phone : +91-11-49800900, Fax : +91-11-49800933

FEMA / FATCA-CRS Declaration

- Are you a Tax Resident any country other than India Yes No
- If Yes, please specify the details of all countries where you hold tax residency and its Tax Identification Number & Type

Sr. No.	Country of Tax Residency	Tax Payer Identification No.	Identification Type (TIN or other, please specify)
1.			
2.			
3.			

Declaration :

I acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may liable for it. I also declare that I have complied & will continue to comply with FEMA regulations.

Yours faithfully,

 (5)

(Client Signature)

Name : _____




Client ID/Trading Code : _____

Place : _____

Date : _____

DECLARATION

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

Holder	Name	Signature
Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor) /		 (6)
Second Holder		
Third Holder		



ACKNOWLEDGEMENT

BHARAT BHUSHAN EQUITY TRADERS LIMITED

Registered Office : 503, Rohit House, 3, Tolstoy Marg, New Delhi-110001
Ph.: +91-11-49800900 • Fax : +91-11-49800933

DP ID : IN301209

Received the application from Mr/Ms _____ as the sole/first holder
alongwith _____ and _____ as the second and third holder
respectively for opening of a depository account. Please quote the DP Id & Client Id allotted to you in all your future correspondence.

Date : _____

Participant Stamp & Signature

MOBILE NO. & E-MAIL ID DECLARATION

[Please tick (✓) wherever applicable]

1st Holder

DP ID	IN301209	Client ID		Date	
Name of Account Holder					
Mobile Number		Relationship with the person whose Mobile Number/ E-mail Id is provided (Tick ✓ wherever applicable.) <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents			
E-mail Id					
Signature of Account Holder		✍️ (7)			

2nd Holder

DP ID	IN301209	Client ID		Date	
Name of Account Holder					
Mobile Number		Relationship with the person whose Mobile Number/ E-mail Id is provided (Tick ✓ wherever applicable.) <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents			
E-mail Id					
Signature of Account Holder		✗			

3rd Holder

DP ID	IN301209	Client ID		Date	
Name of Account Holder					
Mobile Number		Relationship with the person whose Mobile Number/ E-mail Id is provided (Tick ✓ wherever applicable.) <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents			
E-mail Id					
Signature of Account Holder		✗			

BHARAT BHUSHAN EQUITY TRADERS LTD.

Depository Services SCHEDULE OF CHARGES

Effective From 01/07/2017

SCHEDULE-A

S.No.	DETAIL OF SERVICES	CHARGES
1	Account Opening	NIL
2	Account Closing	NIL
3	Annual Maintenance	Rs. 1500/- (Life Time) Rs. 350/- p.a. (Non-Life Time)
4	Sell (Mkt./Off-Mkt.)	Rs. 20/- per Transaction - For Lifetime AMC 0.03% Min. Rs. 15/- For Normal AMC Rs. 14/- for Speed-e Transaction Rs. 25/- for BSDA Account
5	Purchase (Mkt./Off-Mkt.)	NIL
6	Demat	Rs. 3/- per Certificate
7	Remat	0.3% (Min. Rs. 12/- per 100 Shares)
8	Pledge (Creation / Closure / Invocation)	0.02% (Min. Rs. 50/-)
9	Margin Pledge (Creation / Release)	Rs. 25/-
10	Margin Re-Pledge (Creation / Release)	Rs. 5/-
11	Custody	NIL
12	IDEAS / SPEED-E	Rs. 120/- p.a.
13	KRA Upload / Download Charges (w.e.f. 01-04-2012)	Rs. 100/- per PAN

I/We wish to open / do not wish to open BSDA account.

OTHERS :

- | | |
|---|--------------------------|
| a) Demat / Remat - Courier Charges | Rs. 40/- |
| b) Demat / Remat Rejection - Courier Charges | Rs. 40/- |
| c) Additional Delivery Instruction Book | Rs. 25/- |
| d) Lost / Misplaced Delivery Instruction Book | Rs. 50/- |
| e) Late Submission of Instructions on Pay-in-day | Rs. 10/- per instruction |
| f) Failed Instructions | Rs. 10/- per instruction |
| g) Modifications in Demat A/c | NIL |
| h) Document handling charges (per dispatch) | Rs. 25/- |
| i) Despatch of Physical CAS | Rs. 10/- |
| j) For BSDA AMC Charges, if value of Holdings Rs. ≤50,000/- | NIL |
| k) For BSDA AMC Charges, if value of Holdings Rs. ≥50,001/- & Rs. ≤2,00,000/- | Rs. 100/- p.a. |

- Note :**
- Charges quoted above are for the services listed and are exclusive of GST, Regulatory Charges and NSDL Charges.
 - Any service not quoted above will be charged separately.
 - Management reserves the right to Freeze/Suspend/Revise Charges of the account as per NSDL rules.

