



# INDIVIDUAL / HUF / CORPORATE / PARTNERSHIP FIRM (Cash, F&O, Currency Derivatives, Commodity Segment & Demat)

Branch Head / Sub-broker Name	
Client Name	
Client Code (UCC)	
DP Client ID	12049800
Date of Registration	



# PACE STOCK BROKING SERVICES PVT. LTD.

Member : • National Stock Exchange of India Ltd. (NSE)

- Bombay Stock Exchange Ltd. (BSE)
- Multi Commodity Exchange of India Ltd. (MCX)

(Cash, F&O, Currency Derivative and Commodity Segment)

SEBI REGN NO. : INZ000180832 Member ID : (NSE) 11378 • (BSE) 3013 • (MCX) 56635

Depository Participant : CDSL • DP ID : 12049800 SEBI REGN. NO.: IN-DP-CDSL-399-2007

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City, Gandhinagar-382355(GJ) Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020 Phone : 011-49022222 Fax : 011-26105823 E-mail : admin@pacefin.com • Website : www.pacefin.com

# **Compliance Officer**

PRABHAT SHARMA Ph.: 011-49022269 Email : prabhat@pacefin.com Director

ATUL GOEL Ph.: 011-49022222 Email : atulgoel@pacefin.com

For any grievance/dispute please contact PACE STOCK BROKING SERVICES PVT. LTD. at the above address or email idinfo@pacefin.com and Phone No.011-49022222. In case not satisfied with the response, please contact the concerned exchange(s) at :

# **Exchange Name**

National Stock Exchange of India Ltd. (NSE) Bombay Stock Exchange Ltd. (BSE) Multi Commodity Exchange of India Ltd. (MCX) Central Depository Services Ltd. (CDSL) E-mail ID ignse@nse.co.in is@bseindia.com grievance@mcxindia.com complaints@cdslindia.com Phone No. 022-26589190, 18002660058 022-22728097 022-67318888 022-22723333

You can also lodge your grievance with SEBI at http://scores.gov.in. for any queries. Feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

# ACKNOWLEDGEMENT

To.

PACE STOCK BROKING SERVICES PVT. LTD.

Dated :....

Dated :....

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ)

Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

I/We hereby acknowledge the receipt of duly executed copy of the KYC along with Non-Mandatory pages and booklet containing standard documents i.e. Right & Obligations (Trading), Right & Obligations / Terms & Conditions to Avail Margin Trading Facility (MTF), Risk Disclosure Documents including Additional Risk Disclosure Document for Options trading in MCX, Policies & Procedure, Do's and Don'ts, Right and Obligations (DP Account), Term & Condition Annexure A & Annexure B (DP Account). Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct. I/We acknowledge that the other details related to my/our account are as under:

Name		
BO ID : <b>12049800</b>	Trading	Code
My Email Id		
Sole/First Holder Signature	Second Holder Signature	••• Third Holder Signature

ACKNOWLEDGEMENT

# To, PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ)

Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

I/We hereby acknowledge the receipt of duly executed copy of the KYC along with Non-Mandatory pages and booklet containing standard documents i.e. Right & Obligations (Trading), Right & Obligations / Terms & Conditions to Avail Margin Trading Facility (MTF), Risk Disclosure Documents including Additional Risk Disclosure Document for Options trading in MCX, Policies & Procedure, Do's and Don'ts, Right and Obligations (DP Account), Term & Condition Annexure A & Annexure B (DP Account). Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct. I/We acknowledge that the other details related to my/our account are as under:

Name	
BO ID : <b>12049800</b>	Trading Code
My Email Id	



..... Sole/First Holder Signature

Second Holder Signature

Third Holder Signature







# **INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM**

# A. IMPORTANT POINTS:

- 1. Read the application form properly before filling it.
- 2. Application form should be filled in CAPITAL letters.
- 3. All required documents should be submitted for all the account holders.
- 4. Form should be complete in all respect.
- 5. Strike off whichever is not applicable.
- 6. All communication shall be sent at the address of the sole/first holder only.
- 7. Thumb impression and signature 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 of Notary Public or a Special Executive Magistrate.
- 8. Nomination is optional but advisable.
- 9. Passport size Photograph.
- 10. NRI's are required to submit address proof for Indian as well as Foreign address.
- 11. Copy of PAN Card of Minor.
- 12. Date of Birth certificate of Minor.
- 13. Copy of Valid Identity Proof and Address Proof of Guardian.
- 14. Passport size Photograph of Minor & Guardian.
- 15. Cancel cheque of Minor's Bank Account together with latest Bank Statement/Pass book.
- 16. Seperate KYC form is required for each joint holder.
- 17. Self attested copy of PAN card and AAD HAAR card are 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.
- 18. 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.
- 19. If any proof of identity or address is in a foreign/regional language, then translation into English is required.
- 20. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- 21. If correspondence & permanent address are different, then proofs for both have to be submitted.
- 22. Sole proprietor must make the application in his individual name & capacity.
- 23. 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.
- 24. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- 25. In case of Merchant Navy NRI's, Manner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 26. 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.
- 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.
- 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.
- 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 apostiled 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.

# F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary Requirments
Corporate	<ul> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly.</li> <li>Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>Copy of the Board Resolution for investment in securities market.</li> <li>Authorised signatories list with specimen signatures.</li> </ul>
Partnership Firm	<ul> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered partnership firms only).</li> <li>Copy of partnership deed.</li> <li>Authorised signatories list with specimen signatures.</li> <li>Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered trust only).</li> <li>Copy of Trust deed. List of trustees certified by managing trustees/CA.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul> <li>PAN of HUF.</li> <li>Deed of declaration of HUF/List of coparceners.</li> <li>Bank pass-book/bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated association or a body of individuals	<ul> <li>Proof of Existence/Constitution document.</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Foreign Institutional Investors (FII)	<ul> <li>Copy of SEBI registration certificate.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Army Government Bodies	<ul> <li>Self-certification on letterhead.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>List of Managing Committee members.</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

# 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.

- 1. 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.
- 2. Demat master or recent holding statement issued by DP bearing name of the client.
- 3. For individuals:
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/subbroker'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.

# 4. 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.

# ANNEXURE 1 - ACCOUNT OPENING KIT

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent	1-9
		B. Document captures the additional information about the constituent relevant to demat & trading account.	10-13
		C. KYC Form - For Demat Account	14 -15
2.	Nomination Form	Nominee Details for Trading & Demat Account	16 -17
З.	Rights and Obligations (Equity & Commodity)	Document stating the Rights & Obligations of stock broker/ commodity broker/ trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Given
4.	Risk Disclosure Document (Equity & Commodity)	Document detailing risks associated with dealing in the securities/commodities market.	to the
5.	Guidance Note (Equity & Commodity)	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	Client with
6.	Rights and Obligations for Demat Account	Rights and Obligations of Beneficial Owner and Depository Participant	Welcome
7.	Annexure A - SMS Alert Facility	Terms & Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	Kit
8.	Annexure B - TRUST Facility	Terms & Conditions for availing Transaction Using Secured Texting (TRUST) service offered by CDSL	
9.	Rights and Obligations / Terms & Conditions to Avail Margin Trading Facility (MTF)	Rights and Obligations / Terms & Conditions to Avail Margin Trading Facility (MTF)	
10.	FATCA & CRS Declaration	FATCA & CRS Declaration for Individual & Non-Individuals	
11.	Rights and Obligations for Demat Account	Rights and Obligations of Beneficial Owner and Depository Participant	18 - 19
12.	Annexure A - SMS Alert Facility	Terms & Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	20 - 21
13.	Annexure B - TRUST Facility	Terms & Conditions for availing Transaction Using Secured Texting (TRUST) service offered by CDSL	22 - 25
14.	Policies and Procedures (Equity & Commodity)	Document describing significant policies and procedure of the stock/commodity broker.	26
15.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	27
16.	Schedule of Demat Charges	Schedule of Demat Charges	

### VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	NSE-MFSS / BSE STAR Facility and Terms & Conditions	To Avail Mutual Fund Schemes of NSE / BSE	28
2.	Running Account Authorisation	Helps the client to enjoy exposures linked to the credit in the trading account.	29
3.	Electronic Contract Notes Declaration - For Commodity	Electronic Contract Notes Declaration - For Commodity	30
4.	Authorisation for Electronic Contract Notes/Statements	For authorising the trading member to send Electronic Contract Notes / Statements	31
5.	Letter of Authority	To enable the trading member to act upon the clauses mentioned in the letter of authority	32
6.	Verbal Order Acceptance Authorisation	To enable the trading member to accept verbal orders.	33
7.	Pledge Authorisation	To authorise the trading member to pledge the shares of client.	33
8.	Authorisation to send documents Electronically	Authorisation to send contract note, statement of funds & securities/commodities, client registration documents etc. Electronically	34
9.	Declaration for Signature Mismatch	Declaration for Signature Mismatch	34
10.	Registration & Verification of Mobile & E-mail	For Registration and Verification of Mobile Number and E-mail Address	35
11.	Client Undertaking for Prevention of Money Laundering	Client Undertaking for Prevention of Money Laundering	35
12.	Request for Trading in Commodity Forward Contracts/ Commodity Derivatives on all Exchanges	Documents detailing the rules regarding the Net open permission permitted in any Commodity	36
13.	Adjustment in Different Exchanges / Accounts	Declaration for Adjustment of Balance in Different Exchanges and for being abide by the Rules, Bye-laws, regulations and Circulars of the Exchanges.	36
14.	Declaration by the User	Declaration by the User	37
15.	Client Defaulter Declaration	Declaration for being not involved to in any Terrorist activity and not declare as Defaulter by SEBI/NSE/etc.	37
16.	Declaration by HUF	Declaration required in case the client is HUF	37
17.	Client Position Authorisation	Authorisation to trading member to not to close out client's position at its discretion	38
18.	Letter of Confirmation	Letter confirming the details available on trading member website	38
19.	Trading Technical and Derivatives Research (TTD)	Client consent to avail of TTD Reports	39
20.	Fundamental Research	Client consent to avail of Fundamental Research Report	40
21.	Addendum to the Client Registration Form/ Key Information	Information regarding prevention of money laundering	41
22.	Joint DP Account Authorisation	Authorisation in case of joint DP accounts	42
23.	Joint Bank Account Authorisation	Authorisation in case of joint Bank account	42
24.	Trading Authorisation	Authorisation to somebody else to place orders	43
25.	Declaration for Name Mismatch	For authorizing the payout as per enclosed Bank proof.	43
26.	Sanction of Trading Limit on the Security of Collaterals	Sanction of Trading Limit on the Security of Collaterals	43
27.	Demat Debit and Pledge Instruction (DDPI)	Demat Debit and Pledge Instruction (DDPI)	44
28.	Consent / Authority Letter for Demat Account	Consent / Authority Letter for Demat Account	45
29.	Acknowledgement Receipt	Acknowledgement Receipt	47
30.	Contract Between Pace & Client	Gives additional terms of relationship.	49

### CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

#### Clarification / Guidelines on filling 'Personal Details' section Α

- Name: The name should be match the name as mentioned in the Proof of identity submitted failing which the application is liable to be rejected. 1
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

### в Clarification / Guidelines on filling 'Current Address Details' section

- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR 1
- PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force. 2
- State / U.T. Code and Pin / Post Code will not be mandatory for Overseas address. 3
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- In Section 3, one of I, II, III, and IV is to be selected. In case of online E-KYC authentication, II is to be selected. 5
- 6 List of documents for 'Deemed Proof of Address'

#### **Document** Code Description

- 01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- 02 Property or Municipal Tax receipt.
- Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector 03 Undertakings, if they contain the address.
- 04 Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
- Regular Entity (RE) shall be redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of 7 Aadhaar, while uploading on CKYCR.
- "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital 8 signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rule, 2016.
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005. 9

#### Clarification / Guidelines on filling 'Contact Details' section С

- Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-999999999)
- Do not add '0' in the beginning of Mobile number. 2

#### Clarification / Guidelines on filling 'Related Person Details' section D

Provide KYC number of related person, if available. 1

### **Clarification on Minor** E.

- 1 Guardian details are optional for minors above 10 years of age of opening of bank account only.
- However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded. 2

### CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

### Clarification / Guidelines on filling 'Personal Details' section

- Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: Mother's name, Spouse's name, Father's name.

### Clarification / Guidelines on filling 'Current Address details' section

- In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR 1
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses. 3
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':
  - **Document Code** Description
    - 01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill). 02
    - Property or Municipal tax receipt.
    - 03 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address
    - 04 Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address 10 different from the address as per the identity information available in the Central Identities Data Repository

#### С Clarification / Guidelines on filling 'Contact details' section

- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999),
- 2 Do not add '0' in the beginning of Mobile number.
- Clarification / Guidelines on filling 'Related Person details' section D
  - Provide KYC number of related person, if available. 1

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CENTRAL KYC REGISTRY	I Know Your Cust	omer (KYC) Applic	ation Form	l Individ	iuai		j
<ul> <li>Important Instructions:</li> <li>A) Fields marked with ** are mandato</li> <li>B) Tick (√) wherever applicable.</li> <li>C) Please fill the form in English and ii</li> <li>D) Please fill the date in DD-MM-YYY</li> <li>E) For particular section update, please section number and strike off the end to be updated.</li> </ul>	In BLOCK letters. Y format. se tick (✔) in the box	<ul> <li>H) List of two character</li> <li>I) KYC number of application</li> </ul>	ode as per Indian r ISO 3166 countri loant is mandaton YC' check box is a non-face to face	Motor Veh ry codes is y for update to be chec mode.	icle Act, 1988 is available at the end available at the end.	4.	CERSAI
For office use only	Application Typ	e* 🗌 New	🗌 Upda	te			
(To be filled by financial institution	<sup>n)</sup> KYC Number				(Mandatory for	KYC update requ	est)
	Account Type*	Normal	🗌 Minor	r 🗆	Aadhaar OTP based E-KY	C (in non-face to	face mode)
1. PERSONAL DETAIL	S (Please refer instruct	ion A at the end)					
	Prefix	First Name			Middle Name		Lest Name
Name* (Same as ID proof)							
Maiden Name							
Father / Spouse Name							
Mother Name	matel mente	i fili (uci				l maiaid	
Date of Birth*	11 ( b ( ) b) b (++),1	KI Y I K I Y I					
Gender*	M- Male	E- Female	T-Transge	ender			
Marital Status*	Married	Unmarried	Others				
PAN*	meterene Nie		Form 60	furnished	tt		
Citizenship*	IN- Indian		Others (	ISO 3166	6 Country Code		
Residential Status*	<ul> <li>Resident Individu</li> <li>Foreign National</li> </ul>		<ul> <li>Non Resi</li> <li>Person of</li> </ul>				
2. PROOF OF IDENTIT	Y AND ADDRESS* (	Please refer instructio	n B at the end)				
I. Certified copy of OVD or e				n digital K	CYC process needs to be sut	omitted (anyone o	f the following OVDs)
A- Passport Number							□ РНОТО*
B- Voter ID Card							
C- Driving Licence							Please affix your
D-NREGA Job Card		TO PETER T					recent passport
E- National Populatio	n Register Letter						size photograph
F- Proof of possession	-	the state					
II. E- KYC Authentication		TREASURED.	5.0				and sign across it
III. Offline verification of A	22	Television	방극극극				stands in the
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Line 2				TO			
Line 3	i n l' n i l i	LULL			City / Town /	Village*	ini ci ca la
District*		Pin / Post Code*			State / U.T Code*	ISO 3166	Country Code*
3. CURRENT ADDRES	S DETAILS (Pleass	refer instruction B at t	he snd)				
Same as above mentione	•						
I. Certified copy of OVD or e	quivalent e-document	of OVD or OVD ob	tained through	n digital K	CYC process needs to be sub	omitted (anyone o	f the following OVDs)
A- Passport Number							
B- Voter ID Card							
C- Driving Licence							
D-NREGA Job Card							
E- National Populatio	n Register Letter	to a compa					
F- Proof of possession	n of Aadhaar 🛛 🔅	<b>MREACHER</b>	84.1.1.1	11			
II. 🗌 E- KYC Authentication	1 8	<b>BUXIXIXI</b> X					
III. Offline verification of A	Aadhaar	DAVOXOVEX	R COL				
IV. Deerried Proof of Add	ress - Document type	Code					
Address							
Line 1*							الوجية بجامع جوالي
Line 2				-	City / Town /	Village*	
Line 3 District*		Pin / Post Code*			State / U.T Code*		Country Code*
	and the second se		**************************************	· · · · · · · · · · · · · · · · · · ·		100 0100	

