



STOCK BROKING PVT. LTD

**Corporate Office : "MAX HOUSE" , 2-Desai Society, Nr. Mahadev Temple, College Road,
Nadiad-387 001.**

Tel : 0268 - 2527609, 2527610

Web : www.maxbroking.com, Email : info@maxstockbroking.com

CLIENT REGISTRATION KIT STRICTLY CONFIDENTIAL

Form No.: _____

Client Name : _____

Add : _____

Trading Code : _____ ☐ IBT ☐ UCC

DP Name : **MAX STOCK BROKING PVT. LTD.**

DP / BO ID : **12060400** **Location** **NADIAD**

Contact No. :		
(O)	(R)	(M)
E-mail :		
Ref. :		

MEMBERSHIP

National Stock Exchange of India Limited
TM :13010

Bombay Stock Exchange of India Limited
CM : M51533
Clearing Number : 6162

SEBI REG. NO. INZ000280532

Central Depository Services (India) Ltd. DP ID : 60400 SEBI Reg. NO. : IN-DP-586-2021

DEMAT INDEX

S. No.	Name of the Document	Page No.
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Instructions to the Applicants (BOs) for account opening

For Individuals & Non-Individuals

- Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
- Signatures should be preferably in black ink.
- Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
- In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
- All correspondence / queries shall be addressed to the first / sole applicant.
- Strike off whichever option, in the account opening form, is not applicable.

TRADING INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No.
DOCKET : A MANDATORY DOCUMENTS (AS PRESCRIBED BY SEBI & EXCHANGES)			
1.	Trading Account Related Details	Document captures the additional information about the constituent relevant to trading account.	18-20
2.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	21
3.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	22
DOCKET : B MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
4.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Provided in separate booklet 23-34
5.	Risk Disclosure Document	Document detailing risks associated with dealing in the securities market.	
6.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
DOCKET : C NON-MANDATORY DOCUMENTS			
7.	Running Account	Running Account Authorisation	35
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9.	Additional Terms	Additional Terms & Conditions for smooth operations and compliance	36-37
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• Rights & Obligation, Risk Disclosure Document and Guidance note in English is available at our Website <https://www.maxbroking.com/forms.html>
 Rights & Obligation, Risk Disclosure Document and Guidance note is also available in Vernacular Lan
<https://www.maxbroking.com/forms.html>, on BSE http://www.bseindia.com/investors/client_regislanguages.aspx?expandable=3 and on NSE
https://www.nseindia.com/membership/content/complinc_trading_mem.html



Max Stock Broking Private Limited

Registered & Correspondence Office :

2 Desai Society, Nr. Mahadev Temple, College Road, Nadiad 387001. Gujarat.

Ph. : 0268-2527609, Fax : 0268-2527611 Website : www.maxbroking.com

SEBI REG.No. INZ000280532

- Segment - CASH ☐
F & O ☐
- AMC - Life Time ☐
Regular ☐
- Document Require
 1. Passport Size Photo
 2. PAN Copy
 3. Aadhar Copy
 4. Bank details with latest transaction

(All Document self Attested)

Clearing Member Details :

NSE F&O Segment : Self Clearing Member; Member Code : M51533

Compliance officer name, phone no. & email id

NSE : Mr. Girish N. Dalwadi, 9913098285 & 0268-2527609, girish@maxstockbroking.com

BSE : Mr. Gaurang D. Dave, 9429071716 & 0268-2527609, gaurang@maxstockbroking.com

CEO Name, Phone No. & Email ID :

Mr. Hiren M. Patel, 7096522268 & 0268-2527609, hiren@maxstockbroking.com

For any grievance/dispute please contact Max Stock Broking Private Ltd. at the above address or email id grievance@maxstockbroking.com and Phone No. 91-268-2527609 / 10

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

NSE : Email : ignse@nse.co.in Tel. No. (022) 26598190, Fax No. : (022) 26598191.

BSE : Email : is@bseindia.com, Tel. No. (022) 22728097

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**Important Instructions:**

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

**For office use only**

(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Minor ☐ Addhaar OTP based E-KYC (in non-face to face mode)

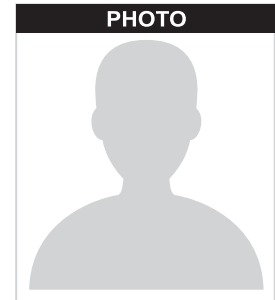
1. PERSONAL DETAILS* (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*				
Gender*	☐ M - Male	☐ F - Female	☐ T - Transgender	
PAN*		☐ Form 60 furnished		

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

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

- ☐ A-Passport Number
- ☐ B-Voter ID Card
- ☐ C-Driving Licence
- ☐ D-NREGA Job Card
- ☐ E-National Population Register Letter
- ☐ F-Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

**Address**

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

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

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

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

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C- Driving Licence
- ☐ D-NREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F - Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar
- IV ☐ Deemed Proof of Address - Document Type code
- V ☐ Self Declaration

Address

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

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) [] [] [] - [] [] [] [] [] [] Tel. (Res) [] [] [] - [] [] [] [] [] [] Mobile [] [] - [] [] [] [] [] [] [] []
Email ID [] [] [] [] [] [] [] [] [] [] [] [] [] [] [] []

■ 5. REMARKS (if any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D — M M — Y Y Y Y Place:

1



Signature / Thumb Impression of Applicant

7. ATTESTATION/ FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Date received from Offline verification ☐ Digital KYC Process
☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY

[illegible]

[Employee Signature]

INSTITUTION DETAILS

[illegible]

Max Stock Broking Private Limited
Registered & Correspondence Office :
 2 Desai Society, Nr. Mahadev Temple, College Road, Nadiad 387001. Gujarat.
 Ph. : 0268-2527609, Fax : 0268-2527611 Website : www.maxbroking.com

CENTRAL KYC REGISTRY | Instruction / Check list / Guidelines for filling individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

- 1 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 of the following is mandatory : Mother's name, Spouse's name, Father's name.