 (8)

Signature (Sole/First Holder)

⊗

Signature (Second Holder)

⊗

Signature (Third Holder)

D. PAST ACTIONS

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

1.
2.
3.

E. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

- **If Client is dealing through the authorised person, provide the following details:**

Auth. Person's Name : SEBI Regn.:.....

Registered Office Address :

City/Town/Village :Pin Code :

State : Country :

Phone No. : Fax : Website :.....

- **Whether dealing with any other stock broker/Auth. Person** (if case dealing with multiple stock brokers/auth. person, provide details of all)

Name of Stock Broker :

Name of Auth. person (if any) :

Registered Office Address :

.....Pin Code :

Client Code : Exchange :

Details of disputes/dues pending from/to such stock broker/auth. person :.....

F. ADDITIONAL DETAILS

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

Physical Contract Note Electronic Contract Note

Specify your Email id, if applicable :

- Whether you wish to avail of the facility of internet trading/ wireless technology Yes No (Pl. Specify.....)

- Number of years of Investment/Trading Experience Years

- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of Company Firm Others.....

- Any other information :

G. INTRODUCER DETAILS (Optional)

Name of the Introducer :

Status of the Introducer : Sub-broker Remisier Authorized Person Existing Client

Others, please specify

Address of the Introducer :

City/Town/Village :Pin Code :

State : Country :

Phone No. :

Signature of Introducer :

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

Any Other Information :

DECLARATION

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

Place :

 (10)

Date :

Signature of Client / (all) Authorised Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client :

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

Account Opened by :

Exchange activated & Mapped by :

Rechecked by :

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

Signature of the Authorised Signatory

Date

Seal/Stamp of the Stock Broker

POLICIES AND PROCEDURES:**1. Refusal of orders for penny stocks:**

BHARAT BHUSHAN EQUITY TRADERS LIMITED shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stock, illiquid stocks having low liquidity, illiquid "options", far month "option" writing of -options", stocks in S, Z and B2 Category and any other contracts which as per the perception of stock Broker are extremely volatile or subject to market manipulation.

Stock broker is advising to the clients not to deal in penny securities and if client deals with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin deposit. The stock broker shall have authority from time to time limit (quantity/ value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

2. Setting Up Client's Exposure Limits:

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.).

In case margin is kept in securities, Broker would value these securities after applying such haircut as it deems appropriate. Similarly for providing exposure to client, Broker can pledge such securities in favor of clearing member/ Clearing Corporation.

The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits.

Sometimes client's sauda may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode. The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client appx. 15 minutes before the scheduled closing.

3. Applicable Brokerage Rate :

Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client and/or subsequently through a written agreement between client and BHARAT BHUSHAN EQUITY TRADERS LIMITED. The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye-laws.

The slab rates of brokerage fixed by BHARAT BHUSHAN EQUITY TRADERS LIMITED are function of the quality and cost of services provided to the client and the volume and revenue expected from an account. It shall be reviewed by the BHARAT BHUSHAN EQUITY TRADERS LIMITED from time to time and may be increased with prospective effect at a notice of 15 Days sent to the E-mail address or postal address of the client registered with BHARAT BHUSHAN EQUITY TRADERS LIMITED.

The brokerage shall however be exclusive of the following:

- DP Annual maintenance charges
- DP transaction charges/Pledge/Re-pledge/Demat/ Re-mat Charges
- DP Inter settlement charges
- Account Opening Charges
- Delayed payment charges
- Penalties levied by Exchange
- Research advisory charges
- Courier charges
- Bank charges towards the cheques received unpaid
- DP, Bank and other processing charges towards periodic settlement of Funds/Securities on periodic basis.
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.
- SEBI/Exchange/Clearing Member Turnover charges
- Other out of pocket and services related charges

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non delivery of shares, increase open position or on any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

However, broker will not pay any interest on unutilized margin or balance in trading Account of the clients. In case of repeated violation by client, additional penalty will be levied. All fines/penalties and charges levied upon the Client due to its acts / deeds or transactions will be recovered by the Stock Broker directly from the client's account.