4. CONTACT	DETA	LS (	(All c	comr	mun	nicat	ions	wil	l be	sen	t to I	Nobi	ile ni	uml	ber/	Em	ail-l	D pi	rovi	ded)	(Ple	eas	e rei	fer i	nstru	uctio	on C	at	the	end	)									
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5. REMARKS	6 (If any	()																																						
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6. APPLICA	NT DE	CLA	RA	TIC	DN																																			
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<ul> <li>I am/we are awa Aadhaar record as an audit evid</li> </ul>	can be ı	used	by K	ƙRA	only	y for	the	sp	ecifi	c pu	irpos	se o	f vali	ida	ting .	/ ma	ainta	ainir																						
<ul> <li>I/We hereby cor address.</li> </ul>	sent to r	eceiv	ving i	infor	mat	tion	fron	n Kl	RAV	ER	SAI	thro	bugh	SN	/IS/E	ma	il or	the	ab	ove	regi	stei	red ı	num	ber	/Err	ail													
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<ul> <li>I am/We are als I/We hereby cor file, along with p</li> </ul>	sent to asscode	sharir	ng m	ι <mark>y/ο</mark> ι	ur m	nask	ed A	٩ad	haa	r ca	rd w	ith r	eada	able	e QF	<u>ک</u>	de	or m	iy A	adh	aari	XМ	L/Di	gilo	ckei	r XN	٨L	ļ												
for KYC purpose	es only.	-14	rvi		-				Pla	~~ ·		1	T			_			-		1	-								Sig	natu	re / 1	Thum	b Im	pres	sion	of Ap	oplica	ant	
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7. ATTESTA	TION /	FOF	RO	FFI	CE	US	SE (	ON	ILY																															
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Important Instruction	STRY   Know Your Customer (KYC) Application Form   Legal Entity / Other than Individuals	
	e mandatory fields.       F) List of State / U.T code as per Indian Motor Vehicle Act, 1986 is available at the end.         cable.       G) List of two character ISO 3166 country codes is available at the end.	CERSAL
For office use only (To be filled by financia	Application Type*  New  Update  nstitution) KYC Number (Mandatory for KYC update request)	
	LS* (Please refer instruction A at the end)	
□ Name*		
Entity Constitution	ype* (Please refer instruction B a the end)	
Date of Incorporat		
Place of Incorpora		
PAN*	Form 60 jurnished	<b>,</b>
TIN / GST Registra		
2. PROOF OF I	ENTITY (Pol)* (Please refer instruction B at the end)	
_	oration / Formation     Registration Certificate     Registration Certificate       Articles of Association     Partnership Deed     Trust Deed	
Memorandum and Resolution of Boa Activity Proof - 1		behalf
Memorandum and Resolution of Boa Activity Proof - 1	Articles of Association Partnership Deed Trust Deed / Managing Committee Power or attorney granted to its manager, officers or employees to transact on its or Sole Proprietorship Only) Activity Proof - 2 (For Sole Proprietorship Only)	behalf
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6 REMARKS (If any)										
7. APPLICANT DECLARATION (Please refer Instruction G at the end)	)									
<ul> <li>I/We hereby declare that the KYC details furnished by me are true and correct to the and I/we under-take to inform you of any changes therein, immediately. In case any be false or untrue or misleading or misrepresenting, I am/We are aware that I/We ma</li> <li>I/We hereby consent to receiving information from KRA/CERSAI through SMS/Email or advances.</li> </ul>	ay be held liable for it.									
address. I am/we are providing the consent to MF/RTA/SEBI registered intermediary to share this KYC/CYKC data / applicable Aadhaar XML data with KRA/CERSAI and share the data to other participating intermediaries as mandated by PMLA Act/Rules/SEBI guidelines.										
Date : On - BB - NYY Place : Place :										
8. ATTESTATION / FOR OFFICE USE ONLY										
Documents Received Certified Copy Equivalent e-document	IPV done									
KYC / IN-PERSON VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS									
Date	Name PACE STOCK BROKING SERVICES PRIVATE LIMITED									
Emp. Name	Code I N 0 5 9 0									
Emp. Code	[Signature of Authorised Signatory]									
Emp. Designation										
Emp. Branch										
[Employee Signature]	[Institution Stamp]									

Annexure A2   Legal Ent	-				
	Y   Know Your Cu	stomer (KYC) Application F	form   Related F	erson	
Important Instructions:					
A) Fields marked with '*' are ma B) Tick '✓' wherever applicable	-	-	-	Motor Vehicle Act, 1988 is ava try codes is available at the en	
C) Please fill the date in DD-MN				idelinee / instructione et the er	
D) Please fill the form in English				tick ( $\checkmark$ ) in the box available b	
E) KYC number of applicant is r				ions not required to be update	d.
For office use only	Application Ty		Update 🗌	Delete	
(To be filled by financial institut	KYC Number			(Mandatory for K)	YC update request)
1 DETAILS OF REL	ATED PERSON* (P	lease refer instruction E at the en	d)		
Addition of Related Per	son	Deletion	of Related Perso	n [	Update Related Person Details
KYC Number of Related Pe	rson (if available*)		j h	KYC number is available, only	'Related Person Type' & 'Name' is mandator
•• =		moter 🗌 Karta 🔲 Truste horised Signatory 🗌 Benefi		Court Appointment Offici	
DIN (Director Identification	Number)		(Mandatory if	Related Person Type is Dir	rector)
1.1 PERSONAL DETA	ILS (Please refer inst	ruction E at the end)			
	Prefix	First Name	-	Middle Name	Lest Name
Name* (Same as ID proof)					
laiden Name					
Father / Spouse Name					
Nother Name	URL AND AND MELL				
Date of Birth* Gender*	Male	F- Female	T-Transge	ndar	
Nationality*		Others (ISO 316			
AN*			form 60 furnished		
Politically Exposed Person				lo	
<ul> <li>A- Passport Numbe</li> <li>B- Voter ID Card</li> </ul>	r				РНОТО•
C- Driving Licence					
D-NREGA Job Car	d				
E- National Population	n Register Letter				
F- Proof of possess	ion of Aadhaar	CANADADA I I			
II E-KYC Authenticatio	n ber				
III Offline verification o	f Aadhaar 📃 🔍	×1242×2424241 == == ==			
Address Line 1*	1.1.1.1.1.1.1		0.0.0.0.1		
ine 2					
ine 3				City / Town / Vil	lane*
District*		Pin / Post Code*	here and the second	State / U.T. Code*	ISO 3166 Country Code*
	-SS DETAILS (Plan	se refer instruction E et the end)	tradition of the second second		-
_	- •	ases address details as below r	aed not be provide	vd)	
	•		•	•	(anyone of the following OVDs)
A- Passport Numb	er				
B- Voter ID Card					
C- Driving Licence					
D- NREGA Job Ca					
E- National Population	-				
F- Proof of posses		odxixoxindodxi i i			
III Offline verification					
IV Deemed PoA					

V		Self	Dec	aration
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Address						
Line 1*						
Line 2						
Line 3				City / Town / Village*		
District*	Pin	I / Post Code*	State /	U.T. Code* IS	O 3166 Country Code*	
	AILS (All communications will be	sent on provided Mobile no./ Em	ail ID) (Please refer	instruction D at the end)		
Tel. (Off)		Tel. (Res)		Mobile		
FAX		Email ID				
2 APPLICANT DE						
and I/we under-take to in be false or untrue or misit I am/we are aware of oth Aadhaar record can be u as an audit evidence. I w I/We hereby consent to m address. I am/we are providing the XML data with KRA/CER guidelines.	the KYC details furnished by me a form you of any changes therein, leading or misrepresenting, I am/V her modes of KYC which are avail ised by KRA only for the specific p ill have an option to request for de eceiving information from KRA/CEI consent to MF/RTA/SEBI registere SAI and share the data to other pa Place	, immediately. In case any of the Ve are aware that I/We may be able and I have chosen Aadhaa surpose of validating / maintainin eletion of my Aadhaar record. RSAI through SMS/Email on the d intermediary to share this KYC rrticipating intermediaries as mar	e above information held liable for it. ar based method vo ig / sharing my KYO above registered r /CYKC data / applic	h is found to pluntarily. My C record and number/Email able Aadhaar t/Rules/SEBI	/ Thumb Impression of Applicant	
Documents Received	<ul> <li>Certified Copies</li> <li>Digital KYC process</li> </ul>	<ul> <li>E-KYC data received</li> <li>Equivalent e-document</li> </ul>				
KYC / IN-PE	RSON VERIFICATION CARRIED (	OUT BY		INSTITUTION DETAIL	.S	
Date	Place	Na	me PACE STO	CK BROKING SERVICES	PRIVATE LIMITED	
Emp. Name		Co	de INO5	90		
Emp. Code				Signature of Authorised S	imatani	
Emp. Designation				Colgorature of Additionated of	ignatory)	
Emp. Branch						
	[Employee Signature]			[Institution Stamp]		

Annexure A2   Legal Ent						
CENTRAL KYC REGISTR	Y   Know Your Cu	stomer (KYC) Applica	ation Form   Relate	Person		
		<b>B</b> / · · · · ·			Ole eventual and	
<ul> <li>A) Fields marked with '*' are ma</li> <li>B) Tick '✓' wherever applicable</li> </ul>	-	-	-	ian Motor Vehicle Act, 198 untry codes is available at		end.
C) Please read eaction wise detailed guidelinee / instructione et the end.						
D) Please fill the form in English				se tick ( $\checkmark$ ) in the box avai		
E) KYC number of applicant is i		•••		ections not required to be	updated.	
For office use only (To be filled by financial institut	Application Ty		Update			
(10 DO MINO DY MALINA MININ	<sup>non)</sup> KYC Number			(Mandatory	for KYC update r	equest)
1 DETAILS OF REL	ATED PERSON* (P	lease refer instruction E a	t the end)			
Addition of Related Per	SOL		eletion of Related Per	SON	Update F	Related Person Details
KYC Number of Related Pe	erson (if available*)			If KYC number is available	», only 'Related Pers	on Type' & 'Name' is mandatory
•• •		omoter 🗌 Karta 🔲 thorised Signatory 🗌	Trustee Deneficial Owner	Court Appointment     Power of Attorney		orietor er (Please specify)
DIN (Director Identification	Number)		(Mandator)	/ if Related Person Type	is Director)	
	AILS (Please refer inst	truction E at the end)				
Nomat (Como ao ID	Prefix	First Name		Middle Name		Last Name
Name* (Same as ID proof) Maiden Name						
Maiden Name Father / Spouse Name						
Mother Name						
Date of Birth*	INTER-CHING-	VITITIVI				
Gender*	Male	E F- Female	T-Trans	aender		
Nationality*	IN-Indian	Others (IS	O 3166 Country Cod			
PAN*			Form 60 furnish	ed		
Politically Exposed Persor	n PEP or Belated tr	PEP Yes		No		
<ul> <li>A- Passport Number</li> <li>B- Voter ID Card</li> <li>C- Driving Licence</li> <li>D- NREGA Job Car</li> </ul>			nici) Hurri			РНОТО*
E- National Populatio	n Rsgister Letter					
F- Proof of possess	ion of Aadhaar	A DADADADADA				
II E-KYC Authentication	ad these	spectra per				4
III Offline verification o	of Aadhaar	XIXXXXXXXXXX				
Address Line 1*	1.1.1.1.1.1.1				1	
Line 2		141 (1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1				
Line 3				City / Tow	vn / Village*	
District*		Pin / Post Code*		State / U.T. Code*		3166 Country Code*
1.3. CURRENT ADDRI		use refer instruction E et th	Contraction of the second second second			
		ases address details as		ided)		
	•			process needs to be sub	mitted (anyone of t	he following OVDs)
A- Passport Numb	)er					
B- Voter ID Card	0.0					
C- Driving Licence						
D-NREGA Job Ca						
E- National Populati						
F- Proof of posses	123					
II E-KYC Authentica	and the second se	이 가지 않는 것				
III Offline verification		INTO DEPENDING				
IV 🗌 Deemed PoA						

V 🗌 Self Declaration

Address						
Line 1*						
Line 2						
Line 3				City / Town / Village*		
District*	Pin	I / Post Code*	State /	U.T. Code* IS	O 3166 Country Code*	
	AILS (All communications will be	sent on provided Mobile no./ Em	ail ID) (Please refer	instruction D at the end)		
Tel. (Off)		Tel. (Res)		Mobile		
FAX		Email ID				
2 APPLICANT DE						
and I/we under-take to in be false or untrue or misit I am/we are aware of oth Aadhaar record can be u as an audit evidence. I w I/We hereby consent to m address. I am/we are providing the XML data with KRA/CER guidelines.	the KYC details furnished by me a form you of any changes therein, leading or misrepresenting, I am/V her modes of KYC which are avail ised by KRA only for the specific p ill have an option to request for de eceiving information from KRA/CEI consent to MF/RTA/SEBI registere SAI and share the data to other pa Place	, immediately. In case any of the Ve are aware that I/We may be able and I have chosen Aadhaa surpose of validating / maintainin eletion of my Aadhaar record. RSAI through SMS/Email on the d intermediary to share this KYC rrticipating intermediaries as mar	e above information held liable for it. ar based method vo ig / sharing my KYO above registered r /CYKC data / applic	h is found to pluntarily. My C record and number/Email able Aadhaar t/Rules/SEBI	/ Thumb Impression of Applicant	
Documents Received	<ul> <li>Certified Copies</li> <li>Digital KYC process</li> </ul>	<ul> <li>E-KYC data received</li> <li>Equivalent e-document</li> </ul>				
KYC / IN-PE	RSON VERIFICATION CARRIED (	OUT BY		INSTITUTION DETAIL	.S	
Date	Place	Na	me PACE STO	CK BROKING SERVICES	PRIVATE LIMITED	
Emp. Name		Co	de INO5	90		
Emp. Code				Signature of Authorised S	imatani	
Emp. Designation				Colgorature of Additionated of	ignatory)	
Emp. Branch						
	[Employee Signature]			[Institution Stamp]		

**ANNEXURE - 3** 

DITION

. . . . . .

MANDATORY FOR INDUMPLIAL & NON INDUMPLIAL

	COUNT (S) DET						JUAL & NUN-INDIVID	UAL
Bank Name	Branch Addr	ress Bank	Account No.	Account Type		MICR Number	IFSC Code	
				] Saving [] Cu	rrent			
				Others n case of NRI:				
					RO			
Do you wish to receiv (If not marked, the de					BI from tin	ne to time]	Yes N	No
B. DEPOSITO	RY ACCOUNT	(S) DETAILS						
Depository Participant Na	ame Name of Depos	itory Beneficia	ry Name	DP ID		Benefic	iary ID (BO ID)	
		CDSL						
		CDSL						
C. OTHER DE	TAILS/INFORM	IATION FOR P		OF MONEY L		RING AC <sup>.</sup>	T, 2002	
Income Details (please specify) N	letails): Agi Agi Agi Agi Agi Agi Agi Agi	☐ ₹ 1-5 Lac       ☐ ₹         nt 'Net-worth' is O         vate Sector       ☐ F         riculturist       ☐ F         anufacturing       ☐ S         aning Member       ☐ S	s on (Date) (, ptional, In case o Public Sector Retired Hou Services Tra d to PEP Graduate Po Illi /alue chain participa titutional investors e 'Other'. In case o TARY) lip (DIS) booklet t delivery instructio OR o (DIS) for the time	<pre>/20) f Non-Invididua Government S sewife S iding Co Yes st Graduate terate ants (VCPs) Others of any change in o me/us immed ns for settling s</pre>	(Net worth I client 'Ne ervice tudent insultancy Doct Othe Proprieta category, iately on o tock excha	a should not et-worth' will Busines Others. Others No orate ers inform us in pening my a ange trades	be older than 1 y I be mandatory. ss Professional Deg Foreign particip mediately in writi account though I/ Settlement relate	onal onal gree pants ing) We
E. TRADING PRE	·							
* Please sign in the re		re you wish to trad	le. Please strike o	off the segment	not choser	nby you.		
Exchanges		NSE	& BSE			N	ICX, BSE & NSE	
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	SI	LB	Commodity Derivatives	
		<b>E</b>	A)			α	<b>A</b>	

If you do not wish to trade in any of segments / Mutual Fund, please mention here ...... If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. \*\*Currency derivative segment include interest rate future.

