

GUIDANCE NOTE - DO'S AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

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



DOCKET - B

VOLUNTARY DOCUMENTS

LETTER OF AUTHORITY

To,
DSE FINANCIAL SERVICES LTD.
Registered Office : 3 & 4/4B, ASAF ALI ROAD, NEW DELHI-110 002
Corporate Office : DSE House, 3/1, Asaf Ali Road, NEW DELHI-110 002

Dear Sir,

Sub: Letter of Authority- CASH and F&O Segment of NSE/BSE


I/we dealing with you as client at NSE/BSE in Cash and F&O Segment and in order to facilitate ease of operations, I/We authorise you as under:

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paperwork. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which I/We have given you in margin including the payout securities received by us for meeting margin / order obligation in any of the stock exchanges in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same or meeting margin/ pay - in obligation on my/our behalf or for giving the same as margin to the any of the Stock Exchanges or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or both the Exchanges unless I/We instruct you otherwise, I/we also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I/We also authorise you -to debit the financial charges @2% p.m., for the debit balances, if any, in my account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
7. We request that you may send/dispatch us contract notes/other documents through e-mail on my/our designated e-mail address of I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not disputed on the same.
8. I/We will inform you the change of my/our email: ID, if any, in future either by regd. Post or through a digitally signed e-mail.
9. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc.. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication

failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non-availability or malfunctioning of your System or Service for any reason whatsoever;

10. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
11. I/We am/are agreeable for inter-settlement transfer of securities towards settlement.
12. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
13. All fines/penalties and other charges levied upon you due to my acts /deed or transaction may be recovered by you from my account.
14. I have a Trading as well as depository relationship with DSE Financial Service Ltd. Please debit the charges relevant with depository services from my trading account on monthly basis. I also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reason.

Yours faithfully,



Client Signature

Client Code : _____

Client Name: _____

Date : _____

Thanking You
Yours Faithfully

Signature with Date

Name

RUNNING ACCOUNT AUTHORISATION

To,

DSE FINANCIAL SERVICES LTD.

Registered Office : 3 & 4/4B, ASAF ALI ROAD, NEW DELHI-110 002

Corporate Office : DSE House, 3/1, Asaf Ali Road, NEW DELHI-110 002

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

However in terms of SEBI Circular number MIRSD/ SE / Cir-19/2009 dated 3rd December, 2009 this authorization is to be renewed every year. Hence these instructions are being given voluntarily on.....day of.....months 20.....year. I am aware that these instructions can be withdrawn in full or in part at any time by giving written intimation duly acknowledged by DSE Financial Services Ltd., 3 & 4/4b, Asaf Ali Road, New Delhi-110 002. I/we am/are aware that this said revocation will take effect after the completion of pending obligations in respect of margin and inter-exchange/segment account transfer etc.

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s) Clearing corporation unless I/We instruct you otherwise in writing.
2. I/We request you to retain securities & Funds with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/We Instruct you to transfer the same to my/our account in writing.
3. a. It is understood that the "Actual settlement of funds and securities" shall be done by you at least once in a calendar quarter. While settling the account, you will be sending me/us 'statement of account', containing an extract from the client ledger for funds and extract from the register of securities displaying all receipts/deliveries of funds/securities. The statement shall also explain the retention of funds/securities. Such periodic settlement of the running account shall not be necessary when the margin provided by me to you is in the form of Bank Guarantee (BG)/Fixed Deposit Receipt (FDRs).
b. My/our preference for actual settlement of funds and securities is at least:
 Once in a Calendar Quarter Once in a Calendar month
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing 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 at your registered office.
6. The running account authorisation provided by me/us shall continue and remain valid until it is revoked by me/us anytime in writing.

Thanking You,

Yours Faithfully




Signature with Date

Name: _____

CLIENT DEFAULTER DECLARATION

I/We, _____ having
PAN No. _____ do hereby declare that I/We have not been
involved in any terrorist activity and I/We have not been declared as defaulter or my/our name
is not appearing in defaulter database as per SEBI/Various Exchanges / Regulatory bodies /
CIBIL (Credit Information Bureau of India Ltd.) etc.

I/We further declare that the above mentioned declaration / statement is true and correct.



Client Signature

Client Name:.....

Client Code :..... Date :.....

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

Authorisation for Electronic Contract Notes

To,
DSE FINANCIAL SERVICES LTD.

Registered Office : 3 & 4/4B, ASAF ALI ROAD, NEWDELHI-110 002

Corporate Office : DSE House, 3/1, Asaf Ali Road, NEWDELHI-110 002

I/We have been / shall be dealing through you as my / our broker on the Cash Segment and/ or Futures & Options Segments and / or Currency Derivative Segment. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you. As my / our broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my /our behalf as per instructions given below.

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

1.

2.

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

In case , in any of the above segments / exchanges due to any reason, whatsoever, if you want to send contract notes in physical form, I/we here by permit you to send the same in physical mode.