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

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 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.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 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.
10	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, different from the address as per the identity information available in the Central Identities Data Repository

C Clarification / Guidelines on filling 'Contact details' section

- 1 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.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 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.

Additional documents in case of trading in derivatives segments - illustrative list:

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

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

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

Additional KYC Form for Opening a Demat Account



MAX STOCK BROKING PRIVATE LIMITED



Depository Participant : Central Depository Services (India) Limited (CDSL)

DP ID : **12060400** SEBI Registration No. : **IN-DP-CDSL-504-2009**

Registered & Correspondence Office:

" MAX HOUSE " 2 Desai Society, Nr. Mahadev Temple, College Road, Nadiad 387 001, Gujarat

Ph. : 0268-2527609, 10 Fax : 0268-2527611 Website : www.maxbroking.com

Grievance ID: grievance@maxstockbroking.com;

(To be filled by Depository Participant)

Application No.	Date			-		-	2	0		
DP Internal Reference No.										
DP ID	1	2	0	6	0	4	0	0	Client ID	

(To be filled by the applicant in **BLOCK LETTERS** in English)

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

Holder's Details

Sole/First Holder's Name		PAN																	
		UID																	
		UCC																	
Second Holder's Name		PAN																	
		UID																	
		UCC																	
Third Holder's Name		PAN																	
		UID																	
		UCC																	

Name*	
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

Type of Account (Please tick whichever is applicable) (For Individual)

Status	Sub-Status	
☐ Individual	☐ Individual Resident	☐ Individual Director
	☐ Individual Director's Relative	☐ Individual HUF / AOP
	☐ Individual Promoter	☐ Minor
	☐ Individual Margin Trading A/c. (MANTRA)	☐ Others (Specify) _____
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable
	☐ NRI Repatriable Promoter	☐ NRI Non-Repatriable Promoter
	☐ NRI - Depository Receipts	☐ Others (Specify) _____
☐ Foreign National	☐ Foreign National ☐ Foreign National-Depository Receipts ☐ Others (Specify) _____	

Type of Account (Please tick whichever is applicable) (For Non-Individual)

Status	Sub-Status
☐ Body Corporate ☐ Banks ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ Clearing House ☐ FI ☐ CM ☐ Others (Specify) _____	To be filled by the DP
SEBI Registration No. (If applicable)	SEBI Registration Date
RBI Registration No. (If applicable)	RBI Approval Date
Nationality	☐ Indian ☐ Others (Specify) _____

Guardian's Name	PAN																	
Relationship with the applicant																		
I/We instruct the DP to receive each and every credit in my / our account (If not marked the default option would be "Yes")														(Automatic Credit) ☐ Yes ☐ No				
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')														☐ Yes ☐ No				
Account Statement Requirement	☐ As per SEBI Regulations ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly																	
I / We request you to send Electronic Transaction-cum-Holding Statement at the Email ID _____														☐ Yes ☐ No				
I / We would like to share the email ID with the RTA														☐ Yes ☐ No				
I/We would like to receive Rights and Obligations of Beneficial Owner and Depository Participant														☐ Physical ☐ Electronic				
I / We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)																		
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS ? (If not marked, the default option would be "Yes") [ECS is mandatory for locations notified by SEBI from time to time.]														☐ Yes ☐ No				
Whether you wish to OPT for consolidated account statement from CDSL (CAS) ☐ Yes ☐ No If Yes ☐ Physical ☐ Electronics																		

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

Bank Code (9 digit MICR Code)																		
IFS Code (11 character)																		
Account Number																		
Account Type	☐ Saving ☐ Current ☐ Others (specify) _____																	
Bank Name																		
Branch Name																		
Bank Branch Address																		
City							State					Pin						
Country																		

- | | |
|--|---|
| Other Details Gross Annual Income Details | Income Range per annum for Individuals:
☐ Up to Rs. 1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000
☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ More than Rs. 25,00,000 |
| | Income Range per annum for Non-Individuals :
☐ Up to Rs.1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000
☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ Rs. 25,00,000 to Rs. 1,00,00,000 ☐ More than Rs. 1,00,00,000 |
| | Net Worth as on (Date) : <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Rs. <input type="text"/>
(Net worth should not be older than 1 year) |

Occupation (For Individuals)	☐ Private / Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please Specify) _____			
Please Tick, if applicable :	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)			
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Director is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (PEP). Please provide details as per Annexure 2.2 A				
Any other information:				
SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	MOBILE NO. +91 [(Mandatory, If you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option.)			☐ Yes ☐ No
Transactions Using Secured Texting Facility (TRUST) Refer to Terms & Conditions Annexure 2.6	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. I / We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST			☐ Yes ☐ No
	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)	
easi	To register foreasi, please visit our website: www.cdslindia.com easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.			☐ Yes ☐ No

Format for providing Nomination for Demat Account Mandatory Details

1. I / We wish to make nominations [as per details given below]

(You can nominate upto 3 persons)

	Details	1st Nominee	2nd Nominee	3rd Nominee
1	Name of the nominee*			
2	Relationship with the Applicant			
3	Date of Birth (to be provided in case the nominee is a minor)			

2. I want the following nomination details to be printed in the account / holding statements (tick one of the boxes below):

☐ Name of the Nominee(s)

☐ Whether nomination given: Yes / No (not name of the nominee)

3. **Optional details of nomination:**

	Details	1st Nominee	2nd Nominee	3rd Nominee
a)	% Share of nominee** (equal share if % is not specified)			
b)	Mobile of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)			
c)	Email ID of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)			
d)	Specify Personal identifier document ☐ Aadhaar (last four digit), ☐ PAN, ☐ Driving License, Passport **			
Any odd lot after division shall be transferred to the first nominee mentioned in the form. * The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.				