# **E. PAST ACTIONS**

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

No Yes		(If yes, please specify			)
F. INTRODUCER	DETA	ILS (optional)			
Name of the Introduce	r				
Status of the Introducer Authorized Person Exist			ting Client 🔲 Others	(Pl. specify)	
Address of the Introdu	cer				
Phone No. of Introduce	ər			Signature of the Introducer	
G. GST DETAILS (A	s appl	icable, State wise)			
Legal Name					
Trade Name					
GSTIN				Registration Date	
Name of the State				State Code	
Other State GSTIN				Registration Date	
Name of the State				State Code	
H. DEALINGS TH	ROUG	H AUTHORISED PERS	SON (AP) / OTHE	ER STOCK BROKERS	
Whether dealing with A	uthorise	ed Person / Other Stock Broke	er of any Exchange	Yes 🔲 No	
If client is dealing through	ugh the	Authorised Person, provide	the following details		
Authorised Person Na	me				
SEBI Registration Nur	mber				
Registered office addr	ess				
Phone		Fax		Website	
Whether dealing with an	y other s	stock broker/Authorised Person	(in case dealing with r	nultiple stock brokers/Authorised Person, provide of	letails of all)
Name of Stock Broker			•	· · ·	
Name of Authorised Perso	n, if any				
Client Code				Exchange	
Details of disputes/dues	pending	from/to such stock broker/Aut	horised Person		
I. ADDITIONAL D	ETAI	LS			
		e physical contract note (ECN) (please specify)	Physical C	ontract Note 🔲 Electronic Contract Note (	ECN)
I/We wish to avail fac	ility pro	ovided by the exchange	SMS Alert	🔲 E-mail Alert 🔲 Both	
In case of ECN/E-ma	ul Alert	Pls. Specify your Email id			
In case of SMS Alert	Pls. Sp	pecify your Mobile No.			
Whether you wish to trading/wireless tech		of the facility of internet (please specify)	🗆 Yes	□ No	
		re Standard Documents* IDD, Guidance Note & Policies & Procedure	Physical		
Number of years of	Investr	nent/Trading Experience			
Any other informatio	n		-		

Parent

Parent

Parent

Parent

Parent

Parent

				MAN
G. MOBILE NUMBER AND E-MAIL ID DECLARATION (Fo	r Individual)			
(FIRST HOLDER) I hereby declare that the Mobile No. mentioned on KYC belongs to Name of the relative	□ Self	Spouse PAN	Dependant Children	Dependant
I hereby declare that the Email ID mentioned on KYC belongs to Name of the relative	□ Self	Spouse     PAN	Dependant Children	Dependant
(SECOND HOLDER) I hereby declare that the Mobile No. mentioned on KYC belongs to Name of the relative	☐ Self	Spouse     PAN	Dependant Children	Dependant
I hereby declare that the Email ID mentioned on KYC belongs to Name of the relative	Self	Spouse     PAN	Dependant Children	Dependant
(THIRD HOLDER) I hereby declare that the Mobile No. mentioned on KYC belongs to Name of the relative	□ Self	Spouse     PAN	Dependant Children	Dependant
I hereby declare that the Email ID mentioned on KYC belongs to Name of the relative	□ Self	Spouse     PAN	Dependant Children	Dependant

# CONSENT FOR AVAILING MARGIN TRADING FACILITY (MTF)

I/We wish to avail the Margin Trading Facility (MTF) on the platform of National Stock Exchange of India Limited and BSE Limited as per the framework prescribed by SEBI vide its' circular No. CIR/MRD/DP/54/2017 dated Jun 13, 2017.

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

I/We have read & understood the "Policies & Procedures for MTF" as specified by Pace Stock Broking Services Pvt. Ltd. regarding terms and conditions of Margin Trading Facility, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/positions etc and agreed to abide by the clauses mentioned therein all the times. Further, I/we will refer to PACE's website from time to time for any updation w.r.t policies & procedures.

-	

(Client Signature)

# DISCLOSURE

Dear Client, This is to inform you that we Pace Stock Broking Services Ltd., do client based trading and pro-account trading. For Pace Stock Broking Services Ltd.

Authorized Signatory

# DECLARATION

- I/We understand that the Stock / Commodity Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with FATCA/CRS. The Stock/Commodity Broker is not able to offer any tax advice on FATCA or CRS or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock/Commodity Brokers shall be required to comply to report, reportable details to regulators / tax authorities / or close or suspend my /our account(s).
   I/We hereby declare that the details furnished above are true, correct and complete 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
- am/we are aware that I/we may be held liable for it.

I/We confirm having read / been explained and understood the contents of the document on policies and procedure, all voluntary / non-mandatory 3. documents of the stock / commodity brokers and the tariff sheet.

- I/We further confirm having read and understood the contents of the 'Right and Obligations' document(s) and 'Risk Disclosure Document' including Additional Risk Disclosure Document for Options trading in MCX. 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/commodity broker's
- designated website: www.pacefin.com 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 5. 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 of Non Resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Right and Obligations of the Beneficial Owner and Depository Participant" I/We declare that Pace Stock Broking Services Private Limited, the brokers, has put me/us on notice that it is engaged in not only client based trading
- 6. but also in pro-account trading

Date :	d d	1	nm	10	1.91	y   y
--------	-----	---	----	----	------	-------

Place
-------

# FOR OFFICE USE ONLY

UCC Code allotted to the Cli	ient:	B O ID:	
	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I/We undertake that we have made the client aware of 'Policies & Procedure', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Right and Obligations' documents(s), RDD(s) including Additional Risk Disclosure Document for Options trading in MCX and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policies and Procedure, tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We undertake that any change in the 'Right and Obligations' and RDD would be made available on my/our website: www.pacefin.com for the information of the clients.

# For Pace Stock Broking Services Pvt. Ltd.

# Signature of the Authorised Signatory

Date : d d / m m / y y y y

### Seal / Stamp of the Stock Broker

# 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.



Third Holder Signature

**Trading Member ID** 

	ROKING SERVICES PVT. LTD. , 412C, 4th Floor, DSCCSL Block 53E, Zone-5, pager-382355(GL)	i alı
•	Idustrial Area, Phase-I, New Delhi-110020	
To be filled by Deposito	SEBI Regn. No. IN-DP-CDSL-399-20	)0
Application No.	Date d d m y y y	У
DP Internal Referenc	e No.	_
DP ID <b>1 2</b>	0 4 9 8 0 0 Client ID	_
	ant in BLOCK LETTERS in ENGLISH a demat account in my/our name as per following details :-	
	ease tick whichever is applicable)	
Status	Sub - Status	Ξ
Individual	Individual Resident       Individual - Director       Individual Director's Relative         Individual HUF / AOP       Individual Promoter       Minor         Individual Margin Trading A/C (MANTRA)       Others (specify)	
	NRI Repatriable       NRI Repatriable Promoter       NRI Non-Repatriable         NRI Non Repatriable Promoter       NRI - Depository Receipts       Others (specify)	
Foreign National	Foreign National     Foreign National-Depository Receipts     Other (specify)	
Non-Individual	Body Corporate       Banks       Trust       Mutual Fund       OCB       FII         CM       FI       Clearing House       Other (specify)         Sub-status To be filled by the DP	
SEBI Registration No. (If Applicable)	SEBI Registration Date	]
RBI Registration No. (If Applicable)	RBI Approval date	]
ROC Registration No. (If Applicable)	ROC Registration Date d d m m y y y y	
Nationality	Indian Others (specify)	
HOLDER DETAILS		
Sole/First Holder's Name	PAN UID UID	
Second Holder's Name	PAN UID	
Third Holder's Name	PAN UID UID U	
Name*		_ _
* In case of Firms, Associa	ation of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natura	al
Clearing Member De	tails (To be filled by CMs only)	
Name of Stock Exchange	e	_
Name of CC / CH		_

# **DEMAT ACCOUNT OPENING FORM FOR INDIVIDUAL & NON-INDIVIDUAL**

# PAC

**Clearing Member ID** 

First Name : Middle Name : Last Name : PAN of Guardian

Details of Guardian in case the account holder is minor

# To be App DP DP (To b Ì/We Тур

MANDATORY

у у у

ce to your wealth

		M	ANDATORY						
		ct the DP to receive each and every credit in my / our account [Automati	ic Credit]						
		to intrust the DP to accept all the pledge instructions in my/our account further instruction from my/our end. (If not marked, the default option would be 'No')	🗌 No						
	Account Statement I	Requirement       As per SEBI Regulation       Daily       Weekly       Fortnightly	Monthly						
	I/We request you t	to send Electronic Transaction-cum-holding Statement at the Email ID	🗌 No						
	I / We would like to	to share the email ID with the RTA	No No						
	I / We would like to receive the Annual Report.       Physical       Electronic         (Tick the applicable box. If not marked the default option would be in Physical)       Both Physical and Electronic								
	I / We would like to receive the Consolidated Account Statement. (Tick the applicable box. If not marked the default option would be in Physical)								
	For Joint accounts, communication to be sent to								
I	Mode of Operations	s for Joint Account* Jointly Any one of the holder or sur	rvivor(s)						
1	of securities includin	on for Joint Account is chosen as anyone of the holder or survivor (s), only specified operations such ing Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, c firmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / s will be permitted.	losure and						
	SMS Alert Fac	cility Mobile No. +91	☐ Yes						
	Refer to Terms & Con given as Annexur	nditions. [(Mandatory, if you are giving Power of Attorney (POA)/Demat Debit & Pledge Instruction (DDPI)]							
	Transactions	I wish to avail the TRUST facility using the Mobile number registered for SMS alert facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.	Yes No						
	Using Secured Texting Facility I/We wish to register the following clearing member IDs under my/our below mentioned BO ID Registered for TRUST.								
	(TRUST) Stock Exchange Name/ID Clearing Member Name Clearing Member ID (Optional)								
	Refer to Terms	National Stock Exchange of India Ltd. / 11378 Pace Stock Broking Services Pvt. Ltd.							
	and Conditions Annexure-B	Bombay Stock Exchange Limited / 3013 Pace Stock Broking Services Pvt. Ltd.							

To register for easi, please visit our website www.cdslindia.com Easi Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online Yes No

INDIVIDUAL: I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details/Particulars mentioned by me / us in this form. I/We further agree that any false/misleading information given by me / us or supperssion of any material information will render my account liable for termination and suitable action.

NON-INDIVIDUAL : I/We have received and read the document of Rights and Obligations of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

	Sole / First Holder	Second / Joint Holder	Third Holder
Name			
Signature	<u>A</u>		••

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN. \* Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).

# **NOMINATION FORM**

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

# PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5,

Road 5E, Gift City Gandhinagar-382355(GJ)

Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

DATE	D	D	Μ	Μ	Y	Y	Y	Y	UCC				
DP ID									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.

No thre	mination can be r ee nominees in th	nade upto le account	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the no Mr./Ms.)	minee(s)			
2.	Share of each Nominee	Equally [If not equally, please specify	%	%	%
		percentage]	Any odd lot after division s	hall be transferred to the first nomine	e mentioned in the form.
3.	Relationship wi Applicant (if an				
4.	Address of Nor	ninee(s)			
	City / Place				
	State / Country				
		PIN Code			
5.	Mobile/Telepho of Nominee(s)	ne No.			
6.	Email ID of nor	minee(s)			
7.					
Sr.	Nos. 8-14 shou	uld be filled	only if nominee(s) is a minor :	•	
8.	Date of Birth {in minor nominee(s				
9.	Name of Guardia {in case of minor				
10.	Address of Gua	ardian(s)			
	City / Place				
	State / Country				
		PIN Code			
11.	Mobile/Telepho of Guardian	ne No.			
12.	Email ID of nor	ninee(s)			



Signature of 2nd Holder

Signature of 1	lst I	lolder
----------------	-------	--------

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.

# (Annexure - B)

# To, PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5,

Road 5E, Gift City Gandhinagar-382355(GJ)

Third Holder Name

Signatures

of Holder(s)

Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

UCC DATE DP ID Client ID Sole/First Holder Name Second Holder Name

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

Note:

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

# DECLARATION FORM FOR OPTING OUT OF NOMINATION



	Relationship of Guardian with nominee					
I	Guardian Identification details - [Please tick any one of following and provide details of same] Photograph & Signature PAN AADHAAR Saving Bank A/c No. Proof of Identity Demat Account ID					
	atures older(s) Signature o	f 1st Holder	Sig	nature of 2nd Holder	•	Signature of 3rd Holder

Signature of 3rd Holder

•C

Adding pace to your wealth

<b>P</b> Adding pace	ACE to your wealth		F	ATCA & CR	S DEC	LARATION	J				
Are you/is Entit	v a tax resident	of any country other than	India	First Holder		Second Holder	Third Holder				
					No [	Yes No	Yes No				
lf yes, please ii	ndicates the all	countries in which you	are / En	tity is, resident for tax	D number below.						
	Cou	ntry		Tax Identification N	lumber		ther, please specify)				
First Holder											
Second Holder											
Third Holder											
	In case Tax Identification Number is not available, kindly provide its functional equivalent. In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.										
Holder Indica	itor	Ci	ty of Bir	rth		Country of	Birth				
First Holder											
Second Holder	Second Holder										
Third Holder											
# applicable to Non-individual			ed detail	s also. Please tick the ap	oplicable resi	dent declaration.					
	-	-					ry's exemption code here				
PART A (to be	filled by Financial I	nstitutions or Direct Reporting	NFEs)								
(Refer 3(v		GIIN Nan	e: If you o l above ar	do not have a GIIN but you nd indicate your sponsor's nsoring entity	name below		ease provide your sponsor's				
GIIN not	available (pleas	e tick as applicable)	<b>Applied</b> Not requ	l for N		Non-participating Fl	(Refer   A of Part C)				
PART B (please	e fill any one as app	propriate "to be filled by NFEs	other than	Direct Reporting NFEs")							
whose shar	ty a publicly trad es are regularly t narket) (Refer 2:	led company (that is, a col raded on an established a of Part C)	nþany	Yes (If yes, please sp Name of stock exchange_	ecify ony one sto	ck exchonge on which the	stock is regularly traded)				
(a compan	y whose shares a	y of a publicly traded com re regularly traded on an et) (Refer 2b of Part C)	ipany	Yes (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company Nature of relation: Subsidiary of the Listed Company or Controlled by a Listed Company Name of stock exchange							
3. Is the Enti	ty an active NFE	(Refer 2c of Part C)		Yes Nature of Bus Please specify the sub-cate		NFE (Menti	ion code – refer 2c of Part C)				
4. Is the Enti	ty a passiveNFE	(Refer 3(ii) of Part C)		Yes Nature of Bus	• /						
UBO Dec	laration (Ma	andatory for all entities	except,	a Publicly Traded Corr	npany or a re	lated entity of Publi	icly Traded Company)				
Difference of the other	rated association / case specify the details of contr	body of individuals	LL countri	naritable Trust Rel	tnership Firm ligious Trust ent residency / c	Private Tru	ability Partnership Company ust entification Numbers for EACH				
				t and Auditor's Letter with re	equired details a	as mentioned in Form Wi	B BEN E (Refer 3(vi) of Part C)				

Γ

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN*			
Address			
	Zip	Zip	Zip
	State:	State:	State:
	Country:	Country:	Country:
Address Type	Residence     Business     Registered office	Residence     Business     Registered office	Residence     Business     Registered office
Tax ID *			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	Service   Business     Others	□ Service □ Business □ Others	Service Business     Others
Nationality			
Father's Name			
Gender	Male     Female     Others	Male     Female     Others	Male     Female     Others
Date of Birth	DD/MMMMM	DD/MM/MMY	DD/MM/YYYY
Percentage of Holding (%) <sup>s</sup>			
Protector of Trust to be specified where In case Tax Identification Number is not	be enclosed. Else PAN or any other valid id ver applicable. available, kindly provide functional equivale:	nt	signation like Director / Settlor of Trust /
Attach valid documentary proof like shar	reholding pattern duly self attested by Autho DECLA	RATION	
FATCA & CRS instructions) and I/We hereby agree and confirn	the information requirements and hereby confirm that the informat n to inform Pace Stock Broking abide by the provisions of the sc tion (AEOI).	ion provided by me/us on this For Services Private Limited for any	m is true, correct and complete. modification to this information
Name			
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Signature of Sole/First Holder	Signature	of Second Holder	Signature of Third Holder
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Please submit the form fully fille Ltd. branch or you can dispatch t	d, signed, for all the holders, sepa he hard copy to-	rately, and submit at your nearest	Pace Stock Broking Services Pvt.
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For Detail Terms & Conditi	ons please visit www.pacefin.co	om	

# RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI & DEPOSITORIES

# **General Clause**

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

# **Beneficial Owner information**

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

# Fees/Charges/Tariff

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

# Dematerialization

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

# **Separate Accounts**

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

# Statement of account

- 13. 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.
- 14. 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.
- 15. 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.
- 16. 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

- 17. 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 of the Beneficial Owner held with another DP or to rematerialize the security balances held.
- 18. 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

- 19. 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.
- 20. 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**

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

# Freezing/Defreezing of accounts

22. 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.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

# **Redressal of Investor grievance**

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

# Authorized representative

25. 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

- 26. 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.
- 27. 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.
- 28. 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.
- 29. 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
- 30. 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.
- 31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Byelaws, 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.