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

The client shall ensure timely availability of funds/securities in designated form & manner at designated time & in designated bank(s) & depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The Member Broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the Member Broker for meeting the pay in obligation of either funds or securities. If the client gives orders/trade in anticipation of the required securities/funds being available subsequently for pay in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortage at the exchange or Member Broker level/non release of margin by the Member Broker etc., the losses which may occur to the client as a consequence of such shortage in any manner such as on account of auctions/square off/ close outs etc., shall be solely to the account of the client and the client agrees not to hold the Member Broker responsible for the same in any form or manner whatsoever.

In case the payment is made by the Client through a bank instrument, the Member Broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the Member Broker.

When the margin is made available in form of securities or any other property by the Client, the Member Broker is empowered to decline its acceptance as margin. The Client agrees and authorizes the Member Broker to determine the market value of securities placed as Margin after applying a haircut that the Member Broker may deem appropriate or by marking it mark to market or by any other method as the Member Broker may deem appropriate. The Client's positions are valued at the latest market price available ('mark to market') on a continuous basis by the Member Broker. The Client undertakes to monitor the adequacy of the collateral and the Market value of such securities on a continuous basis. If due to any reason but not limited to price fluctuations, there is erosion/shortfall in the value of the margins, the Client agrees to replenish any shortfall in the value of the margins immediately, whether or not the Member Broker intimates such shortfall.

The Client hereby authorizes the Member Broker to square up/sell/liquidate all his/her/its outstanding positions/securities/shares and to cancel all pending orders at the discretion of the Member Broker, for any reason including the following (a) which are not marked for delivery 15 minutes before the closing time of the relevant segment (s) of the exchanges or any other time which the Member Broker may notify through electronic communication or otherwise from time to time; or (b) when mark to market (MTM) percentage reaches or crosses stipulated percentage mentioned on the website or any other percentage which the Member Broker may notify through electronic communication or otherwise. The Member Broker will have the sole discretion to decide above referred stipulated percentage/time depending upon the market condition. Any direct or indirect loss arising out of square off/cancellation shall be at the risk of and shall be borne by the Client.

In case any open position (i.e. short or long) gets converted into delivery due to non-square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal closeouts. In addition to this the Client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the Client is liable for all and any penalties/charges/fees/fines levied by the exchange(s).

Without prejudice to the Member Broker's other rights including the right to refer the matter to Arbitration, if payment / securities towards the Margin and or shortfall in Margin and or any other payment obligation of the Client towards the MEMBER BROKER is not received instantaneously to enable restoration of sufficient Margin/balances in the Client's account with the MEMBER BROKER, without any reference or prior notice or communication to the Client, the Member Broker has the right but not the obligation to take one or more of the following steps:

- (i) All or some of the positions/securities/shares of the Client as well as the securities placed as Margin or otherwise including but not limited to securities which are pending delivery/receipt with Member Broker may be liquidated/closed by the Member Broker at its sole discretion and at such rate and time as the Member Broker may deem fit.
- (ii) To withhold any payout of funds/securities.
- (iii) To withhold/disable the trading/dealing facility to the client.
- (iv) To cancel all pending orders.
- (v) To take any other steps which in the given circumstances, the Member Broker may deem fit.

The resultant or associated losses that may occur due to such squaring off/cancellations and or sale of securities/positions shall be borne by the Client and the Member Broker is hereby fully indemnified and held harmless by the Client in this regard. Such liquidation and or close out or cancellations of such securities/positions shall apply to any segment/exchange in which the Client does business with the Member Broker.

The Member Broker is entitled to prescribe the date and time by which margin/security is to be made available and the Member Broker may refuse to accept any payment in any form after such deadline for margin/security expires.

Any reference to sale or transfer of securities and or any other asset by the Member Broker shall be deemed to include sale or transfer of all the securities and or any other asset lying with MEMBER BROKER for any reason/account including which form the part of the Margin maintained by the Client with the Member Broker. In exercise of the Member Broker's right to sell or transfer securities and or any other asset, the Client agrees that the choice of specific securities and or any other asset to be sold or transferred shall be solely at the Member Broker's discretion.