4. Signature:

Name(s) of holder(s)	Signature(s) of holder****
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

****If nomination is submitted:

Online: validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address.

Physical / offline: wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.

Note:

- Investors can provide, changes or cancel nominations any number of times.
- The signature of all the joint holders shall be obtained for providing / changing nomination regardless of mode of operations.
- This nomination shall supersede any prior nomination made by the investor(s), if any.
- Investors can change nomination any number of times.
- Investor have the right to receive acknowledgement of the nomination form for each instance of nomination / subsequent change.

Declaration for Opting-out of Nomination

I hereby confirm that I do not wish to appoint any nominee(s) to my demat at this point of time. I understand that –

- (i) The nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.
- (ii) In the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).
- (iii) If no claim is made on the demat account for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

Name and Signature of Holder

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

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 have received and read the document of 'Rights and Obligation 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 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 suppression of any material information will render my account liable for termination and suitable action.

Annexure - 2.2 A

Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). (For Non-Individuals)

Name of Holder _____

PAN of the Holder

--	--	--	--	--	--	--	--	--	--

Sr. No.	Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc.	Please tick the relevant option.
1			☐ PEP ☐ RPEP
2			☐ PEP ☐ RPEP
3			☐ PEP ☐ RPEP
4			☐ PEP ☐ RPEP
5			☐ PEP ☐ RPEP
6			☐ PEP ☐ RPEP

Politically Exposed Persons (PEP) Related to Politically Exposed Person (RPEP)

	First / Sole Holder / First Authorised Signatory or Guardian (in case of Minor)	Second Joint Holder / Second Authorised Signatory	Third Joint Holder / Third Authorised Signatory
Name			
Designation			
Signatures	2 	2 	2 

Signatures should be preferably in blue ink.

Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL**[SMS Alerts will be sent by CDSL to BOs for all debits]**

Annexure : 2.4

Reference No. : **DEFINITIONS :**

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

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

AVAILABILITY :

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

RECEIVING ALERTS :

1. The depository shall send the alerts to the mobile phone

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

Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits]

Annexure : 2.4

FEES :

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

DISCLAIMER :

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

LIABILITY AND INDEMNITY :

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

AMENDMENTS :

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

GOVERNING LAW AND JURISDICTION :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee/charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID

:

1	2	0	6	0	4	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which
messages are to be sent :

+91														
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : _____

E-mail ID : _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	3 	3 	3 

Place

Date :

--20

OPTION FORM FOR ISSUE OF DIS BOOKLET

										Date	D	D	M	M	Y	Y	Y	Y
DP ID	1	2	0	6	0	4	0	0	Client ID									
Sole/First Holder Name																		
Second Holder Name																		
Third Holder Name																		

To,

Max Stock Broking Private Limited

Registered & Correspondence Office:

" MAX HOUSE " 2 Desai Society, Nr. Mahadev Temple, College Road, Nadiad 387 001, Gujarat

Dear Sir / Madam,

I / We hereby state that : (select one of the options given below)

☐ **OPTION 1 :**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favor of / with Max Stock Broking Private Limited for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	4 	4 	4 

OR☐ **OPTION 2 :**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favor of / with Max Stock Broking Private Limited for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	4 	4 	4 

Date:____/____/20____

To,
Max Stock Broking Pvt Ltd
“Max House” 2, Desai Society
Near Mahadev Temple
College Road
Nadiad – 387001
Gujarat

Dear Sir/ Madam,

Sub: Request to update Mode of Operations for Demat Account _____

We would like to update mode of operation in the Demat account number
12060400_____ held with Max Stock Broking Pvt Ltd, as below:

- ☐ Jointly
- ☐ Anyone of the holder or survivor(s)

We understand that If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

_____	_____	_____
First Holder	Joint Holder 1	Joint Holder 2

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

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

Beneficial 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, 2018 and Bye- Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

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

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

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,

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

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

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

25. The Joint holders are aware that in case of any Statutory Order for freezing any one jointholder, the demat account will be frozen and the other jointholders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority. -

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

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

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

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

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

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

SCHEDULE OF CHARGES

Particulars	Charges
Account Opening & Closing Charges	Nil
AMC Per Year	Nil
STAMP Charges for DDPI (POA- Optional)	Rs. 300/-
Transaction Charges	
Buy Transaction	Nil
Sell Transaction As Below	
Auto Pay in POA	Rs. 25/-
Off Market in Max	Rs. 50/-
Off Market Outside Max	Rs. 100/-
Dematerialization	Rs. 100/- & Rs. 10/- Per Additional Certificate
Rematerialization	Rs. 100/-
Pledge, Unpledge & Invocation	Rs. 100/-

Notes: All off market slips & other CM's Slips require in case of other than auto Pay-in.