# Additional Rights And Obligations' of the Rights and Obligations Document

"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."







# 1. Refusal of orders for penny / illiquid stock/commodity

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

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

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

The stock broker/commodity broker is required only to communicate / advise the parameters for the calculation of the margin / security/cornmodity requirements as rate(s) / percentage(s) of the dealings, 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/commodity broker; by publishing / displaying it on the website of the stock broker/commodity broker/ making it available as a download from the website of the stock broker/commodity 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. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client 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/commodity broker and the client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameters for margin / security/ commodity requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of security/commodity) on his / her / its own and provide the required / deficit margin / security/commodity forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker/commodity broker to the client and / or whether or not such communication is received by the client.

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

The stock broker/commodity broker is entitled to vary the form (i.e., the replacement of the margin / security / commodity in one form with the margin / security / commodity in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage of the margin & / or security/commodity required to be deposited / made available, from time to time.



The margin / security/commodity deposited by the client with 5. the stock broker/commodity broker are not eligible for any interest.

The stock broker/commodity broker is entitled to include / appropriate any / all payout of funds & / or securities/ commodities towards margin / security/commodity without requiring specific authorizations for each payout.

The stock broker/commodity broker is entitled to transfer funds &/ or securities/commodities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the stock broker/commodity broker. The client also agrees and authorises the stock broker/commodity broker to treat / adjust his / her / its margin / security/commodity lying in one exchange & / or one segment of the exchange / towards the margin / security/ commodity / pay in requirements of another exchange & / or another segment of the exchange.

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

# 3. Applicable brokerage rate

The stock broker/commodity broker is entitled to charge brokerage within the limits imposed by exchange/Sebi. Any stamp duty payable on the trades executed on behalf of

Any stamp duty payable on the trades executed on behalf of the client will be the sole liability of the client only and the client will be responsible to pay the same to the revenue authorities.

# 4. Imposition of penalty / delayed payment charges

The clients will be liable to pay late pay in/delayed payment charges for non making payment of their payin/margin obligation on time as per the exchange requirement /schedule at the rate upto 2% per month. In case of purchase by the client, he will be charged delayed payment charges from one day before the payin date and in case of sale, delayed payment charges will be charged till one day after the payout date.

The client agrees that the stock broker/commodity broker may impose fines / penalties for 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, at such rates and in such form as it may deem fit. Further where the stock broker/commodity broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

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

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

Without prejudice to the stock brokers/commodity broker other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/ obligations.

The stock broker/commodity broker maintains centralized banking and securities/commodities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities/ commodities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities/commodities. The stock broker/ commodity broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities/ commodities by the client in the designated account(s) of the stock broker/commodity broker for meeting the pay in obligation of either funds or securities/commodities. If the client gives orders / trades in the anticipation of the required securities/commodities being available subsequently for pay in through anticipated payout 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/commodities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at. the exchange or stock broker/commodity broker level/non release of margin by the stock broker/commodity broker etc. the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock broker/commodity broker responsible for the same in any form or manner whatsoever. In cases of securities/commodities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock/commodity split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock /commodity split, Right issue etc will be given when the shares is actually received in the stock broker/commodity broker designated demat account.

In case the payment of the margin / security/commodity is made by the client through a bank instrument, the stock broker/commodity 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 stock broker/commodity broker.

Where the margin / security/commodity is made available by way of securities/commodities or any other property, the stock broker//commodity broker is empowered to decline its acceptance as margin / security/commodity & / or to accept it at such reduced value as the stock broker/commodity broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker/commodity broker may deem fit in its absolute discretion.



The stock broker/commodity broker has the right but not the obligation, to cancel all pending orders and to sell/close liquidate all open positions/ securities/commodities/ shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The stock broker /commodity broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (i.e. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/ commodites/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; 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 shall also be solely liable for all and any penalties and charges. levied by the exchange(s).

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

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security/commodity or to meet the funds/ margins/ securities/ commodities pay in obligations for the orders / trades / deals of the client within the prescribed time and form, the stock broker/commodity broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- (i) To withhold any payout of funds / securities / commodities.
- (ii) To withhold I disable the trading / dealing facility to the client.
- (iii) To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker/commodity broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities/commodities which are pending delivery / receipt.
- (iv) To liquidate / square off partially or fully the position of sale & / or purchase in anyone or more securities / commodities / contracts in such manner and at such rate which the stock broker/ commodity broker may decide in its absolute discretion.
- (v) To take any other steps which in the given circumstances, the stock broker/commodity broker may deem fit.

The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker/commodity broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker/commodity broker.

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

Stock broker/commodity broker shall not be obliged to deliver any securities/commodities or pay any money to the client unless and until the same has been received by the stock broker/commodity broker from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his / her / its obligations first. 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/commodities delivered short are purchased from market on T +2 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b) If securities/commodities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T +2 day or Auction day on Exchange + 10%. 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.
- c) In cases of securities/commodities 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 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

The stock broker/commodity broker has margin based RMS system. Client may take exposure upto the amount of margin available with broker.

Client may not be allowed to take position in case of nonavailability/shortage of margin as per RMS policy of the broker. 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 payin obligation/ outstanding debts.

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

- (i) The client may request the stock broker/commodity broker to temporarily suspend his account, stock broker/commodity broker may do so subject to client accepting / adhering to conditions imposed by stock broker/commodity broker including but not limited to settlement of account and/ or other obligation. Same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.
- (ii) The stock broker/commodity 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.

# 9. De-registering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker/commodity 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/commodities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the Client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (v) If the Client has voluntarily or 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;
- (vi) If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- (vii) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security/ Commodity;
- (ix) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (x) If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker/commodity broker;
- (xi) If the Client is in breach of any term, condition or covenant of this Agreement;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker/commodity broker. Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. The client understands that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in the broker's back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond the broker's control and may result in delay in processing or not processing buy or sell Orders either in part or in full. The client shall be fully liable and responsible for any such problem/fault.

# Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and 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 A.D / 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/commodity broker; by publishing / displaying it on the website of the stock broker/commodity broker / making it available as a download from the website of the stock broker/commodity 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 email/voicemail service provider, etc. by the stock broker/commodity 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/commodity broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.



# **BROKERAGE STRUCTURE**

# **BROKERAGE SLABS FOR CASH SEGMENT**

(Exclusive of Stamp Duty, GST, STT and any other Statutory Levies)

Brokerage Slab	Slab %	Minimum Paise	Other Charges
Delivery Based			
Daily Square Up			

# **BROKERAGE SLABS FOR DERIVATIVES SEGMENT**

(Exclusive of Stamp Duty, GST, STT and any other Statutory Levies)

		Futures		Option			
Brokerage Slab	%	Minimum	Other Charges	%	Minimum Per Share	Minimum Per Lot	Other Charges
Normal Expiry							
Daily Square Up							

# BROKERAGE SLABS FOR CURRENCY SEGMENT

(Exclusive of Stamp Duty, GST, STT and any other Statutory Levies)

		Futures		Option			
Brokerage Slab	%	Minimum	Other Charges	%	Minimum Per Share	Minimum Per Lot	Other Charges
Normal Expiry							
Daily Square Up							

# BROKERAGE SLABS FOR COMMODITY SEGMENT

(Exclusive of Stamp Duty, GST, CTT and any other Statutory Levies)

		Futures		Option			
Brokerage Slab	%	Minimum	Other Charges	%	Minimum Per Share	Minimum Per Lot	Other Charges
Normal Expiry							
Daily Square Up							

### NOTE:

- 1. Transaction charges as per Exchange will be charged extra.
- 2. STT, CTT, other Taxes and levies, investor protection fund fees etc. charged by the statutory authorities/Echange(s), cheque bounce charge, auction settlement charges as may be applicable will be levied.
- 3. GST will be Charged Extra.
- 4. Physical contract notes provided on request at extra cost.
- 5. Delayed payment charges @24% per annum compounded daily shall be charge on debit balance of the client.
- 6. Charges/service standards are subject to revision at sole discretion of Pace Stock Broking Services Pvt. Ltd.
- 7. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- 8. A minimum of Rs. 25/- will be charged on brokerage / processing fees for any particular day per segment.
- 9. Charges for online trading connectivity will be extra as per policy declared on the website www.pacefin.com.
- In case of F&O Segment, Currency Segment, Commodity Segment and intraday turnover in CM Segment clearing charges @ Rs.200/per crore of total turnover (including notional turnover in case of options) will be charged extra. Clearing charges @ Rs.1000/- per crore
  will be charged extra in case of delivery turnover in cash segment.
- 11. Management reserves the right to freeze, discontinue or suspend any account if required.

### I/We,

have read the above given information and agree to pay the same

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



# PACE STOCK BROKING SERVICES PVT. LTD.

**DEPOSITORY PARTICIPANT - CDSL** 

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ)

Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020 Phone : 011-49022222, Fax : 011-26105823, E-mail : admin@pacefin.com



SEBI Regn. No. IN-DP-CDSL-399-2007 DP ID : 12049800

# SCHEDULE OF DEMAT CHARGES w.e.f. 1st February 2019 Beneficiary Account - CDSL

S. NO.	ACTIVITY	FEES
1.	Account Opening Fee	Nil
2.	Dematerialisation	Rs. 5/- certificate*
3.	Rematerialisation	Rs. 15/- certificate*
4.	Transaction Fee	
Α	Buy	Nil
В	Sell	0.02% subject to Min. Rs. 25/- Per Debit Instruction
5.	Pledge Creation/Closure/Invocation	0.03% subject to Min. Rs. 50/-
6.	Annual Maintenance Charges	Regular (Individual)CorporateRs. 450/- Per AnnumRs. 1600/- Per Annum
		Life Time (5 Year Upfront AMC) Rs. 1600/- (Only for Individual)
7.	KRA Charges	As Actual
8.	Stamp Paper Charges	As Actual
9.	Instruction Book (First Booklet Free)	Rs. 30/- for 10 Leafs (Subsequent Booklet)
10.	Other Charges	Courier Charges, ECS Clearing Charges, Charges for Sending Consolidated Account Statement & Out of Pocket Expenses on actual basis.

\* Dematerialisation of shares mailing charges Rs. 25/- per mail (local)

\* Dematerialisation of shares mailing charges Rs. 50/- per mail (out station)

1. Delivery instruction accepted within 24 hours of execution date will be at clients sole risks.

2. AMC of Rs.500/- plus GST will be levied at the end of 5 years.#

3. For weekly and fortnightly statement charges Rs. 5/- per page + Postage / Courier Charges.

4. Taxes and other Govt. levies will be charged extra as applicable for time to time.

5. Incase Bank mandate for debit through **ECS** is not given. Minimum credit balance of Rs. 300/- shall be maintained as advance.

6. In case of any upward revision in schedule of charges, 30 days notice would be given by publishing in newspaper/post shall treated as sufficient notice.

7. In case of non payment of bill/dues within 15 days of due date, the depository services are liable to be discontinued within a period of 30 days from the date of demand, The renewal charges for resuming the services will be Rs. 100/-

8. Any services not mentioned above will charged extra.

I wish / do not wish to open a BSDA account and operate the Demat Account in Regular / BSDA category.

# For Pace Stock Broking Services Pvt. Ltd.





# **IMPORTANT INFORMATION**

We do not offer any fix or assured return on your investment of funds or securities. We are also not borrowing any kind of loan from the clients. If anyone offering on behalf of our company/name kindly inform us at 011-4902222 / 011-49022293, Email id: info@pacefin.com and kindly do not give any payment / any other stock through such person.

I/we acknowledgment the receipt of the above information.

**Client Signature** 



# NON-MANDATORY DOCUMENTS

# **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 Exchanges.

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 MFMFSS 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 Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Funds Schemes with respect to which I/we choose to subscribe/redeem. I/we further agree to abide by the terms 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 BSE StAR MF/MFFS.

# DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING NEW BSE STAR MF / MFSS FACILITY

- 1. Pre-requisites for becoming Investor / Client for the BSE StAR MF/ MFSS facility
  - 1.1. The client who is desirous of investing in units of mutual fund schemes through the New BSE StAR MF/MFSS.
  - 1.2. 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.
  - 1.3. 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.
  - 1.4. The Client has approached to the Participant with the application for availing the New BSE StAR MF/MFSS facility.
  - 1.5. The Client has submitted relevant KYC (Know Your Client) details to the Participants

# 2. Terms and Conditions

- 2.1. 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.
- 2.2. 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.

- 2.3. 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.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of the BSE, NSEIL, SEBI and AMFI.
- 2.7. 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.
- 2.8. 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.
- 2.9. 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.
- 2.10. In case of any dispute between the Participants and the investors arising out of the BSE StAR MF/MFSS facility, BSE and/or BOISL and NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.
### PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, 0khla Industrial Area, Phase-I, New Delhi-110020

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

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

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

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/commodities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities/commodities displaying all receipts/deliveries of funds/securities/commodities. Please explain in the statement(s) being sent the retention of funds/securities/commodities and the details of the pledge, if any. Please do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

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

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

Once in a Calender Quarter

Once in a Calender Month

Thanking you,

Yours faithfully

Signature with Date

Name :....

(Note : To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.)

#### To, Pace Stock Broking Services Pvt. Ltd.

Member : MCX & NCDEX

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ)

Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

Dear Sir,

I/We\_

a client with member M/s. PACE STOCK BROKING SERVICES PVT.

LTD. of Exchange undertakes as follows:

- I/We am/are aware that the member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself want the same in the electronic form.
- I/We am/are aware that the member has to provide electronic contract note for my/our convenience on my/our request only.
- 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 am/are a regular internet user, having sufficient knowledge of handling the 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 in any other Indian language known to me/us.
- 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-mail ID.

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 risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

\*(The email id must be written in own handwriting of the client.)

Client Name:		
Unique Client Code : _		

PAN:\_\_\_\_\_

Address :

Address :

Æ

Client Signature

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

Verification of the client signature done by,

Name of the designated officer of the Member\_\_\_\_\_

Signature\_

### **AUTHORISATION FOR ELECTRONIC CONTRACT NOTES/STATEMENTS**

### PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, 0khla Industrial Area, Phase-I, New Delhi-110020

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

I / We understand that, I / we have the option to receive the contract notes, account statements/statement of securities in physical form or electronic form. In pursuance of the same, I / we hereby opt for receipt of contract notes, account statements/statement of securities/commodities in electronic form. I / We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes and account statements. Accordingly, please take the following email account(s)/ email id on your record for sending the contract notes to me/us.

1.....

2.....

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

I/ We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my / our email account(s) / email id(s).

In terms of the agreement entered into between us, in Digital form, Digital contract issued by your as per the terms and conditions specified shall be binding on me. My/our non-verification or not accessing the contract on regular basis shall not be a reason for disputing the contract note at any time. This instruction to issue digital contract note is applicable with immediate effect.

I/We also acknowledge the upload of contract notes/bills, statement of accounts/ledgers and other statements/ documents for trading on NSE on your website www.pacefin.com. I /We hereby agree and confirm to verify the information/documents that are sent on email and/or upload on the said website regularly and the same shall be deemed to be received by me/us (vide SEBI circular ref.No. SEBI/SMD/SE/15/2003/29/04 dated April 29, 2003, regarding issuance of contract notes/bills, statements of ledger/accounts in digital/electronic form and also to disseminate the same on the website for easy access to the Investor)

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

If there is any change in the name & in my/our email ID in the residential/correspondence address, the same shall be intimated to your in writing within reasonable period of time.