The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) shall be settled as under:

- (i) The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the payment is made/credit balance is available, in full on or before pay in day shall be transferred to beneficiary demat a/c of the client from Pool a/c within 24 hours of pay out.
- (ii) The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the full credit balance is not available in the account of the client or the payment is not/partially made by the client, shall be transferred to Client Unpaid Securities Account (CUSA)
- (iii) The securities lying in the CUSA shall be transferred to the beneficiary demat account of the client only on the receipt/availability of full amount from the client
- (iv) The securities lying in the CUSA shall be liquidated to the extent of debit balance within 5 trading days from the pay-out date of such securities without further notice to the client and the securities so liquidated shall be transferred to Pool Account for meeting payin obligation. No securities shall be kept in CUSA for more than 5 trading days from the pay-out date of such securities.
- (v) The choice of selection of securities to be liquidated against debit balance from CUSA will be at the sole discretion of the Member Broker depending upon the liquidity of the scrip, volatility in the market or any other factor as the Member Broker deem fit in each case.
- (vi) The securities of the client can be transferred in the beneficiary demat account of the client without/partial receipt of the payment at the sole discretion of the Member Broker in those cases where the said Beneficiary Demat Account is opened with Member Broker DP and the client has executed Power Of Attorney (POA) in favour of Bharat Bhushan Equity Traders Ltd.

6. Shortages in obligations arising out of internal netting of trades

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

- a. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T +3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies + 5 % extra) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b. If securities cannot be purchased from market due to any reason, the short delivering seller is debited at the closing rate on T +3 day or Auction day on Exchange +10% and buyer will be given credit. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
- c. 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 compulsory 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

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.

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances.

1. for non-payment or erosion 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.
2. Any order which is executed without the required Margin in the Client's account or the brokers exposure is more than 90% and above so no fresh trade will be taken.
3. The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker. which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 90% in any of exchanges, BHARAT BHUSHAN EQUITY TRADERS LIMITED reserves the right to square off positions.
4. 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 due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI.

5. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker. the client has committed a crime, fraud or has acted in contradiction of this agreement or / evade / violate any laws, rules. regulations. directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

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

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him. The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

BHARAT BHUSHAN EQUITY TRADERS LIMITED may carry a periodic review of the client accounts and may suspend the accounts from Trading in the following circumstances:-

- Where the client is inactive for more than 6 months
- Physical contract notes are received back undelivered due to reasons like "no such person" , "addressee left", refusal to accept mails. POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion.
- ECN failed (Bounced email) on more than 3 instances until client submits and registers new email id.

9. Deregistering a client

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

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- iii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the security transactions;
- iv. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- v. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;

- vi. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction as per Exchange Rules, Regulations, Bye-laws and SEBI guidelines.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc.; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider. etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

I further undertake to adhere to the procedures & code of ethics prescribed by SEBI/Exchanges in this regard. Broker shall not be responsible for any transactions entered by the client in their personal capacity with the employees of broker, if any.

 (11)

(Client Signature)

TARIFF SHEET

Client Code : _____ Client Name : _____

CAPITAL MARKET SEGMENT				
	NSE		BSE	
	in %age terms	Minimum Paise (per share)	in %age terms	Minimum Paise (per share)
Intraday				
Delivery				
Trade to Trade				
FUTURES & OPTIONS SEGMENT				
	FUTURES		OPTIONS	
	in %age terms	Minimum Paise (per unit)	₹ Per Lot	
NSE				
BSE				
CURRENCY DERIVATIVES SEGMENT				
	in %age terms	Minimum ₹ Per Lot	Flat Brokerage ₹ (per lot)	
NSE				
MUTUAL FUNDS SEGMENT				
	NSE		BSE	
	in %age terms	Minimum ₹ (per unit)	in %age terms	Minimum ₹ (per unit)

* Transaction Charges, GST, STT, Stamp Duty, Other Govt. Levies are extra.
 One Time Account Opening Charges (Rs.).....
 Recurring Charges : Monthly..... Quarterly..... Half Yearly..... Yearly.....
 * in case of physical contract notes, Rs. 25/- per contract note will be charged towards postage charges.
 * Other Charges @0.004% extra towards connectivity and CTCL software charges.

 (12)

ACKNOWLEDGEMENT FROM CLIENT

VOLUNTARY

BHARAT BHUSHAN EQUITY TRADERS LIMITED

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Phone : +91-11-49800900 • Fax : +91-11-49800933 • E-mail : nse@bharatbhushan.com • Website : www.bbinvestments.in

I/We hereby acknowledge the receipt of duly executed copy of KYC, Annexures 4, 5, 6 in Physical Form Electronic Form as prescribed by SEBI and all other documents as executed by me/us. Further I/we confirm that the documents for KYC submitted by me/us are true and correct. I/we have also been informed that the standard set of Right & Obligations, RDD & Guidance Note has been displayed for information at company's website www.bbinvestments.in. I/we acknowledge that the other details related to my/our account are as under :

Trading Code..... UCC

My E-mail id.....