- Margin Pledge/Unpledge Charges Rs. 50/- per instruction.
- Any Debit for Demat charges and Margin Pledge / Unpledge / Invocation Charges will be Deducted from Broking Account.
- Additional Statement of Holding/Transaction other than monthly by printing will be available. 250/- Per Request and Rs.50/- will be charged if by Email.
- All instructions for transfer must be received at our office at least 1 hour before the pay in time (CDSL Dead line) as shown in CDAS system. Any instruction received after 4.00 p.m. shall be executed solely at the risk of the clients.
- Late transaction fee of Rs. 100/- per transaction shall be charged (after office hour i.e. 4 p.m.) and Rs. 500/- shall be charged if execution slip given on the pay in day itself.
- Any services not quoted shall be charged separately.
- GST will be levied at applicable rate from time to time on all charges and fees.
- Above Tariff Charges is based on existing CDSL Charges and is subject to change at the sole discretion of the Max Stock Broking Pvt. Ltd., with intimation to client not less than 30 days.
- KYC Modification Charges Rs.50 /-.
- First DIS issue Free and Second DIS onwards Charges Rs.100 /-.
- Whether if you are not eligible for BSDA.
 BSDA*:
 1) First/Sole holder does not have/propose to have any other Demat Account across Depositories.
 2) Individuals having any other demat account/s where they are not the first holder shall be eligible for BSDA in respect of the single demat account where they are sole or first holder. 3) If the value of holdings up to 400000/- then AMC will be charged **Nil**, If value of holdings between 400001/- to 1000000/- then AMC will be charged Rs. 100/- and If the value of holdings more than Rs. 1000000/- at any date then charges will be levied as applicable to Regular Scheme (non-BSDA) from that date onwards.

Name: (1) _____ (2) _____ (3) _____
 First Holder Sign Second Holder Sign Third Holder Sign



To,
MAX STOCK BROKING PVT LTD
"Max House" 2 / Desai Society
Nr. Mahadev Temple, College Road
Nadiad – 387001

SEBI Reg. No.
INZ000280532

I / We _____ (Client / BO name) hold a Beneficiary Account No. 12060400_____ (BO-ID) with Central Depository Services (India) Limited, through your company MAX STOCK BROKING PVT LTD. having DP-ID 12060400.

And Whereas I am an investor engaged in buying and selling of securities through your company MAX STOCK BROKING PVT LTD. and your company is a member of National Stock Exchange of India Ltd. bearing SEBI registration No INZ000280532 a member of Bombay Stock Exchange Ltd., bearing SEBI registration No. INZ000280532. Further due to exigency and paucity of time, I / We am / are desirous of giving my / our consent for Demat Debit and Pledge Instruction (DDPI) to operate the aforesaid beneficiary account on my / our behalf for a limited purpose in the manner hereinafter appearing.

I/We further agree and confirm that the consent given by me / us by this DDPI shall continue until it is revoked (without notice) in writing by me / us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock & commodity broker in his office at "Max House" 2 / Desai Society Nr. Mahadev Temple, College Road, Nadiad – 387001.

I/We hereby authorize the MAX STOCK BROKING PVT LTD. to transfer securities from the aforesaid account to the below mentioned accounts for the purpose specified herein.

Sr No.	Exchange	Demat Account No	Account Purpose/Type
01	NSE	1100001100018032	EARLY PAY IN
02	BSE	1100001000021693	EARLY PAY IN
03	NSE	1206040000011551	CDSL CM POOL A/C
04	BSE	1206040000026171	CDSL CM PRINCIPLE A/C
05	NSE / BSE	1206040000047580	MARGIN PLEDGE A/C
06	NSE	IN300126 11225547	NSDL CM POOL A/C
07	BSE	IN300126 11237500	NSDL CM POOL A/C

Annexure-A**Demat Debit and Pledge Instruction**

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

I, Accept,**For,**

MAX STOCK BROKING PVT LTD

Date:

Place:

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TRADING ACCOUNT FORM

ANNEXURE-3 (For Individuals & Non-Individuals)

TRADING ACCOUNT RELATED DETAILS

C. Other Details

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

Below Rs. 1 Lac		Rs. 1 - 5 Lac	
Rs. 5 - 10 Lacs		Rs. 10 - 25 Lacs	
Rs. 25 Lacs - 1 Crore		> Rs. 1 Crore	

OR

Net Worth as on (Date) :

		-		-					
--	--	---	--	---	--	--	--	--	--

(DD-MM-YYYY)

Rs.

(Net worth should not be older than 1 year)

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

- | | | | | | |
|---|--|---|-----------------------------------|---|--|
| ☐ Private Sector | ☐ Public Sector | ☐ Government Service | ☐ Business | ☐ Professional | ☐ Agriculturist |
| ☐ Retired | ☐ House Wife | ☐ Student | ☐ Others | <table border="1" style="border-collapse: collapse; width: 100px; height: 15px;"></table> | |

3. Please Tick, if applicable :

- | | | |
|---|--|--------------------------------|
| ☐ Politically Exposed Person (PEP) | ☐ Related to Politically Exposed Person (PEP) | ☐ N. A. |
|---|--|--------------------------------|

4. Any other information

A. BANK ACCOUNT(S) DETAILS

Type of A/c | ☐ Savings ☐ Current ☐ NRI/NRE/NRO ☐ Others (Specify)

Name of Bank

Bank A/c No.

Branch Address

City

State

Country

Pin Code

IFSC No.

MICR No.

B. DEPOSITORY ACCOUNTS DETAILS

Depository Participant Name

MAX STOCK BROKING PVT. LTD.

Depository Name :

- ☐ NSDL ☒ CDSL

Beneficiary Name

DP ID

Beneficiary ID (BOID)

C. TRADING PREFERENCES

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

NSE	Cash	8
	F & O	8
BSE	Cash	8
	F & O	8

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

D. PAST ACTIONS

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

TRADING PREFERENCES

Accordingly, Para C of Annexure – 8 of “master Circular for Stock Brokers” with reference no SEBI/HO/MIRSD/MIRSD-PoD-1/CIR/2023/71 dated Mat 17, 2023, stands modified as under:

C. TRADING PREFERENCES					
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.					
Exchanges	NSE, BSE & MSCI				MCX, NCDEX BSE & NSE
All Segments	Cash/Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
	X	X	X	X	X
If you do not wish to trade in any Segments/ Mutual Fund, please mention here					

MANDATORY

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

☐ Yes☐ No

If yes,

Sub-Broker's Name

SEBI Registration No.