Thanking you,

Yours faithfully,

A.	
	t Signature)

Client Name :....

(Note : To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.)

#### LETTER OF AUTHORITY

Client Name......Client Code......

Date.....

### PACE STOCK BROKING SERVICES PVT. LTD.

Member : NSE, BSE, MCX Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3. Okhla Industrial Area. Phase-I. New Delhi-110020

#### Sub: Letter of Authority NSE. BSE. MCX

I am / We are dealing in securities/commodities and/or Currencies with you at NSE Capital, F & O Segments, Currency Derivatives segment and Commodity Derivative Segment / BSE Capital Market, F&O Segment and Commodity Derivative Segment / MCX Commodity Segment and in order to facilitate ease of operations. I/We authorize you as under:

- 1. I/We authorise you to setoff outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange and/or against the value of cash margin or collateral shares/commodities provided to you by me/us.
- I/We hereby authorise you not to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid 2. unnecessary paper work. I/We shall get the required details from contract notes issued by you.
- I/We hereby authorize you to keep all the securities/commodities which we give you in margin including the payout of 3. securities/commodities received, to use the securities/commodities for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of securities/commodities in favour of bank and/or taking loan against the same of meeting margin/pay-in obligation on our behalf or for giving the same as margin to the stock exchange or otherwise.
- I/We request you to retain credit balance in any of my/our account and to use the idle funds towards my/our margin/future obligations at 4. both the Exchanges unless I/We instruct you otherwise. I/We also authorise you to debit the financial charges @ 2% p.m. compounded daily for the debit balances if any, in my/our account and not settled as per the exchange requirements.
- I/We request you to retain Securities/Commodities/warehouse receipt in your Demat account for my/our margin/future obligations at both 5. the Segments, unless I/We instruct you to transfer the same to my/our account. I/We also authorize you to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf.
- I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction 6. and give me/us all the confirmation on telephone unless instructed other wise in writing. I am / We are getting required details from contracts issued by you.
- 7. I/We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute the same.
- 8. I/We will inform you the change in my/our e-mail, if any, in future either by regd. post or through a digitally signed e-mail.
- 9. I/We shall abide by the rules regulations / guidelines circulars of the exchange issue from time to time as applicable and shall be liable for non-adherence.
- 10. I/We understand and agree that no interest will be payable to me/us on the amount or securities retained with you.
- I/We am/are agreeable for inter-settlement transfer of securities/commodities towards settlements. 11.
- 12. I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
- All fines/penalities and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account/ 13.
- I/We have a Trading As well as depository relationship with PACE STOCK BROKING SERVICES PVT. LTD. Please debit the charges 14. relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reasons.

Thanking you, Yours faithfully,

(A)

(Client Signature) (In case of Corporates, please affix company seal)

Score out whichever of the above clauses is not acceptable agreed to.

### PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, 0khla Industrial Area, Phase-I, New Delhi-110020

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

I/We agree and acknowledge that it is advised and preferred you that I/We give instructions for order placement/ modification and cancellation in writing and to avoid disputes, I/we must give instructions in exactly the format given below in duplicate (carbon copy/ photocopy) and take signatures of your duly authorised officers at the branch along with your company stamp on the carbon/photocopy of the instructions in acknowledgement of receipt of my/ our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my / my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under mine/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,

Yours faithfully,

(Client Signature)

#### Client Name :....

### PLEDGE AUTHORISATION

### PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, 0khla Industrial Area, Phase-I, New Delhi-110020

I/we have been / shall be dealing through you as my broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments / Commodity Derivative Segment. As my broker i.e. agent I/ we direct and authorize you as under.

Pledge /deposit my/our securities whether deposited as collateral/margin or permitted by us to be retained in the running account etc. by you with any person(s) including but not limited to anyone or more bank(s) and/or stock exchange(s) and/or clearing corporation(s) / clearing house(s) or any other person. You may at your absolute discretion raise funds, obtain bank guarantee(s) and FDRs etc against such deposit/ pledge. I/ we authorise you to do in my/our name and on my/our behalf all such acts, deeds and things as may be necessary and expedient for placing pledging / depositing my/our securities/commodities with a person of your choice. If for any reason the pledgee sells / liquidates these securities/commodities l/we shall not dispute or contest the acts of pledgee in any manner what so ever. Please treat this authorization as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,

Yours faithfully,

(Client	Signature)	

Client Name :....

### AUTHORISATION TO SEND CONTRACT NOTE, STATEMENT OF FUNDS & SECURITIES/COMMODITIES CLIENT REGISTRATION DOCUMENTS ETC. ELECTRONICALLY

I/we authorise you to issue the contract notes, statement of funds & securities, circulars, amendments, Client Registration Documents and such other documents in electronic mode in lieu of physical mode on my E-mail ID as given in KYC form and updated from time to time.

Any change in the E-mail ID shall be communicated by me/us in writing to your customer care department.

Further, to my/our authority to you to issue Contract Notes in digital format I/we authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/we shall get the required details from the Contract Notes issued to us.

I/we authorize you to send periodic statements of funds and securities & margin statement etc in digital format at my Email address unless I/we request you in writing to send them in paper form.

I/we hereby acknowledge that all the documents as send above by Pace Stock Broking Services Pvt. Ltd. electronically will be considered as having delivered to me once the e-mail leaves the Pace Stock Broking Services Pvt. Ltd. e-mail server unless the same is rejected by client e-mail server and bounced mail notification is not received by Pace Stock Broking Services Pvt. Ltd. I/We further agree that in absence of communication from my/our end regarding non-receipt of documents through e-mail, or notification of any discrepancy within 2 days from the date of issuance of digital contract note through e-mail, Pace Stock Broking Services Pvt. Ltd. may construe that there is a deemed acknowledgment of the document(s) send to client electronically.

(Client Signature)	
Client Name :	 
Client Code :	 Date :

[Note: To be signed by person himself / herself not to be signed by his / her attorney / Authorized person etc.]

### DECLARATION FOR SIGNATURE MISMATCH

(To be filled if	i client's signatu	re is mismatche	d from PAN Card a	nd Bank)
	_			

This is to bring your notice that my signature on PAN Card / Bank and account opening form are as follows :

Signature as per Bank	
Signature as per Account Opening Form	
Signature as per PAN Card	

I hereby confirm that all the above signatures are mine. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep Pace Stock Broking Services Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by Pace Stock Broking Services Pvt. Ltd. for any act done or omitted to be done on the above declaration.

(Client Signature)	
Client Name :	
Client Code :	Date :
[Note: To be signed by person himself / herself not to be signed by his / her attorney / Aut	horized person etc.]

### FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND E-MAIL ADDRESS

To, The Compliance Officer	Date :		
The Compliance Officer PACE STOCK BROKING SERVICES PVT. LTD. Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, 0khla Industrial Area, Phase-I, New Delhi-110020	Member Id's : 11378 (NSE), 3013 (BSE) 56635 (MCX)		
<ul> <li>I/We am/are aware that NSE, BSE and MCX provide SMS/email alerts to the constituer platform. I/We hereby provide and confirm my/our mobile number and/or email add SMS/email alerts.</li> <li>I want to receive transaction alerts in SMS as well as email from Exchanges.</li> <li>I want to receive transaction alerts only in SMS from Exchanges.</li> <li>I want to receive transaction alerts only in Email from Exchanges.</li> <li>I want to receive transaction alerts only in Email from Exchanges.</li> <li>I do not want to receive any transaction alerts from Exchanges, specify reason</li> </ul>	· ·		
The alerts should be sent on Mobile Number & E-mail ID given in KYC.			
I/We agree to the terms and conditions specified by the Exchange in its circular no time to time. I/We am/are aware that the receipt of SMS/E-mail alerts on the above mobil on my/our written request.			
Name of the Client			
Client Id	(Client Signature)		
CLIENT UNDERTAKING			

To.

### PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

Sub.: Client Undertaking for Prevention of Money Laundering

Dear Sir/Madam.

This is with regards to my/our Trading Code with Pace Stock Broking Services Pvt. Ltd. I/We hereby confirm that transactions related to sale, purchase and / or dealing in securities/commodities executed by me/us are for the purpose of investment of my/our own money and/or for the purpose of dealing in security/commodity markets for my / our interests. I/We undertake that :

I/We am/are

(Resident of India/NRI/Others) and was/were never convicted for any activity subjected to Indian Penal Code and/or any other such activity which is prohibited by the laws of the Land.

I/We am/are not a party to any agreement or arrangement, directly or indirectly, to facilitate settlement of my/our transactions with Pace Stock Broking Services Pvt. Ltd., where Pace Stock Broking Services Pvt. Ltd. is a party of such agreement or arrangement.

I/We confirm that funds and/or Securities/Commodities used by me/us for settlement of transaction are assets earned by me/us through legal means in my/our own capacity and are not assets qualified under Prevention of Money Laundering Act, 2002 (PMLA).

(Client Signature)	
Client Name :	
Client Code :	Date :
[Note: To be signed by person himself / herself not to be signed by his / her attorney / Aut	thorized person etc.]

NON-MANDATORY

### REQUEST FOR TRADING IN COMMODITY FORWARD CONTRACTS / COMMODITY DERIVATIVES ON ALL EXCHANGES

To.

### PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

Date :

NON-MANDATORY

Dear Sir.

#### Subject : My / Our request for trading in commodity forward contracts / commodity derivatives on All Exchanges as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/338/2006 dated August 21, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of all exchanges as modified from time to time.

I/We undertake to inform you and keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/ companies/HUFs/Trusts in which I or any of above such person is a partner/director/kartaltrustee, take or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your client on MCX only on the basis of our above assurance and undertaking.

Yours faithfully

(Client Signature)

Sole Proprietor/Partner/Director/Karta/Trustee

### **ADJUSTMENT IN DIFFERENT EXCHANGES / ACCOUNTS**

#### To, PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

### Sub : Adjustment in different Exchanges / Accounts maintained with you

Dear Sir,

I/We executed/desire to execute and agreement with Pace Stock Broking Services Pvt. Ltd., for trading on the NSE/BSE/MCX in Security/Commodity Market. In this regard, I/We hereby request you to treat the agreement between us whether in NSE/BSE/MCX as coextensive and therefore I/We hereby authorized you to transfer, make adjustments and/or to set off a part or whole of the securities / Commodities place as margin and/or any surplus funds in any of my accounts(s) maintained with you i.e. either in NSE/BSE/MCX against the outstanding dues payable if any, by me/us in any of my/our account(s) maintained with Pace Stock Broking Services Pvt. Ltd. or vice versa, notwithstanding anything contrary contained in the agreement between us. Pace Stock Broking Services Pvt. Ltd. shall have right of lien on the credit balance in any of my/our accounts. Any entries passed by you in accordance with this authorization shall be binding on me/us.

Thanking You,

Yours Faithfully,

(Client Signature)

Date :

### **DECLARATION BY THE USER**

I/We hereby declare that I/We am/are aware about the Ri and SEBI that may in force from time to time and understa of violation of the Rules, Byelaws, Regulations and Circula User (Internet) of Pace Stock Broking Services Pvt. Ltd. I Broking Services Pvt. Ltd. I/We certify that I/We have not I/We will not allow anybody else to access / use such Tradi	nd that appropriate ars issued by the E would intimate the applied for any oth	e action may be initiated xchange(s) and SEBI. I Exchange on ceasing to her Internet User ID for t	by the Exchange(s) and SEBI in case further agree to become an approved o be an Approved user of Pace Stock which this ID's now being applied for.
I/We shall keep complete secrecy of the password and une	dertake not to discl	ose the password to any	person.
(Client Signature)			
Date :			
Place :			
CLIENT I	DEFAULTER DE	CLARATION	
I/We,		having PAN No.	do
hereby declare that I/We have not been involved in any term appearing in defaulter database as per SEBI/Various Exchange	rorist activity and I/	We have not been declar	red as defaulter or my/our name is not
I/We further declare that the above mentioned declaration /	/statement is true a	nd correct.	
Client Name : Client Code : [Note: To be signed by person himself / herself not to be DE		Date : r attorney / Authorized p	
[To be signed by all the me	embers of HUF (app	licable in case of 'HUF'	Client)]
To, PACE STOCK BROKING SERVICES PVT. LTD.		Name of Karta : .	
Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Bloc Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, 0khla Industrial Area, Phase-I, New Delhi		Date of Birth of Karta :.	
Dear Sir,	FIIUUZU	PAN No. of Karta : .	
We confirm that the undersigned are all members of and we have no objection to the Karta, Mr Trading / Demat A/c with M/s. Pace Stock Broking Services			
Yours truly,			
Name of Co-parcener / Karta	Date of Birth	Relationship with Ka	arta Signature
1.			
2.			
3.			
4.			

5. 6.

### **CLIENT POSITION AUTHORIZATION**

#### To,

#### PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, 0khla Industrial Area, Phase-I, New Delhi-110020

I / We understand that in case, of my / our failure to make the funds pay in or delivery of securities/commodities for our deals / trading by designated day, you are entitled to sell off in the market the securities/commodities received in pay out and / or deem our position closed out at applicable rates.

I / We do hereby request you not to carry out such sell off in the market the securities/commodities received in pay out and / or deem my / our positions closed out and I / We shall in consideration thereof shall pay the opportunity cost / interest on such non sold off securities/commodities and / or non closed out position without demur or protest at such opportunity cost and / or interest as you shall determine entirely at your discretion.

I/We do hereby indemnify and agree to compensate for any losses, penalties you may suffer for agreeing to this direction.

Thanking you,		
Yours faithfully,		
Client Name :	 	

Signature :

Date :

Place :

### LETTER OF CONFIRMATION

#### TO, PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, 0khla Industrial Area, Phase-I, New Delhi-110020

Dear Sir,

Please refer to my trading account opened with you for trading. I would hereby confirm that I am fully aware and informed that all the details of my account is shown / available on your website www.pacefin.com. I am also aware that my Statement of Accounts, Contract Notes, Daily Confirmations and Net Positions are available online on your website and I will check these reports on daily basis. I will inform you if there is any discrepancies in these reports immediately in writing. If for any reason, I am not able to access these reports, I will immediately inform you in writing on the same day. Even if I am not trading, I will access my Statement of Account on your website at least on a weekly basis and it will be entirely my obligation to inform you of any discrepancy immediately and in writing.

Client Signature

#### TRADING TECHINICAL AND DERIVATIVES RESEARCH (TTD)

Caution: Trading in the derivatives segment or in the capital market segment using technical charts or short term indicators (trading calls) is a high risk and requires skill, experience and knowledge of the capital markets. Certain transactions including those involving futures, options and other derivatives as well as non-investment grade securities - involve substantial risk and are not suitable for all investors. STOP LOSS ORDERS help limit loss but even placing contingent orders, such as "stop-loss" or "stop-limit" orders will not necessarily limit your losses to the intended amounts, and it is important that only a small portion of your corpus is allocated to such trading. Leverage can lead to large losses as well as gains. You may sustain a total loss of the initial margin funds and any additional funds that you deposit with us to establish or maintain a position, and you incur losses beyond your initial investment.

#### **TERMS AND CONDITIONS**

Pace Stock Broking Services Pvt. Ltd. (PSBSPL) will, at its discretion, provide its trading call, technical and derivatives reports as also market news to its clients either in the form of a written market commentary or research report sent in e-mail, fax form, SMS or through postal or courier service. A brief extract of the TTD reports may also be sent, on enrolment, in SMS, e-mail or fax form.