 (13)

(Client Signature)

To,

BHARAT BHUSHAN EQUITY TRADERS LIMITED

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Phone : +91-11-49800900, Fax : +91-11-49800933

E-mail : nse@bharatbhushan.com • Website : www.bbinvestments.in

Date : _____

Sub : Running Account Authorisation

1. I/We are dealing through you as a client in Capital Market and/or Future & Option Segment and/or Currency Segment and/or Interest Rate Future Segment & in order to facilitate ease of operations and upfront requirement or margin for trade.

I/We authorize you as under:

- a. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you otherwise.

- b. I/We request you to settle my funds if any held in "Margin Pledge" account along with the funds' settlement after making necessary retention as per frequency option given below:-

Once in a calender Month Once in every calender Quarter

except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

- c. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds towards my settlement / margin obligations and may also retain the fund expected to be required to meet margin obligation, calculated in the manner specified by the exchanges.

- d. I / we hereby agree and understand that all accounts with credit balances of Rs. 10000/- or lesser shall automatically be retained and no transfer of funds to the bank account shall be made as specified in SEBI circular MIRSD/SE/Cir-19/2009 & Exchange Circular Nos. NSE/INSP/24849 & 20091204-7.

- e. I/We confirm you that I/We shall bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds or statement of account or statement related to it, as the case may be at your registered office.

- f. This Running account authorization would continue until it is revoked by me by giving a notice in writing.

 (14)

(Client Signature)

2. Telephonic Conversation:

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you. " I/We authorize you to record the telephonic conversations"

3. Electronic Trading:

Trading in exchanges is in Electronic Mode. based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems glitch.

4. Fines & Penalties:

All fines/penalties and charges levied upon you by exchanges/regulator due to my acts / deeds or transactions may be recovered by you from my account.

5. Charges & Balance Maintenance:

I/We have a Trading As well as depository relationship with BHARAT BHUSHAN EQUITY TRADERS LIMITED Please debit the charges relevant with depository services and courier charges for sending physical documents from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

6. Notwithstanding anything contained in these presents, any amounts which are overdue from the client or a member of the client's family towards trading either in the cash. F&O or derivatives segments or on account of any other reason to the Stock Broker will be charged delayed payment charges at the rate of 1.5% per month or such other rate as may be determined by the Stock Broker. The client hereby authorizes the stock Broker to directly debit the same to the account of the Client at the ejnd of each month. The client also authorizes the Stock Broker to debit charges for depository services to the trading account.

- a. The Client agreed that any outstanding amount in his account or his spouse/relative or any company in which he is director or substantial share holder, shall be adjusted by the stock broker out of credit balance/shares or securities in any other aforesaid account.
- b. In case where client is a company, it authorized adjustments of any debit balance out of credit balance of any other company in which there is atleast one common director or having same share holder or group of share holders having substantial interest or from the credit directors. The company further assures that required permission and resolutions/authorization has been passed as per the law.
- c. Client also agrees that any balance/shares or securities outstanding in his account for purchase & sale of shares/securities etc. would be adjustable inter se company or its segments.

7. The Stock Broker shall send the trade confirmation to the client in form of contract Note, digitally signed contract note or otherwise via mail, email, fax, courier, Registered A.D./ oral communication. putting them on web server or otherwise at the postal address, telephone/fax nos. Email addresses intimated by the client to the Stock Broker.

 (15)

(Client Signature)

8. The client further undertakes to collect or get collected from the Stock Broker and his/ its agents/ employees and authorized persons the order placement/ Modification slip, order cancellation details, trade confirmation slips and contract notes etc. And agrees to indemnity and hold the trading Stock Broker harmless for any delay in such collection and non-collection by his of his Order placement / modification slip, order cancellation details, trade confirmation slips and contract notes etc. from the office of the trading Stock Broker. The client understands that it is his responsibility to review the trade confirmation. receive/ view/save the contract notes/ digital contract notes. And that all information contained therein shall be binding upon the client.
9. The client further agrees and accepts that transmission of document/records/data and information including but not limited to contract notes (including digital contract notes. and other electronic documents) through ordinary post, UPC, courier/ speed post/ registered post / electronic mail i.e email/ electronic mail attachment/ download available from website or fax to his last known business and / or fax no. shall be deemed to have been properly delivered or served even if such communication is returned as unclaimed/ refused/ undelivered.
10. The client agrees that the Stock Broker will not be responsible for the non-receipt of the trade confirmation/contract notes or any other data/ information due to any change in the address/ E-mail address etc. not intimated to the trading Stock Broker in writing. The client also understands that he will have to down load the data/information within a week of the trading date and the Stock Broker shall be at liberty to delete old data that is to say data more than a week old from the web server without any notice.
11. The client further agrees and accepts to receive Contract Note, Bills, Ledgers, Margin Statements, Statement of Accounts for Funds & Securities, Order/Trade Confirmation Slip and any other documents in electronic form at his/her Email address.