Registered Office Address

Phone

Fax

Website

Whether dealing with any other stock broker/sub-broker

☐ Yes☐ No

If yes,

(if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker

Name of Sub Broker, if any

Client Code No.

Name of Exchange

Details of disputes/dues pending from/to such stock broker/sub- broker :

☐ Yes☐ No

If yes,

F. ADDITIONAL DETAILS

- Whether you wish to receive ☐ Physical contract note

☐

Electronic Contract Note (ECN)

Specify your Email id, if applicable: _____

- Whether you wish to avail of the facility of

internet trading

☐ Yes☐ No

- wireless technology

☐ Yes☐ No**NUMBER OF YEARS OF INVESTMENT/TRADING EXPERIENCE**

Type of Instrument Experience

Stocks

Years

Derivatives

Years

Others (Specify)

Years

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:

Any other Information: Whether you wish to receive Rights & Obligation, RDD & Guidance Note in ☐ Physical ☐ Electronic**G. INTRODUCER DETAILS (optional)**

Name of the Introducer

(Surname)

(Name)

(Middle Name)

Status of Introducer

☐ Sub-Broker☐ Remisier☐ Authorized Person☐ Existing Client☐ Others

Please Specify

Address of the Introducer

Ph. No.

Signature of the Introducer _____

H. NOMINATION DETAILS (For Individuals only)☐ I/We wish to nominate☐ I/We do not wish to nominate

Name of the Nominee

Relationship with the Nominee

PAN of Nominee

Date of Birth of Nominee

Address of the Nominee

Ph. No.

If Nominee is a minor, details of guardian :

Name of the guardian

Address of the guardian

Ph. No.

Signature of the guardian _____

MANDATORY

WITNESSES (Only applicable in case the account holder has made nomination)

Witness Name :
Signature :
Address :

WITNESS

Witness Name :
Signature :
Address :

DECLARATION

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

Place

Date : - - 2 0 2

Client Signature 9 

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

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

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

For, Max Stock Broking Private Limited

Stamp of the intermediary

Signature of the Authorised Signatory

Date : - - 2 0

Mandatory Document dealing with Policy and Procedures

1. Refusal to Take Orders

The Client undertakes and agrees that member, may as a risk containment measure, at any time, at its sole discretion, and without prior notice, prohibits, restricts or refuse the clients' ability to place order or trade in penny stocks or such other stocks/contracts, as specified by Member, through the Member. The Client waives any and all claims for loss or damage arising directly or indirectly from any such refusal.

2. Exposure Limits

The client agrees and confirms to abide by the exposure limits, if any, set by Member or by the exchange or Clearing Corporation or SEBI from time to time.

The Stock Broker/ Trading Member may from time to time, at its sole discretion, impose and vary limits on the orders that the client place (including but not limited to exposure limits, turnover limits, limits as to number, value and / or kind of securities / contracts in respect of which buy or sell orders can be placed etc.) The client is aware and agree that the stock broker/ trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of Member's risk perception and other factors considered relevant by Member and Stock Broker/ Trading Member may be unable to inform to the client of such variation, reduction, imposition in advance. The client agrees that the Stock Broker/ Trading Member shall not be responsible for such variation, reduction and imposition of limits.

3. Brokerage Rate

The Client confirms and agrees that the brokerage shall be paid in the manner intimated by the Member to the client from time to time, including as a percentage of the value of the trade or as a flat fees or otherwise, together with the service tax, SB cess as may be applicable from time to time on the same.

The Client hereby agrees to the brokerage slabs/rates, as mentioned in this document, which do not exceed the maximum limits prescribed by the SEBI/NSE/BSE.

4. Delayed Payment Charges

The client understands and agrees that applicability of delayed payment charge by either party is solely at the discretion of the Stock Broker.

Without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from a client toward settlement obligation or margin obligation either in cash segment and/or derivative segment, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the stock broker.

In case client has not opted for running account maintenance, any amount which are overdue from a stock broker towards settlement pay out after meeting all pending settlement / margin obligations or dues, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the stock broker.

In case client has opted for running account maintenance, any amount which are overdue from a stock broker towards the available undisputed credit balance in client ledger after meeting settlement and/or margin obligation and making provision for next 5 trading day settlement and / or margin obligation, calculated in the manner specified by the exchanges or amount as demanded by client, in writing, out of available ledger balance, whichever is less, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the stock broker.

5. Liquidation/close-out of positions:

Without prejudice to the member's other rights (including the right to refer a matter to arbitration), the Member shall be entitled to liquidate / close out all or any of the Client's securities/positions for non-payment of margins or settlement obligation after giving

prior notice. Any and all losses and financial charges on account of such liquidation / closing-out shall be charged to and borne by the Client.

6. Internal Shortage

In case of purchase of securities by the Client, at times Member may be unable to deliver the securities to the said purchaser on the payout day due to non receipt of the said securities from another Client of Member who has sold the securities against the said purchase transaction. In such cases, member may buy the shares from the market on T + 1 day or on settlement day and deliver the same to the client or he may give close out at the rate as determined by the member.