To avail of TTD reports, clients are required to understand and confirm/accept the following:

- 1. Clients have read and understood in full the terms and conditions contained in the member client agreement and risk disclosure documents provided therein. Clients are also to read and understood the important disclosures and disclaimers forming part of each report.
- 2. TTD reports are for the general information of clients of PSBSPL They do not constitute a personal recommendation or take into account the particular investment objectives, financial situations, or needs of the individual clients.
- 3. No information published in TTD Reports constitute a solicitation or offer, or any kind of recommendation, to buy or sell any investment instruments, to effect any transactions, or to conclude any legal act of any kind whatsoever and the risk of loss on the basis of information published in TTD reports can be substantial. Clients should, therefore, carefully consider whether such trading is suitable for them in light of their circumstances and financial resources.
- 4. The information published and opinions expressed are provided by PSBSPL for personal use and for informational purposes only and are subject to change without notice, PSBSPL makes no representation (either express or implied) that the information and opinions expressed in TTD Reports will be accurate, complete or up to date. Clients should obtain device from a qualified expert before making any trading decision. The stated price of any securities mentioned in TTD Reports will be as of the date indicated and is not a representation that nay transaction can be effected at this price. Neither PSBSPL nor other persons shall be liable for any direct, indirect, special, incidental, consequential, punitive or exemplary damages, including lost profits arising in any way from the information contained in PSBSPL Reports.
- 5. PSBSPL will exercise due diligence in checking the correctness and authenticity of the information contained in TTD Reports, but PSBSPL or any of its affiliates or directors or officers or employees shall not be in any way responsible for any loss or damage that may arise to any person from any

inadvertent error in the information contained in TTD Reports or any action taken on basis of TTD Reports. Price and value of the securities forming part of TTD Reports may go up or down. Past performance is not a guide for future performance.

- 6. PSBSPL may use brand names for all or any of TTD reports. Such names would represent the brand and not the nature or feature of TTD reports.
- 7. TTD reports will include commentary on derivatives trading, technical analysis and limited review of stocks and may not be based on comprehensive or fundamental of the stocks.
- 8. PSBSPL has two independent equity research groups: Institutional Equities Research Group and Private Client Group. The Private Group is responsible for the preparation of TTD Reports. A designated team form the Private Research Group also prepares reports based on fundamental evaluation of companies. The views and opinions expressed in TTD Reports mayor may not match or may be contrary with the views, estimates, rating, target price, of reports of the Institutional Equities Research Group and Private Client Group dealing in fundamental research. Further, there may be a contrary view within the TTD Reports with regard to estimates, rating, target price as evaluation are based on different criteria.
- The contents of the TTD Reports cannot be copied, reproduce, republished, uploaded, posted, transmitted or distributed for any non-personal use without obtaining prior permission from PSBSPL.
- 10. The proprietary trading and investment businesses of the PSBSPL may make investment decisions that are inconsistent with the views expressed in the TTD reports.
- 11. PSBSPL and its affiliates, officers, directors, and employees world wide may: (a) from time to time, have long or short positions in, and buy or sell the securities thereof, of company(ies}mentioned in the TTD Reports or (b) be engaged in any other transaction involving such securities and earn brokerage or other compensation or act as a advisor or lender/borrower to such company (ies) or have other potential conflict of interest with respect to any view and related information and opinions mentioned in TTD Reports.
- 12. PSBSPL reserves the option to provide all or any of the TTD reports and the right to suspend or vary the whole or any part of the same for any reason, at any time at its sole discretion.
- 13. Clients who enroll for SMS/e-mail/Fax delivery of brief extract of TTD reports are required to read the full reports.
- 14. PSBSPL does not guarantee completeness, error, delay, interruption or timeliness or delivery in whole or in part of any of the TTD reports or their extracts. The same is provided on an "as-is" and "as-available" basis.
- 15. Users should check with their service providers/operator for charges, if any.

#### **CLIENT AČCÉPTÁNCE**

I/We hereby acknowledge that, PSBSPL may at its discretion, at may/our request provide me/us with TTD Reports or its brief extract. I/We have made the request after understanding and accepting its terms, conditions and risks set forth above.

_	

(Client Signature)

Client Name :

Client Code :

Date :..... Place :....

### **FUNDAMENTAL RESEARCH**

Pace Stock Broking Services Pvt. Ltd. (PSBSPL) will, at its discretion, provide its company research reports/news, results and event updates / sector reports monthly commentary / regular compendium (together "Reports) to its clients either in the form of a written market commentary or research report sent in e-mail, fax form or SMS or through postal or courier service. A brief extract of the reports may also be sent, on enrolment, in SMS, e-mail or fax form.

To avail of reports, clients are required to understand and confirm/accept the following:

- 1. Clients have read and understood in full the terms and conditions contained in the member client agreement and risk disclosure documents provided therein. Clients are also to read and understood the important disclosures and disclaimers forming part of each report.
- 2. The reports are for the general information of clients of PSBSPL They do not constitute a personal recommendation or take into account the particular investment objectives, financial situations, or needs of the individual clients.
- 3. No information published in Reports constitute a solicitation or offer, or any kind of recommendation, to buy or sell any investment instruments, to effect any transactions, or to conclude any legal act of any kind whatsoever and the risk of loss on the basis of information published in reports can be substantial. Clients should, therefore, carefully consider whether such trading is suitable for them in light of their circumstances and financial resources.
- 4. The information published and opinions expressed are provided by PSBSPL for personal use and for informational purposes only and are subject to change without notice, PSBSPL makes no representation (either express or implied) that the information and opinions expressed in Reports will be accurate, complete or up to date. Clients should obtain device from a qualified expert before making any trading decision. The stated price of any securities mentioned in Reports will be as of the date indicated and is not a representation that nay transaction can be effected at this price. Neither PSBSPL nor other persons shall be liable for any direct, indirect, special, incidental, consequential, punitive or exemplary damages, including lost profits arising in any way from the information contained in Reports.
- 5. PSBSPL will exercise due diligence in checking the correctness and authenticity of the information contained in Reports, but PSBSPL or any of its affiliates or directors or officers or employees shall not be in any way responsible for any loss or damage that may arise to any person from any inadvertent error in the information contained in Reports or any action taken on basis of Reports. Price and value of the securities forming part of Reports may go up or down. Past performance is not a guide for future performance.
- 6. PSBSPL may use brand names for all or any of reports. Such names would represent the brand and not the nature or feature of reports.
- 7. PSBSPL has two independent equity research groups: Institutional Equities Research Group and Private Client

Group. The Private Group is responsible for, the preparation of Reports. A designated team form the Private Research Group also prepares reports based on fundamental evaluation of companies. The views and opinions expressed in TTD Reports mayor may not match or may be contrary with the views, estimates, rating, target price, of reports of the Institutional Equities Research Group and Private Client Group dealing in fundamental research. Further, there may be a contrary view within the Reports with regard to estimates, rating, target price as evaluation are based on different criteria.

- 8. The contents of the Reports cannot be copied, reproduce, republished, uploaded, posted, transmitted or distributed for any non-personal use without obtaining prior permission from PSBSPL.
- 9. The proprietary trading and investment businesses of the PSBSPL may make investment decisions that are inconsistent with the views expressed in the reports.
- 10. PSBSPL and its affiliates, officers, directors, and employees world wide may: (a) from time to time, have long or short positions in, and buy or sell the securities thereof, of company(ies) mentioned in the Reports or (b) be engaged in any other transaction involving such securities and earn brokerage or other compensation or act as a advisor or lender/borrower to such company (ies) or have other potential conflict of interest with respect to any view and related information and opinions mentioned in Reports.
- 11. PSBSPL reserves the option to provide all or any of the reports and the right to suspend or vary the whole or any part of the same for any reason, at any time at its sole discretion.
- 12. Clients who enroll for SMS/e-mail/Fax delivery of brief extract of reports are required to read the full reports.
- 13. PSBSPL does not guarantee completeness, error, delay, interruption or timeliness or delivery in whole or in part of any of the reports or their extracts. The same is provided on an "as-is" and "as-available" basis.
- 14. Users should check with their service providers/operator for charges, if any.

### CLIENT ACCEPTANCE

I/We hereby acknowledge that, PSBSPL may at its discretion, at may/our request provide me/us with TTD Reports or its brief extract. I/We have made the request after understanding and accepting its terms, conditions and risks set forth above.

(Client Signature)

Client Name :

Client Code :

Date :

Place :

### ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document:-

### PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers/Commodity Broker should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23,2006 advising all the Stock Broker/Commodity Broker to take necessary steps to ensure compliance with the requirement of Sec12of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities/commodities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

A.	
----	--

(Client Signature)

Date \_\_\_\_\_

### **DECLARATION - CUM - UNDERTAKING**

## बोषणा

मैंमे	यह घोषणा करता हूँ कि मैनें PACE Stock Broking Services Pvt. Ltd.
	ों एकाउन्ट ओपनिंग फार्म और विभिन्न कागजात पर हस्ताक्षर किये है जोकि
अंग्रेजी भाषा में है। मुझे इसका हिन्दी में मतलब समझ	ा दिया गया है। मैं PACE Stock Broking Services Pvt. Ltd. के नियम व
शर्तों से सहमत हूं।	

मैं...... सुनिश्चित करता/करती हूँ कि मुझे PACE Stock Broking Services Pvt. Ltd. में मेरा ट्रेडिंग/डीमैट खाता खोलने के उपरान्त Uniform Risk Disclosure, Rights and Obligations of Member, Authorized Person and Clients एवं मेरे द्वारा निष्पादित अन्य दस्तावेजों की एक प्रतिलिपि मुझे प्राप्त हो गई है।

दिनांक : .....

स्थान : .....

### JOINT DP ACCOUNT AUTHORISATION

To, PACE STOCK BROKING SERVICES PV	T. LTD.	
Regd. Office : 412, 412B, 412C, 4th Floor, D	SCCSL Block 53E, Zone-5,	Dated :
Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, Okhla Industrial Area, Phase-I,	New Delhi-110020	
	New Demi-10020	
	SUBJECT - JOINT DP ACCOUNT	
Dear Sir,		
This is in connection with operation of Demat A/c	& Client ID	having maintained jointly with my
husband/wife/father/mother Mr./Mrs		and matters incidental thereto.
Kindly be informed that I, husband/wife/father/n sell shares lying in the said joint account through proceeds of shares lying in our joint account in favo	his/her trading account being maintained wi	hereby authorise him/her to th you. Further, you may issue cheques for the sale frs
Kindly do the needful and oblige.		
Thanking you,		
Yours faithfully,		
-		•
	Second Holder Signature	Third Holder Ciapature
	Second Holder Signature	Third Holder Signature
JO	NT BANK ACCOUNT AUTHORISAT	TION
Regd. Office : 412, 412B, 412C, 4th Floor, D Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, Okhla Industrial Area, Phase-I,		Date :
	SUBJECT - AUTHORISATION	
Dear Sir,		
This is in connection with operation of Bank A/c v	/ith	having Bank Name:
	Branch:	
Address:		
		maintained jointly with my
husband/wife/father/mother Mr./Mrs		_and matters incidental thereto.
Kindly be informed that I, husband/wife/father/ Cheques from the said joint bank account for credit		hereby authorise him/her to issue with you.
Kindly do the needful and oblige.		
Thanking you,		
Yours faithfully,		
Sole/First Holder Signature	Second Holder Signature	Third Holder Signature

### TRADING AUTHORIZATION

#### PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5,

Road 5E, Gift City Gandhinagar-382355(GJ)

Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

I have been/shall be dealing through you as my broker i.e. agent on the Capital Market, Futures & Options, Currency Derivative Segment and / or Commodity Derivative Segment.

Is also authorised by me / us to sign any document, settle the account, enter into any compromise and to do any and all act(s) on my / our behalf which I/we can do. And I/we the undersigned do hereby agree and declare and confirm that all the acts and things done by him/her or his/her substitutes shall be my / our acts, deeds and things validly done by me/us to all intents and purposes.

Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier, consequence of adhering to and carrying out my / our authorisation given above.

Thanking you,

To.

Yours faithfully,

Client Name : \_

Signature:

Date :

Place :

### DECLARATION FOR NAME MISMATCH

I hereby declare that

1. My name mentioned in PAN Card is \_\_\_\_\_

2. In additional I D Proof i.e. Voter Id / Passport / Driving License / UID it is

3. In Bank A/c No.

it is

4. In Online PAN verification is this \_\_\_\_\_

Further I declare that the names mentioned in above details document pertains to me, therefore I request my account and make all payouts in the same name as mentioned in my bank proof.

Thanks,

Name of the Client :.....

Date : .....

1
L

(Client Signature)

### SANCTION OF TRADING LIMIT ON THE SECURITY/COMMODITY OF COLLATERALS

I/We wish to avail and enjoy from time to time trading limits against security/commodity of my/our shares and securities/commodities in my/our Demat Account(s) with your DP. I/we understand that the limit to be sanctioned to me/us will be based on the value of the securities/commodities after hair-cut as applicable from time to time and will be in the sole discretion of PACE.

I/we undertake not to withdraw or otherwise dispose off any of the securities on which limit is granted and you shall be fully entitled to ignore or reject my/our debit/payment instructions in whole or in part so as to first provide for the security/commodity cover to my/our trades allowed by you. You shall be fully authorized to adjust any sale proceeds of securities/commodities in my/our trading account to first reduce the limit before returning to me/us.

All the dues in the trading account including those in respect of trades utilizing the limits granted to me/us shall be my/our liability and you shall be further entitled to exercise the Power of Attorney / Demat Debit and Pledge Instruction separately granted to you with all the powers therein, in respect of my DP A/c and Bank A/c in relation to my/our trading account, for the purpose of pay-in obligations and/or to liquidate debit balance and/or to meet margin or losses in respect of the trades in the said trading account.

I/We declare that the security/commodity shall be a continuing security/commodity and will be operative even though limit is utilized in part or not utilized or nothing or part is due in the trading account, unless on my/our request and in view of the overall position of my/our obligations and funds and other security/commodity, if any, the limit is reduced or the securities/commodities are released for the purposes of limit.



## PACE STOCK BROKING SERVICES PVT. LTD.

Regd. Office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5,

Road 5E, Gift City Gandhinagar-382355(GJ)

Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020 Phone : 011-49022222, Fax : 011-26105823, E-mail : admin@pacefin.com



NON-MANDATORY

#### SEBI Regn. No. IN-DP-CDSL-399-2007 DP ID : 12049800

### **Demat Debit and Pledge Instruction (DDPI)**

Client	Id :		Date 🗌	
Sr. No.	Purpose	Signature of Holders		S
		First holder	Second holder	Third holder
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker [Details of recipient account provided in Schedule -1]			•¢
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member(CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. [Details of recipient account provided in Schedule -1]			•¢
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.			•0
4.	Tendering shares in open offers through Stock Exchange platforms.			••

#### Schedule-1

<u>[Details of recipient settlement account including BSE Principal Account, NSE- CM account, Early Pay-in account, Margin Pledge Securities Account (applicable to accept securities of margin pledge transactions)</u>

Account Type	DP Name	Client id
NSCCL Clearing Member Account	Pace Stock Broking Services Private Limited	1204980000072825
Corporate-CM Client Securities Margin Pledge Account	Pace Stock Broking Services Private Limited	1204980000273645
Corporate-TM Client Securities Margin Pledge Account	Pace Stock Broking Services Private Limited	1204980000275087
CM Principal Corporate	Pace Stock Broking Services Private Limited	1204980000047925
Early Payin Account BSE	Pace Stock Broking Services Private Limited	1100001000013971
Early Payin Account NSE	Pace Stock Broking Services Private Limited	1100001100015217



Sole/First Holder Signature

Second Holder Signature



Sr. No.	Name of Co-parcener	<b>Relation with Karta</b>	Signature
1.			
2.			
3.			

### CONSENT / AUTHORITY LETTER (FOR DEMAT A/C)

The Manager

#### Pace Stock Broking Services Pvt. Ltd.

Date\_

Regd. Office : Unit No. 603B, 6th Floor, Tower A, World Trade Centre, Block 51, Zone-5, Road 5E, Gift City, Gandhinagar-382355 (GJ)" to "412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ)". Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020

#### Subject : Consent / Authority Letter

#### Dear Sir,

I/We, hereby authorize and give the consent to debit the DP account charges incurred in the Demat account(s) maintained with your depository participant (DP ID : 12049800) on monthly basis to my/our financial (trading) account maintained with you.