* Strike off the clauses not relevant to you.

Thanking you,
Yours faithfully,

 (16)

(Client Signature)

(Fill Client Name & Address)

(DISCLOSURE TO CLIENT)

To,

.....
.....
.....
.....

Sir,

As per exchange notification, we hereby inform you that, we do trading on behalf of client and on our own account also.

Thanks and best regards
For BHARAT BHUSHAN EQUITY TRADERS LIMITED

(Authorized Signatory)

I acknowledge receipt of your information that you do client based trading and Pro account trading.

 (17)

(Client Signature)

To,
BHARAT BHUSHAN EQUITY TRADERS LTD.

Date : _____

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001
Phone : +91-11-49800900, Fax : +91-11-49800933

Sub: Common Mobile No. / Email ID for Trading / Demat Accounts

Dear Sir,

I, _____ request you to kindly use the below mentioned Mobile No. & E-mail id for respective accounts as the said accounts belongs to my family members.

Mobile No. : _____

E-mail id : _____

I understand that it has been mandate by SEBI that separate Mobile No. and E-mail id is to be uploaded for each client. Further to this, under exceptional circumstances, the Trading Member / DP may, at the specific written request, upload the same Mobile No. / E-mail id for more than one trading / demat account provided such accounts belong to one family.

"Family" for this purpose would mean self, spouse, dependent children and dependent parents.

DECLARATION

I do hereby declare that the below mentioned name belongs to my immediate family and any discrepancies noted in this regard I shall be held responsible for the same.

Family Member's Code / Demat A/c No.	Family Member's Name	Relationship with Client	Signature of Family Member

Thanking you,
Yours faithfully,

Client Name : _____

 (18)

Client Code : _____ Client DP ID : _____

(Client Signature)

घोषणा

मैं.....यह घोषणा करता/करती हूँ कि मैंने भारत भूषण इक्विटी ट्रेडर्स लिमिटेड में अपना शेयर ट्रेडिंग (सीएम/एफओ/सीडीएस) खाता खोला है। उसके लिए मैंने एकाउन्ट ओपनिंग फार्म (के.वाई.सी.) और विभिन्न कागजात पर हस्ताक्षर किये हैं जोकि अंग्रेजी भाषा में हैं। मुझे इसका हिन्दी में मतलब समझा दिया गया है। मैं भारत भूषण इक्विटी ट्रेडर्स लिमिटेड के नियम व शर्तों से सहमत हूँ। मुझे के.वाई.सी. फॉर्म की कॉपी, अनुच्छेद 4, 5, 6, सहित मिल गई है। मुझे यह भी सूचित कर दिया है कि अनुच्छेद 4, 5, 6, को कम्पनी की वेबसाइट पर भी दर्शा दिया गया है।

 (19)

हस्ताक्षर

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60 years
with you

**BHARAT
BHUSHAN**

S I N C E 1 9 5 4

Regd. Office

Regd. Office : 503, Rohit House, 3, Tolstoy Marg, New Delhi-110001
Ph. : +91-11-49800900, Fax : +91-11-49800933
E-mail: nse@bharatbhushan.com • Website : www.bbinvestments.in

Branches

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E-mail: corporate@bharatbhushan.com

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Krishna Apra Plaza, Plot No. P3, Sector 18,
Commercial Market, Noida, Uttar Pradesh.
Ph.: +91-120-4358612-13
Email: noida@bharatbhushan.com

VASANT KUNJ

19, Vasant Arcade, Vasant Kunj,
New Delhi 110070
Ph.: +91-11-26894527, 26894602
E-mail: vk@bharatbhushan.com

GURGAON

265, Central Arcade, Phase-II,
DLF City, Gurgaon, Haryana
Ph.: +91-124-4101706-07
Email: gurgaon@bharatbhushan.com

JAIPUR

412, City Mall, C-21B, Bhagwan Das Road,
Panchbati, Jaipur-302001
Ph.: +91-141-4049938-39
Email: jaipur@bharatbhushan.com