7. Close out in case of internal Shortages:

The Client hereby agrees that if he/she/it has short delivered any securities against his/her/its pay-in- obligation which resulted into internal shortage (i.e. buy position of another client of Member and could not be auctioned in the market), close out shall be debited to his account at the rate which is in the range of 5% to 20% above the purchase price or the closing price on auction day or such other percentage as may be revised by Member and intimated to client time to time.

8. Restrictions/Prohibition to take further position or closing existing position

The Member may, in its sole discretion, not allow taking further position to the client or may close the existing position of a client due to any restrictions in relation to volume of trading / outstanding business or margins stipulated by the exchange, clearing corporation/ clearing house and/or the Member and / or any other extraordinary event warranting such restrictions. The Client waives any and all claims for loss or damage arising directly or indirectly from any such restrictions.

9. Suspension / Closure at the client's request

The Client may suspend or close his/her/its trading account temporarily by giving written request to the member. Such temporary closing or suspending of trading account will not affect the rights and obligation incurred prior to such suspension or closure. Any request for temporary suspension or closure shall not be processed by the member unless all the dues are paid by the client.

10. Deregistering the Client

The Member may, at its sole discretion, deregister clients' account to protect his interest which might include (but not limited to)

- Member is compelled to by law;
- Client has not used account for a significant period of time;
- Member has reasons to believe that account is being used for fraudulent purposes.
- Any other reason which member thinks reasonable for deregistering the account.

The Client waives any and all claims for loss or damages arising directly or indirectly from such deregistering. The deregistering will not affect any liability of the Client resulting directly or indirectly from any transactions made at any time before such deregistering.

11. Policy for in active Clients

In case client has not used his account for a period exceeding 6 months but not later than 2 years across the exchanges, then his/her account shall be considered as "Dormant" and shall be freed for further trades and the said account shall be activated upon 1. Receipt of Account Activation Letter or 2. Confirmation through One Time Password on Registered Mobile/E-mail ID or 3. Telephonic Verification on registered Mobile Further, if client has not used his account for more than 2 years, his/her account shall be treated as "Inactive" and shall be re-activated only after obtaining Account Re-Activation Request.

Client Signature 

Brokerages

	Percentage
Trading	0.03
Delivery	0.30 / Min.10 Paisa
Future	0.03
Option	50 Rs. Per Lot

B. Statutory Levies

Following statutory levies shall be levied as applicable from time to time.

- Security Transaction Tax
- SEBI Turnover Fees
- Exchange Transaction Charge
- Stamp Duty
- Service Tax

In addition to above, any charge levied by statutory authorities shall also be recovered from the clients.

C. Penalty

Penalties levied by exchange, SEBI and other authorities due to act of client are recovered from the clients. Such penalty may include, Short Margin Penalty, Code Modification Penalty, etc.

D. Other Charges

- Contract Minimum Brokerage @ Rs, 50/- per contract subject to maximum prescribed Limit.
- Bank Charges for clearance of Cheque/ dishonor of Cheque given by client Rs. 1000/- per Cheque return / clearance.
- Auction charges @ 1% of auction value or Actual, whichever is higher.
- Advance amount will be adjusted against the bill. Any delayed payment will be charged as late payment charges @ 18 % p.a. subject to minimum Rs. 250/-.
- If your cash margin funded by MAX which is do not clear before due settlement than the Interest 18 & p.a. will be charge from Trade date.

For, Max Stock Broking Pvt. Ltd.

Client Signature 11  _____

Signature of the Authorized Signatory

Annexure A

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.

Policy Acknowledgement

As part of our commitment to transparency and client protection, **we are offering Good Till Cancelled (GTC) and Good Till Triggered (GTT)** orders to our clients. These orders enable clients to place buy or sell orders specifying a particular price and timeframe for execution. However, in the event of corporate actions (such as dividends, stock splits, mergers, etc.), these orders may be subject to adjustments or cancellation to avoid unintended execution or market disruptions. This document outlines our policy for handling such orders.

1. Details of GTC/GTT Orders

- **GTC Orders:** Orders remain active until they are either fully executed or cancelled by the client, subject to a maximum validity period, as specified by the exchange.
- **GTT Orders:** Orders remain in the system until a pre-defined trigger condition (price or time-based) is met or the order is cancelled by the client.
- **Order Validity:** Both types of orders can be placed for a predefined period or until specific conditions are met. The validity period, if any, will be communicated at the time of order placement.

2. Handling of GTC/GTT Orders during Corporate Actions

In the event of a corporate action, such as stock split, bonus issue, rights issue, dividends, mergers, or any other action that affects stock prices or volumes, the following mechanisms will be applied:

- **Order Cancellation:** GTC/GTT orders that remain unexecuted at the time of the corporate action may be cancelled to prevent any unintended execution at erroneous prices. The client will be notified promptly of the cancellation.
- **Price Reset:** In certain situations, where corporate actions result in significant price changes (e.g., stock split, bonus issue), unexecuted orders may be adjusted for price based on the revised market conditions. The client will be informed about any such adjustment.
- **Order Retention:** In some cases, where the corporate action is not expected to result in substantial changes to stock prices (e.g., dividend announcements), the unexecuted GTC/GTT orders may be retained without adjustment. However, the final decision will rest with the Member and will be communicated to the client.

3. Client Notification Timeline

- We are committed to providing timely information to our clients regarding upcoming corporate actions and the impact on their GTC/GTT orders.
- We will intimate our clients about the details of upcoming corporate actions that could affect their unexecuted orders no later than **one day prior to the ex-date** of the corporate action. This communication will include details of whether the orders will be cancelled, adjusted, or retained.
- Clients will be notified through their registered communication channels (email, SMS, or the trading platform).