#### The details are as follows.

	Name of	Demat Account Holders	Signature
Demat Client ID	Name of Ist Holder		
	Name of IInd Holder		
	Name of IIIrd Holder		•
Trading Client ID		Trading Client Name	
CSOIe/First Holder Sign	nature S	econd Holder Signature	Third Holder Signature
o, Pace Stock Broking S Regd. Office : Unit No. 603B, I Block 51, Zone-5, Road 5E, G th Floor, DSCCSL Block 53E	<b>Gervices Pvt. Ltd.</b> 6th Floor, Tower A, World Trade Ce aift City, Gandhinagar-382355 (GJ)" 5, Zone-5, Road 5E, Gift City Gandh	entre, ' to "412, 412B, 412C, ninagar-382355(GJ)".	Third Holder Signature
o, Pace Stock Broking S Regd. Office : Unit No. 603B, Block 51, Zone-5, Road 5E, G th Floor, DSCCSL Block 53E Delhi Office : C-3, Okhla Indus	<b>Gervices Pvt. Ltd.</b> 6th Floor, Tower A, World Trade Ce ift City, Gandhinagar-382355 (GJ)"	entre, ' to "412, 412B, 412C, ninagar-382355(GJ)". 020	
Fo, Pace Stock Broking S Regd. Office : Unit No. 603B, Block 51, Zone-5, Road 5E, G Ith Floor, DSCCSL Block 53E Delhi Office : C-3, Okhla Indus Re: Benefici	Gervices Pvt. Ltd. 6th Floor, Tower A, World Trade Ce aift City, Gandhinagar-382355 (GJ)" 5, Zone-5, Road 5E, Gift City Gandh strial Area, Phase-I, New Delhi-1100	entre, ' to "412, 412B, 412C, hinagar-382355(GJ)". 020 <b>1 2 0 4 9 8 0 0</b>	

I/We confirm that the dispatch of statement of account to me\us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement my/our BO account. But, I/We reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

[Email address:.....]

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/ service of my/our statement of account of me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

	First Holder	Second Holder	Third Holder
Name			
Specimen Signature			•¢





### PACE STOCK BROKING SERVICES PRIVATE LIMITED

(Depository Participant - CDSL) DPID : 12049800, DP SEBI Regn. No. IN-DP-CDSL-399-2007

Regd. Office : 412, 412B, 412C, 4th Floor,

DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ)

Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020, Phone : 011-49022222, Fax : 011-26105823 E-mail : admin@pacefin.com · Website : www.pacefin.com

#### ACKNOWLEDGEMENT RECEIPT

We hereby acknowledge the receipt of the Account opening application form :-

Name of the Sole/First Holder	
Name of the Second Holder	
Name of the Third Holder	

(Depository Participant Seal and Signature)

ACKNOWLEDGEMENT RECEIPT

(To be returned to the BO)



## PACE STOCK BROKING SERVICES PRIVATE LIMITED

(Depository Participant - CDSL) DPID : 12049800, DP SEBI Regn. No. IN-DP-CDSL-399-2007

Regd. Office : 412, 412B, 412C, 4th Floor,

DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020, Phone : 011-49022222, Fax : 011-26105823 E-mail : admin@pacefin.com • Website : www.pacefin.com

#### ACKNOWLEDGEMENT RECEIPT

We hereby acknowledge the receipt of the Nomination form :-

DP ID	1	2	0	4	9	8	0	0	Client Id								
Name																	
Address																	
Nomination in favour of																	
No Nomination		)oes r	not wi	sh to i	nomin	ate											
Registration No.									Registration on	Q.	D	m	113	У	У	У	

(Depository Participant Seal and Signature)



### PACE STOCK BROKING SERVICES PRIVATE LIMITED

(Depository Participant - CDSL) DPID : 12049800, DP SEBI Regn. No. IN-DP-CDSL-399-2007 Regd. Office : 412, 412B, 412C, 4th Floor,

DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) Delhi Office : C-3, Okhla Industrial Area, Phase-I, New Delhi-110020, Phone : 011-49022222, Fax : 011-26105823 E-mail : admin@pacefin.com • Website : www.pacefin.com

### Requisition Slip (For Beneficial Owner Account)

Please issue me instruction book by self/bearer / Shri/Smt.

	(S	pecimen Signature of bearer)	
Signature :			
olg. Later i	Ist Holder	IInd Holder	IIIrd Holder
	F	OR OFFICE USE ONLY	
1. Instruction	No. issued from :	То	
Signature	of Issuing Authority	Signature of Beare	er
Date of Iss	ue		







### **CONTRACT BETWEEN PACE & CLIENT**

6.

7.

8.

9.

This contract (hereinafter referred to as Contract) is entered by and between: Pace Stock Broking Services Pvt. Ltd., a body corporate, incorporated under the provisions of the companies act, 1956, and having its registered office : 412, 412B, 412C, 4th Floor, DSCCSL Block 53E, Zone-5, Road 5E, Gift City Gandhinagar-382355(GJ) (hereinafter called PACE) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include 4. its successors and assigns, as the case may be, of the one part;

#### And

An Individual/a Sole Proprietary concern/a Partnership Firm/a HUF/a Body Corporate or any other legal entity registered/ incorporated under the provisions of the relevant act, whose particulars are given hereunder at the execution page (hereinafter called "the Client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them, the member or members for the time being of the Hindu Undivided Family (HUF) and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the other part;

PACE and Client are referred to hereinafter individually as a Party and collectively as Parties.

#### Whereas:

- A. Client desirous of availing services/ facilities available with PACE had entered into agreement(s) with PACE.
- B. The Client finds that it is necessary to enter into this Contract to bring out clearly the scope of services to be rendered by PACE and responsibilities of Client and PACE respectively.
- C. PACE and Client enter into this Contract to reduce to writing the understanding between Client and PACE agreeing to be bound by the terms and conditions as given hereunder in consideration of the mutual covenants contained herein and other good considerations sufficiency of which is hereby acknowledged by PACE as well as Client.

#### Now, in view of the foregoing

In this Contract, unless the context otherwise requires:

- a) Words denoting the singular number shall include the plural vice versa;
- b) The pronouns "he", "she", "it" and their cognate variations are used as inter changeable and should be interpreted in accordance with the context;
- c) Words denoting a person shall include an individual, corporation, company, partnership, trust or other entity; provided however that clauses specifically applicable to a company or body corporate shall not apply to any other entity;
- References to the word "include" or "including" shall be construed without limitation;
- Reference to any party to this Contract or any other agreement or deed or other instrument shall include its successors or permitted assigns;
- f) References to recitals and clauses shall be deemed to be a reference to the recitals and clauses of this Contract;
- g) References to any enactment shall be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order, notification, circular or other provision made under it.
- 1. The Client assures PACE that he / she / it is eligible to enter into this Contract under the applicable laws. The Client shall continuously monitor his / her / its eligibility to act under the applicable laws including but not limited to Securities and Exchange Board of India (SEBI) Act and Regulations framed thereunder such as insider trading etc. Foreign Exchange Management Act (FEMA) and Regulations thereunder, Income Tax Act and any other act/law / rules and regulations in force. If at any time this assurance ceases to be applicable, Client shall refrain from dealing with PACE for thwith.
- 2. The Client hereby acknowledges that he/she/it is aware that there exist certain regulations/ restrictions etc. under Foreign Exchange Management Act and / or issued by Reserve Bank of India (RBI) regarding investment by foreign entities/persons including non resident Indians (NRIs). The Client hereby agrees to be solely responsible to make investments only as per applicable limits/ regulations in force from time to time.
- The Client agrees to keep himself/ herself/ itself updated regarding the changes in the rules, regulations, bye laws of the stock exchange(s) & / or guidelines issued by SEBI and/or the requirements/procedures of PACE.

The Client agrees that he/she/it shall keep a track of any & all such changes by logging on to the respective websites of the exchange(s) (www.nseindia.com; www.bseindia.com www.ncdex.com, www.mcxindia.com, www.cdslindia.com) or SEBI (www.sebi.gov.in) or PACE (www.pacefin.com).

- The Client shall ensure that he/she/it shall not deal through PACE on the stock exchange of which he/she/it is registered as a broker or a sub broker through any broker other than PACE except with the permission of exchange.
- The Client agrees to ensure that he / she / it shall not act as a sub-broker / intermediary without getting registered under the provision of law in force.
  - Client understands and agrees that the relationship being established between PACE and Client whether under the agreement(s) already entered between PACE and Client or under this Contract is that Client shall be the principal and PACE shall be an agent to Client in the capacity of a broker. The Client shall from time to time place orders verbally (himself or acting through attorney/ authorized person). The verbal orders can be placed over phone/ mobile phone and/or by visiting the branch to which the Client has been assigned/ attached by PACE. The order(s) shall be placed by Client only to designated / authorized dealer of PACE and to no one else. Client shall take the names of such designated / authorized dealers assigned to him in writing from Corporate Office of PACE. If Client gives orders to any person other than designated / authorized dealer(s) advised to Client in writing by the Corporate Office of PACE, then PACE shall in no way be responsible for any further liabilities created due to any acts of omission in consequence of such order(s). The order(s) given by the Client shall, provided same are received within market hours, with details necessary to punch the same in trading system, subject to availability of margin and/or trading limits be punched in the trading system. The Client agrees that it shall be sole responsibility of the Client to ascertain the status / results / trade of any orders given by him / her / it. The Client also understands and agrees that the word "orders" includes the cancellation and modification orders as well.
  - It is Clearly understood and agreed to by Client that no service/ facility in the nature of portfolio management/ advisory services etc. are contemplated under the agreement(s) and Contract between the Client and PACE. No person working for or under PACE whether dealer, relationship manager, sub-broker or authorized person is permitted to provide any services/facilities except that of order placement in trading system (subject to limitations stated above) upon directions of Client. If the Client accepts any portfolio management services/advises/ discretionary trading arrangement / facility from any person including but not limited to dealer, relationship manager, sub-broker or authorized person then in that event PACE shall in no way be responsible for the outcome of such services / facilities accepted by Client, and the relationship of Client with any person including with any dealer, relationship manager, sub-broker or authorized person shall be a personal, mutual and private relationship between the Client and such person(s) including dealer, relationship manager, sub-broker or authorized person and Client shall have no recourse/right against PACE what so ever either in law or equity.
  - If the Client is enabled to access the trading system of PACE directly say through internet then Client is authorized to place orders directly as well. The Client agrees that any communication of orders in any form or manner whatsoever to PACE or by entering orders into a facility provided by PACE such as internet etc neither implies order's(s)' acceptance nor assures a trade from such order(s) and the Client is also aware that any deliveries of securities / payout of monies on account of trades is subject to settlement process being successful particularly for trades which are matched within the clients of PACE and the Client hereby agrees not to hold PACE responsible in any manner whatsoever for any delay in settlement which are beyond reasonable control of PACE.
  - The Client agrees and acknowledges that PACE shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment and as such all investment and disinvestment decisions are based on the Client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information that may be made available by PACE including that on the website/trading plateform/through SMS etc. The Client will not hold nor seek to hold PACE or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses or other losses,

#### **NON-MANDATORY**

costs or damage incurred by the Client consequent upon relying on information, research opinions or advice or any other information whatsoever including that on the website whether put up by PACE or any other agency. The PACE does not represent and shall not be deemed to have represented, that the investment information is accurate or complete. The Client is aware that any information based on the research of PACE or other external sources is merely an estimation of the viability or otherwise of certain investments, and PACE shall not be deemed to have assumed any responsibility for such information. The Client should seek independent professional advice regarding the suitability of any investment decision. The Client also acknowledges that PACE's employees / agents are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from PACE or any of its employees / agents.

- 10. The Client agrees and acknowledges that trading over telecom networks involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions, malfunctioning and dislocations etc. PACE does not make any representation or warranty about uninterrupted trading facility and as such, under no circumstances shall PACE or anyone involved in creating, producing, delivering or managing PACE's services be liable for any direct, incidental, special or consequential damages that may result from the use of or inability to use the service, delay in transmission of any communication, in any case for any reason whatsoever (including on account of breakdown in systems) or due to any fraud committed by any person whether in the employment of PACE or otherwise.
- 11. The Client agrees that PACE does not guarantee and shall not be deemed to have guaranteed the timeliness, sequence, accuracy, completeness, reliability or content of the market information or messages disseminated to the Client. The PACE shall not be liable for any inaccuracy, error or delay in, or omissions of any such data, information or messages, due either to any act or omission by PACE or to any "force majeure" event (e.g. Flood, extraordinary weather condition, earthquake or any other act of god, fire, war, insurrection, riot, labour dispute, accident, action of government, communication, power failure, shut down of the systems for any reason (including on account of computer viruses), equipment or software malfunction); any fraud committed by any person whether in the employment of PACE or otherwise or any other cause which is beyond the reasonable control of PACE.
- 12. The Client hereby authorizes PACE to take all such steps on the Client's behalf as may be required or advisable in PACE's opinion for compliance with the exchange provisions or any other law or provisions or to complete or settle any transactions entered into through or with PACE or executed by PACE on behalf of the Client. However, nothing contained herein shall oblige PACE to take such steps.
- The PACE / service provider may require the Client to use such security 13. measures as deemed fit including but not limited to security codes / passwords / customer user identification number / telephone personal identification number (t-pin) / digital signatures / smart cards etc. hereinafter collectively referred to as "security protocols", before accepting any orders & / or for permitting access to the systems / services /facilities made available by PACE / service provider. The Client agrees to change, wherever possible, such "security protocols" immediately on their receipt and periodically thereafter also. It shall be the responsibility of the Client using any online trading platform provided by PACE to completely log out rather than close/exit the browser/trading application window, PACE shall not be responsible or liable for any unauthorized trade and/or leakage/hacking of the Client's personal details and/or financial information available on the trading platform should the Client be negligent in adhering to the same. The Client agrees, accepts and undertakes the sole responsibility for the usage, confidentiality, protection and secrecy of all such "security protocols".

The Client unconditionally agrees that he / she / it shall be solely responsible for any / all uses of "security protocols" whether for accessing data / information or for giving orders / dealings. The Client agrees to bear any losses / damages which may be caused by any use of or non use of "security protocols" and it shall be no defence that such access to data / information & / or the orders / deals were made through unauthorized use of "security protocols" by any person by whatever means including hacking, theft, forgery / electronic forgery or any other mode or manner. Notwithstanding anything stated hereinabove, on coming to know of any unauthorized access / use of any "security protocols", it shall be the duty of the Client to take all necessary steps including but not limited to

informing PACE in writing with full details of the same and ensuring that such breach, loss of passwords / security protocols and / or confidentiality are immediately stopped. PACE reserves right to suspend the client account/reject the orders in case of any misuse identified / wrong credential provided / any doubt on the person / manner providing the orders for and on behalf of client in the interest of safeguarding client's monies and avoid frauds.

- 14. Client understands that for performing the acts contemplated under this relationship/contract PACE has to use softwares and hardwares/ machines etc. Client understand that as regards trading the softwares/programmes of stock exchanges are used with additional softwares permitted by stock exchanges such as (without limitation and as illustration) ODIN, FAST TRADE etc. While stock exchanges take all care have fullproof softwares/programmes and additional softwares/ programmes such as ODIN, FASTRADE etc. are pre-approved by stock exchanges no warranty /guarantee is taken either by the vendors/ suppliers of any these softwares/programmes of their fullproof/glitch/ bug free performance always. Their operations can also be effected due to software viruses etc. which may interalia lead to disruption in trading / order entry and/or false/incorrect display of order/trade status including but not limited to display of trade confirmation etc. when actually trade has not occurred or has occurred contrary to display. Therefore the Client agrees that display or printout of any transactions taken out from any system / computer at the time of order entry or instructions entry or thereafter, including but not limited to net banking and/or electronic transfer of securities in depository etc., shall not be construed as the official record of the transactions/orders. PACE's or service providers' (such as bank's/stock exchanges/clearing house/clearing corporation/ depository participant/depository) final official record of transaction maintained in their own books of accounts or electronic systems shall only be the acceptable records and shall be conclusive and binding for all purposes (such as clearing file of stock exchanges etc.). The Client agrees that this is without prejudice to the right of PACE/service provider to rectify any discrepancy / differences which is due to any inadvertent human error/ system/ computer error etc., at any time without limitation, at the sole and absolute discretion of PACE and / or any of the service providers.
  - The Client hereby agrees that PACE may communicate/ send information to the Client like order placement, order confirmations, order modifications, order executions, trade confirmations, trade modifications, bills, transaction statements, account statements, margin requirements, trading / settlement cycles, delivery / payment schedules, policies, procedures, notices, frequently asked questions (FAQs) and any other documents / reports, using any or more of the following means or methods such as post / speed post / courier / registered post / registered post acknowledgement due / 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 PACE, by publishing / displaying it on the website of PACE / making it available as a download from the website of PACE; 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. The Client agrees that the postal department / the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be the agent of the Client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail /voice mail service provider/SMS, etc. by PACE and the Client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever.
- 16. The Client agrees to use, such facilities/arrangement with banks /depository participants for making or receiving payment of funds/monies and/or securities, as may be prescribed by PACE in its absolutely discretion including but not limited to online or offline facilities of one or more banks or depositories and Client hereby agrees not to hold PACE responsible for any losses or damage which may be suffered by the Client by use of any such prescribed facilities.
- 17. The Client agrees that PACE or any service provider such as banks etc., may from time to time prescribe particular softwares (including but not limited to browsers, operating systems, TCP/IP protocols etc.) / devices / equipments etc and the Client agrees that such softwares / devices /equipments may need to be changed / upgraded to newer versions and



15.