For any queries regarding this policy or to clarify the status of your orders during a corporate action, please contact our customer service team at <https://maxbroking.com/Contact>

I hereby confirm that I have read and understood the above policy and I hereby acknowledge receipt of the same.

Running Account Authorisation:

I am aware that as per the SEBI / Exchange requirements, the settlement of funds / securities is to be done within one working day of the pay-out. I am also aware and understand that it is difficult to manage repeated payments/delivery with respect to all secondary market transactions. Also, I desire to use my securities and monies as margin / collateral without which I cannot deal / trade. Therefore, I hereby request and authorize you to maintain my account as a running account(s) which will entail that funds due to us on pay-out shall be withheld with yourselves beyond the stipulated deadlines and given to us only on specific request. You shall transfer the funds lying in my credit within one working day of my request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation. Notwithstanding anything contained in this authorization, the actual settlement of funds, except for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR), at least once in a ☐ **Month** ☐ **Quarter** as allowed by Exchange and SEBI from time to time. In case I have an outstanding margin/settlement obligation on the settlement date, you may retain the requisite 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 as per the applicable guidelines prescribed by the Exchanges. I acknowledge that I can revoke the above mentioned running account authority at any time by sending a written signed instruction through registered post (RPAD). I confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be in writing at your registered office. Any clause which is not in conformity with SEBI and Exchange circular on settlement of fund shall stand amended/modified to that extent. There shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

Date of Authorization: _____

Client Signature: _____

ADDITIONAL TERMS & CONDITIONS FOR SMOOTH OPERATIONS AND COMPLIANCE

(Please strike out the Non-Mandatory clauses that are not agreed to between Stock Broker/Trading Member and the Client)

I, voluntarily and unconditionally hereby state and declare that I/We have read and understood the terms and conditions mentioned hereinafter governing securities trading and broking services of Member Max Stock Broking Private Limited (hereinafter referred to as MAX) and agree to be bound by the same.

1. Internet Based Trading Services: E-Broking Services, Wireless Securities Trading & Dial & Trade Services

- (i) The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party.
- (ii) The CLIENT agrees that the STOCK BROKER/TRADING MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/ STOCK BROKERS/TRADING MEMBERS/EXCHANGE end.

2. Electronic Payment Gateway for Net Banking Services:

Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with MAX. Client understands that MAX is only providing access to the electronic fund transfer facility provided by the banker of the Client through MAX's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make MAX a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that MAX's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank

3. PMLA Declaration

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by MAX officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that:

- a. I do not have any links with any known criminal
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

4. Order Placement Instructions

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ Emailing the Call centre

/ branch specified for the said purpose by MAX in case of breakdown of internet connectivity or other similar reasons.

I hereby request you to kindly accept my or my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify MAX and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

5 . Errors and Omissions

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances MAX shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold MAX responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by MAX.

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

Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non- performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by MAX or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of MAX or any disseminating party.

7. Non-execution/delay/cancellation of Orders:

The client hereby agrees that MAX or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the trading services, disruptions or congestion of communication networks, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of MAX or the Exchange.

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

9. Indemnification:

I hereby indemnify and hold MAX, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the MAX directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

10. Indemnity of Joint Holdings:

I hereby agree to indemnify and hold the MAX harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and /or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

11. Mutual Fund Service System (MFSS) Facility:

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

12. NRI Declaration

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to MAX every time the investment is made. Further, I /we undertake to update any status change and shall abide by FEMA , RBI and SEBI guidelines with regard to NRI investment in India.

13 Third-Party Payments

TF SPL shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along-with adequate proof thereof as per proforma prescribed by MAX shall not be responsible for any loss or damage arising out of such

refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by MAX and the credit for the same has been given in the client's ledger, MAX shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, MAX reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. MAX, its Directors and employees shall not be responsible for any consequential damages or losses.

14.No Dealings In Cash

MAX as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/Remisier/Employee/ Authorised Person of MAX.

15. No Market Manipulation

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

16.Authorization to debit additional charges with regard to Trading and Demat Account:

Without prejudice to the other rights and obligations of the parties, the client understands and agrees that MAX may levy charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by MAX and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients' Trading ledger account maintained with MAX for the demat charges payable to MAX as Depository for providing depository services.

17. Authorization for Inter Segment/Inter Exchange Fund Balance Transfer:

The client hereby authorizes MAX to transfer fund/ pay out resulting on account of sale of shares/contract/or margin refunds from NSE/BSE and adjust the same towards debit balances in any segment of NSE/BSE. Further, I/we hereby authorise to consider credit available in one segment/ exchange towards margin / settlement obligation in another exchange/segment with or without passing journal entries.

18. Deliveries

The client shall ensure that the shares are properly transferred to the designated demat account of MAX, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/MAX. In case the client fails to transfer the shares on time to MAX, MAX shall not be responsible for any loss/damages arising out of such delayed transfers.

Client Signature 14 

SMS AND EMAIL ALERTS FACILITY

To,

Max Stock Broking Private Limited

Registered & Correspondence Office:

" MAX HOUSE " 2 Desai Society, Nr. Mahadev Temple, College Road, Nadiad 387 001, Gujarat

Dear Sir,

Sub: SMS and Email alerts facility by Stock Exchanges

I/We are aware that the stock exchanges have commenced a process of confirming to investors details of their transactions carried out through stock brokers vide SMS and Email alerts on mobile and email I'd of the investor respectively.

Accordingly I/We record our consent to receive the following: .

- | | | | | |
|-------------------------|--------------------------|-----|--------------------------|----|
| 1. SMS alerts | ☐ | Yes | ☐ | No |
| 2. Email alerts | ☐ | Yes | ☐ | No |
| 3. SMS and email alerts | ☐ | Yes | ☐ | No |

Further, I /we declare that in case of negative consent, you may enter Email ID and Mobile Number as per Exchange circular Viz. Email ID as "notprovided@notprovided.com and Mobile Number as "6666666666".

I/We provide herewith the mobile number and email I'd for receiving the details of the transactions:

Mobile No. E-Mail ID: Mobile No. Registered in the name of Self ☐ Others ☐

In case Mobile No. is registered in the name of any other person please specify the following:

Name of the person: _____

Relationship with the Client ☐ Spouse ☐ Dependent Child ☐ Dependent parentE-Mail ID Registered in the name of Self ☐ Others ☐

In case E-Mail ID is registered in the name of any other person please specify the following:

Name of the person: _____

Relationship with the Client ☐ Spouse ☐ Dependent Child ☐ Dependent parent

I/We also understand that stock brokers are required to provide information of mobile no and email I'd to stock exchanges for their clients to avail this facility and I/We hereby authorize Max Stock Broking Private Limited to provide such information to stock exchanges.

I/We understand and agree that Max Stock Broking Private Limited may at its discretion conduct necessary checks to ascertain that the mobile number and email I'd above belong to me/us before passing on information to the stock exchanges.

Further, I/We understand and agree that stock exchanges may also carry out necessary checks as they deem fit before enabling such facility to me/us.

I/We understand and agree that Max Stock Broking Private Limited is merely facilitating transmission of information in order that I/We are able to avail this facility and undertake to indemnify Max Stock Broking Private Limited, its employees and its affiliates from any losses /claims / damages that may arise in this regard.

Yours faithfully,

Client Signature:  _____

Client Code: _____

BO ID: **12060400**

Client/BO Name: _____

Date:

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which require Indian financial institutions such as the Banks/other financial entities to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green-card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/mailling address in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)
Telephone number in a country other than India	If no Indian telephone number is provided 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below) If Indian telephone number is provided along with a foreign country telephone number 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR
Telephone number in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

*** Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

SECOND HOLDER NAME :

SECOND HOLDER SIGNATURE :

Other Details Gross Annual Income Details	Income Range per annum for Individuals:	
	☐ Up to Rs. 1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000 ☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ More than Rs. 25,00,000	
	Income Range per annum for Non-Individuals :	
☐ Up to Rs.1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000 ☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ Rs. 25,00,000 to Rs. 1,00,00,000 ☐ More than Rs. 1,00,00,000		
Net Worth as on (Date) :		- - Rs.
(Net worth should not be older than 1 year)		
Occupation (For Individuals)	☐ Private / Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please Specify)	
Please Tick, if applicable :	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)	
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Director is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (PEP). Please provide details as per Annexure 2.2 A		
Any other information:		

THIRD HOLDER NAME :

THIRD HOLDER SIGNATURE :

Other Details Gross Annual Income Details	Income Range per annum for Individuals:	
	☐ Up to Rs. 1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000 ☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ More than Rs. 25,00,000	
	Income Range per annum for Non-Individuals :	
☐ Up to Rs.1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000 ☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ Rs. 25,00,000 to Rs. 1,00,00,000 ☐ More than Rs. 1,00,00,000		
Net Worth as on (Date) :		- - Rs.
(Net worth should not be older than 1 year)		
Occupation (For Individuals)	☐ Private / Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please Specify)	
Please Tick, if applicable :	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)	
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Director is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (PEP). Please provide details as per Annexure 2.2 A		
Any other information:		

RECEIPT OF ACCOUNT OPENING FORM (KYC FORM)

From : _____

To,

Max Stock Broking Private Limited

Registered & Correspondence Office:

" MAX HOUSE " 2 Desai Society, Nr. Mahadev Temple, College Road, Nadiad 387 001, Gujarat

Dear Sir,

Re. : Account Opening Form (KYC Form) No. _____ Client code _____

This has reference to my/our captioned Account Opening Form (KYC Form) which I/We have submitted to you duly filled up along with all the supporting documents.

I/we hereby acknowledge the receipt of copy of the following documents from you.

DEMAT :

1. All Executed Client Registration Form (Know Your Client Form)
2. Rights & Obligations
3. Tariff Sheet
4. PMLA Policy
5. Certified xerox copy of POA

TRADING :

1. Client Registration Form (KYC)
2. Rights & Obligations
3. Risk Disclosure Document
4. Guidance Note
5. Policies & Procedures
6. Tariff Sheet
7. Non-Mandatory Documents
8. PMLA Policy
9. RMS Policy

	First/Sole Holder	Second Joint Holder	Third Joint Holder													
Name																
Signatures																
BO ID	1	2	0	6	0	4	0	0								

ACKNOWLEDGEMENT RECEIPT

For Individuals & Non-Individuals

Application No. : _____

Date : - - 2020

We hereby acknowledge the receipt of the Account Opening Application Form:

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

Depository Participant Seal and Signature

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON-ISSUE OF DIS BOOKLET Form:

DP ID	1	2	0	6	0	4	0	0	Client ID								
Name of the Sole/First Holder																	
Name of Second Joint Holder																	
Name of Third Joint Holder																	

Depository Participant Seal and Signature

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MAX STOCK BROKING PVT. LTD.

: Corporate Office :

“MAX HOUSE” 2, Desai Society, Nr. Mahadev Temple, College Road, Nadiad-387 001.

Tel : 0268 - 2527609, 2527610. Email : info@maxstockbroking.com

: Branch Office :

G-66/67, Belgium Square, Opp. Linear Bus Stand, Delhi Gate, SURAT - 395 003. (Gujarat)

Tel : 0261 - 2601967/69 • Visit us at.. www.maxbroking.com