#### **NON-MANDATORY**

this may require the Client to suitably reinstall/ uninstall/ upgrade the said facilities / device / equipments etc. at its end. Such changes may involve disruption in trading / communication of orders and may even lead to losses and the Client hereby unconditionally and absolutely agrees not to hold PACE or service providers or depositories responsible on any account. All costs / charges /levies and fees incurred by the Client for the said services shall be borne exclusively by the Client alone.

- 18. The Client hereby authorizes PACE in its absolute discretion to maintain records / books of accounts for the Client separately or collectively for different exchanges / segments of the exchanges & / or any other service which the Client may be availing such as Portfolio Management Services, Depository Services etc. It shall be the sole responsibility of the Client to ascertain the balance of securities & lor funds in all the accounts separately and the Client shall be required to pay / make available necessary monies / funds and / or securities into anyone or more such segregated / aggregated account(s) notwithstanding the fact that an aggregation of the accounts may not require from the Client either any securities and / or monies / funds and the Client hereby agrees not to hold PACE responsible for considering shortage of margin / security & / or shortage of pay in obligations in any account, without aggregating / summing such account with other accounts.
- 19. The Client hereby agrees to use the facilities, data and information which is provided by PACE or which may become available to the Client as a result of Client's relationship with PACE purely for purposes permitted by PACE and only for personal use and agrees never to disseminate any information or data for any reason or purposes whatsoever except under a written authority signed by a director of PACE.
- 20. The Client hereby agrees and declares that he / she lit has fully assessed and accepted the risks involved in using the services/ facilities including but not limited to internet based services such as but not limited to misuse of passwords, internet frauds, technology risks etc., and agrees not to hold PACE and any / all service providers responsible for any damages, losses or negative consequences which Client may suffer in any manner whatsoever.
- 21. Client agrees to PACE tape-recording the conversations between Client / Client's representative and PACE's officers/ employees/ agents etc. in its absolute discretion, either personally or over the telephone. Such recordings may be relied upon by PACE as and when required, and the Client agrees not to challenge the evidentiary value of such recordings.
- 22. Client wants to make investments in mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments, etc. and generally to invest in various avenues / products and to redeem/liquidate any investments and wants PACE to give effect to desires/ requirements of Client by giving orders/instructions (electronic/ physical/verbal) for the same and to sign any documents and! or do any and all act(s) as may be required or are deemed necessary in opinion of PACE for these purposes from time to time.
- 23. In case Client has made any purchase of securities and the delivery of the same falls short inter-Client at the broker level, Client hereby authorize PACE to make purchases of the same in the market to make available the delivery of the said securities to Client.
- 24. In case Client has made any sale of securities and due to any exigencies Client is unable to make available the delivery of the same in the designated account within the designated time and it is an inter Client delivery at broker level, Client hereby authorizes PACE to make purchases of the same in the market on Client's behalf to make available the delivery of the said securities to the opposite party.
- 25. Client hereby authorizes PACE to debit Client's account with depository services charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draw pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement! professional charges (for as may be applicable to NRIs), research service/message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments, etc. generally various investment avenues / products, processing fees/charges towards contract note/statement of account etc. and any other such or similar fees / charges as may become applicable from time to time.
- 26. Client has/ may have accounts with anyone or more companies which are part of the group to which PACE belongs (hereinafter referred to as "PACE Group"). Client understands that from time to time there may be situations where on one hand he has credit balance with one or more companies of PACE Group and on the other hand debit balance with one or more

- companies of PACE Group. Given the structure of banking system delays are likely if funds are taken by Client from one or more PACE Group companies by cheque/ demand draft, and paid to one or more PACE Group companies by cheque/demand draft. Therefore Client desires and directs PACE to net off/ adjust Client's credit and / or debit balance with PACE with any other PACE Group company by way of appropriate accounting entry(ies).
- 27. Client hereby authorizes PACE to set-off / appropriate / adjust a part or whole of the monies / credit balances in ledger and / or securities (shares/stocks etc) and / or Margin lying as credit / debit in Client's account against any dues / debit balances in ledger including but not limited to dues by way of shortfall in Margin, in any of Client's Family members' and /or any of Client's Group / Associate companies'/ firms'/ 'entities' accounts. The words / expressions "Client", "Margin", "Family" as used herein, shall, unless repugnant to the context, have the meaning as assigned hereunder:
  - (a) Client shall mean and include where context so requires nonnatural person(s) / entity(ies) such as companies, firms, association of persons and trusts etc.
  - (b) Margin without limiting the meaning and scope of word "Margin" it shall include all monies and / or securities (shares and stocks etc.) and / or any other movable and immovable property which may serve as collateral / security for dealing(s) in shares/ stocks/ futures & options contracts / other type of derivative contracts including currency derivatives.
  - (c) Family without limiting the meaning and scope of word 'Family', it shall mean and include the spouse, all ascendants, descendants, brothers and sisters of Client (constituent) and all members of Client's (constituent)'s Hindu Undivided Family (HUF), all dependents of Client (constituent) and their spouse and children and such other persons who live in the same household/ residential address as that of Client (constituent).
  - (d) Group / Associate companies/ firms / entities- without limiting the meaning and scope of words "Group/ Associate companies/firms! entities", these shall mean and include all such companies/ firms/ entities which are either Controlled by / or Control the Client and shall includes all companies/ firms/ entities which are under common Control as that of the Client including those which control / are controlled by spouse of the Client.
  - (e) Control- without limiting the meaning and scope of word 'Control' it shall include the meaning given to it under the Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 1997, as amended and in force.
- 28. In connection with this Contract, as well as all transaction's contemplated under this Contract as offered by PACE from time to time, the Client agrees to execute and deliver documents titled "authorisations" and to perform such additional actions which may be necessary, appropriate or requested to carry out or evidence the transactions in respect of the services availed by the Client from time to time. All the terms of this Contract shall be read as part and parcel of authorisations.
- 29. The Client hereby declares that all information which have been provided, are being provided and which shall be provided by the Client to PACE or any service provider under this Contract or in relation thereof or as consequences thereof is and shall always be true to the best of information and knowledge of the Client.
- 30. The Client expressly agrees that his /her/ its utilization of a service / facility such as but not limited to advisory services, any other activity for and on the behalf of the Client or any other transaction which PACE undertakes with or for the Client, shall also be covered by the terms & conditions of this Contract.
- 31. The Client agrees that mere entering into this Contract or any other agreement, does not entitle the Client to any service(s)/ facility (ies) from PACE as a matter of right and PACE may in its absolute discretion provide or decide not to provide the anyone or more service(s)/facility(ies).
- 32. The Client agrees that all monies, securities or other property which PACE may hold on Client's account shall be held subject to a general lien for the discharge of Client's obligations to PACE.
- 33. The Client further accepts and acknowledges that he would observe proper caution and due diligence while giving orders to the dealers / entering orders into trading platform provided by PACE. The client further agrees that he would not indulge in any trading activity resulting in the disturbance of the market equilibrium including manipulation of the price of any scrips / contracts, synchronized deals with any person or any kind

of orders / trades which may be considered as inappropriatel unacceptable by PACE/the relevant exchange(s)/ regulator(s). The Client acknowledges that PACE reserves the right to keep in abeyance the funds / securities as may be deemed fit by PACE depending upon the gravity of the violation or / and through trades done by/on behalf of the Client considered as inappropriate / unacceptable by PACE / the relevant exchange(s) / regulator(s). The client further understands and accepts that PACE also reserves the right to levy any penalty for such trades done by / on behalf of the Client considered as inappropriate / unacceptable by PACE / the relevant exchange(s) / regulator(s), as may be deemed fit by PACE / the relevant exchange(s) / regulator(s).

34. The Client hereby agrees that it is the sole responsibility of the Client to know the status/ declaration of all corporate benefits including but not limited to Rights Issue, Bonus Issue, Dividends and Stock Split of Shares / Buy Back, etc, announced by Issuer Company from time to time, for securities of company(ies) in which Client intends to trade and/or those which are kept by Client with PACE for ease of dealing/ margin/ collateral / security etc. and make appropriate trading/ dealing decisions by appropriately considering the impact of any corporate action(s). PACE is not required to act as an advisor to Client in any of these matters / aspects. It is the Clients sole responsibility to track announcements of such corporate benefits PACE shall not be liable for any losses suffered by Client, if Client fails to apply to such corporate benefits for the shares held by PACE in beneficiary account on behalf of Client.

Client may be keeping securities with PACE for ease of payment / for ease of dealing / consideration as margin /security/ collateral etc. Client understands that some corporate benefits will be passed onto the relevant account of PACE by issuer company(ies). It is understood and agreed that these corporate benefits will continue to remain with PACE unless a request ( to be binding upon PACE only if evidenced by a photocopy/ carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) is made by Client for transfer the same to Client's own account. The transfer by PACE shall not be immediate but take reasonable time, subject to there being no pay - in obligations/ margin obligations/ collateral obligations needed to be fulfilled by corporate benefits received.

Further, where Client is keeping securities with PACE for ease of dealing/ for consideration as margin / security/ collateral etc., Client understands that some corporate benefits will require some action for obtaining the same, such as for rights issue etc. It is understood and agreed that Client shall free the securities from any margin / collateral/ security / pay -in obligations and get them moved through request (to be binding upon PACE only if evidenced by a photocopy/ carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) given well in advance to Client's own beneficiary account and take necessary action for applying and / or receiving corporate benefits. In exceptional circumstances PACE may upon request (to be binding upon PACE only if evidenced by a photocopy/ carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) given well in advance take actions for and on behalf of Client to apply and or receive such corporate benefits such as for Right Issue/Open Offer/Buy Back for the shares held by PACE on behalf of client (subject to Client making available free funds etc. for the same well in advance).

#### **NON-MANDATORY**

However PACE shall not be liable for any loss/claim whatsoever in the event such application is rejected by Registrar /Company /Manager to the Issue for any reason. The client agrees that the broker shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities/funds under this agreement or otherwise. Further, unless instructed by the client in writing within reasonable time, the client will not hold the broker responsible for any losses incurred/notional on account of tendering / non tendering of such securities in open offers and subscription / non subscription of rights issues entitlements. It will be the client's responsibility to be aware of such open offers/ rights issued on his securities held by the broker and the client shall not hold the broker responsible for any non communication from his side on the same.

- 35. Client confirms having read and accepted the terms and conditions of this Contract and accepts and agrees to be bound by them including those excluding/limiting PACE's liabilities.
- 36. The Client agrees that the failure of PACE to enforce at any time any terms contained in this Contract shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.
- 37. If any provisions of this Contract are held invalid or unenforceable by reason of any law, rule, administrative order or judicial decision by any court, or regulatory or self-regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or terms held invalid. The validity of the remaining provisions and terms shall not be affected thereby and these terms shall be carried out as if any such invalid / unenforceable provisions or terms were not contained herein.
- 38. It is agreed by the CLIENT that MEMBER is entitled to late payment charges on the debit balance(s) in his / its running account (s) including margin account(s) including margin account(s) if any.
- 39. It is agreed by CLIENT that he/it is not entitled to any interest on credit in his / its running account or on the margin monies or on securities kept with the MEMBER for what so ever reason.
- 40. It is agreed by the CLIENT that as long as he/it is indebted to the MEMBER, all securities, monies and any other assets lodged with the MEMBER from time to time for an/or behalf of CLIENT and any cash lying to the credit of the CLIENT shall be subject to a paramount lien of the MEMBER for any general balance of account or margin or other monies that may be due at any time from the CLIENT singly or jointly and shall be deemed a general security for payment of all such monies (including interest, commission, brokerage and other expenses etc.) as may be due from the CLIENT. It is agreed that the MEMBER also has right set-off, counter claim and charge against monies standing to the credit of a CLIENT'S account(s).
- 41. Should any convenient, condition or other provision contained herein by rendered unlawful, void or unenforceable by reason of any statutory amendment, re-enactment, notification or any judicial decision or pronouncement by any competent court, tribunal or regulatory authority, such provision shall, to the extent required, by severed and rendered ineffective without in any way affecting the validity or enforceability of the rest of the provisions, which shall continue to apply with full force and effect, provided further that the action already taken earlier under such provision shall be deemed invalid due to its scope or breadth, it shall be deemed valid to the extent of the scope or breadth permitted by law.

IN WITHESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written. Signed and Delivered by For PACE STOCK BROKING SERVICES PVT. LTD.

Name	 Name	
Signature	Signature	
Witness	Witness	
Name	 Name	
Address	 Address	
Signature	 Signature	
Place	Date	

### List of two - digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U. T.	Code	State / U. T.	Code	State / U. T.	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	ŤN
Chandigarh	СН	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

## List of ISO 3166 two - digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Count
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
land Islands	AX	Ecuador	EC	Liechtenstein	Ц	Saint Vincent and the Grenadines	VC
Ibania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Igeria	DZ	El Salvador	SV	Luxembourg	ш.	San Maríno	SM
merican Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
		Eritrea				Saudi Arabia	
ndorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
ngola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
nguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
ntarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
ntigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
rgentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
rmenla	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
ruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
ustralia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
ustria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
zerbaijan	AZ	French Southern Territories	ना	Mauritius	MU	Somalia	SO
ahamas	BS	Gabon	GA	Mayotte	ΥT	South Africa	ZA
ahrain	вн	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
angladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
arbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
							LK
elarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	
elgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
elize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
enin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
ermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
hutan	BT	Guadeloupe	GP	Mozambigue	MZ	Sweden	SE
olivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
onaire, Sint Eustatius and Saba	BQ.		GT	Namibia		Syrian Arab Republic	
		Guatemala			NA		SY
osnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
otswana	BW	Guinea	GN	Nepal	NP	Tajikistan	LΤ
ouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
razil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
ritish Indian Ocean Territory	10	Haitl	нт	New Zealand	NZ	Timor-Leste	TL
runei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Тодо	TG
ulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
urkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
urundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	π
	CV		HU	Norfolk Island	NF		
abo		Hungary				Tunisia	TN
ambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
ameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
anada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
ayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
entral African Republic	CF	Iraq	IQ.	Palau	PW	Uganda	UG
	TD .	Ireland	IE	Palestine, State of	PS	Ukraine	UA
	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
hina	CN	Israel	IL	Papua New Guinea	PA	United Kingdom	GB
		191.9.97					GB
hristmas Island	CX	Italy	П	Paraguay	PY	United States	
ocos (Keeling) Islands	CC	Jamaica	ML	Peru	PE	United States Minor Outlying Islands	UM
plombla	co	Japan	JP	Philippines	PH	Uruguay	UY
omoros	KM	Jersey	JE	Pitcalm	PN	Uzbekistan	UZ
ongo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
ongo, the Democratic Republic of	CD	Kazakhstan	ĸz	Portugal	РТ	Venezuela, Bolivarian Republic of	VE
ook Islands	CK	Келуа	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Oatar	QA	Virgin Islands, British	VG
ote d'ivoire lCôte d'ivoire	CI	Korea, Democratic People's Republic	KP	Reunion IRéunion	RE	Virgin Islands, U.S.	VI
roatla	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
i va lia							
	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
uracao ICuraçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
yprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy ISaint Barthélemy	BL	Zambia	ZM
zech Republic	cz	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
enmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
	DJ	Lesotho	LS	Saint Lucia	LC		
)jibouti Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		



# PACE STOCK BROKING SERVICES PVT. LTD.

Member : National Stock Exchange of India Ltd. Member : Bombay Stock Exchange Ltd. Member : Multi Commodity Exchange of India Ltd. (MCX) (Cash, F&O, Currency Derivative and Commodity Segment)

SEBI REGN NO. : INZ000180832 Member ID : (NSE) 11378 • (BSE) 3013 • (MCX) 56635

DEPOSITORY PARTICIPANT : CDSL DP ID No.: 12049800 • SEBI REGN. No.: IN-DP-CDSL-399-2007

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