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

Thanking you,

Yours faithfully,



Signature with date

Name:.....

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

STANDING INSTRUCTIONS /AUTHORISATION LETTER

To,
DSE FINANCIAL SERVICES LTD.

Registered Office : 3 & 4/4B, ASAF ALI ROAD, NEWDELHI-110 002
Corporate Office : DSE House, 3/1, Asaf Ali Road, NEWDELHI-110 002

I/We have been/ shall be dealing through you as my/our broker on the Capital Market and F&O Segment This instruction is applicable for all the exchanges / segments in which I / We have opted to open the account with you. As my/our broker / we direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

1. Since you are issuing contract notes bearing order number and trade numbers on a daily basis, please do not issue the order / trade confirmation slips as generated from the Trading Terminal.
2. I/ We Client hereby authorise DSE Financial Services Ltd. to maintain records / books of accounts for the Client collectively for different exchanges / segments of the exchanges and / or any other services which the I/ We may be availing.
3. I/We hereby agree and give my /our consent for sending the trade confirmations via SMS and I / We have also understood that we will not receive the telephonic trade confirmations. For this purpose, I/We would like to confirm following details for the database maintained with you, Please update the record with the same.

MOBILE No.


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4. Transfer funds and securities to meet our Margin and Pay-in-obligations and/or debit of my/our running account.
5. I/We have been /shall be dealing through you as my /our broker on the Capital Market and F&O Segment.
6. I/We authorise DFSL to debit demat account operating charges in trading A/c.

As I/We shall be dealing by ordering over phone and even if I/we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement / modification and cancellation, I/We hereby authorize you to accept my / my authorised representative's verbal instructions for placement / modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same.

I/We understand the risk associated with verbal orders and accept the same, and agree that I / We shall not be entitled to disown order and consequent trades (if any) under the plea that same were not under mine/ our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise.

I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our authorization given above.



Client Signature

Name:.....

(Note: To be signed by person himself/herself / to be signed by his/her attorney/ Authorized person etc.)

**AUTHORISATION FOR FUNDS TRANSFER/ADJUSTMENT
IN OUR FAMILY UNIT ACCOUNTS**

To,
DSE FINANCIAL SERVICES LTD.
 Registered Office : 3 & 4/4B, ASAF ALI ROAD, NEWDELHI-110 002
 Corporate Office : DSE House, 3/1, Asaf Ali Road, NEWDELHI-110 002

Sub: Authorization for Funds transfer/ Adjustment in our family Unit Accounts.

Dear Sir,

This is with reference to the trading account operated with you in the name of.....
client code.....for the purpose of dealing in Cash and
 F&O segment of stock Exchanges.

I / We have been maintaining following Group /family Unit Accounts with you as detailed below:


Sr.No.	Title of Account	Segment	Client Code	Signature of Account Holder

I / We hereby authorise you to kindly treat above mentioned accounts as Family Unit for the purpose of settlement of dues and Margins.

I / We hereby give you irrevocable authority, without any pressure or coercion, to transfer funds as well as securities from my account to any of the Family unit account, as stated above to set off the debit balance in their respective accounts, as and when need arise to do so. I/We will be responsible, severally and or jointly for any such transfer of security (ies) and fund(s) from my account to other Family unit accounts.

I / We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my /our Direction given above.

Thanking you,
 Yours faithfully,



 Client Signature

(To be signed by all group account holders)

FORMAT OF BOARD RESOLUTION TO BE GIVEN BY CORPORATE CLIENT
(TO BE PRINTED ON LETTER HEAD OF COMPANY)

CERTIFIED TRUE COPY OF EXTRACTS OF THE MINUTES OF THE MEETING OF THE BOARD
OF DIRECTORS OF _____ (Co. Name) CONVENED ON
THE _____ (date) / TIME AT _____
_____ (Venue)

"RESOLVED THAT an account for the purpose of trading in Securities be opened with M/s. DSE-Financial Services. Ltd., Member -National Stock Exchange of India Ltd. & Bombay Stock Exchange Ltd., hereinafter referred to as the Broker, for undertaking sale & purchase of Securities on the said exchange(s).

FURTHER RESOLVED THAT Shri _____ and Shri _____ Directors of the Company, be and are hereby, authorised severally to do all such acts, deeds, things and sign all documents papers, authorisations, agreements etc. as may be necessary for opening and operating the said account with Broker.

FURTHER RESOLVED THAT, a copy of this resolution be forwarded to the Broker by Shri _____ or Shri _____ Directors, & the Broker, be instructed to honour the instructions of Shri _____ and/or Shri _____, Directors of the Company to carry on trading in Securities.

Certified true copy

For (Name of the Company)

Dated :

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

Place :

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Director

Client Signature

Client Signature

**FORMAT OF DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM
ON LETTER HEAD OF THE FIRM**

To,

DSE FINANCIAL SERVICES LTD.

Registered Office : 3 & 4/4B, ASAF ALI ROAD, NEWDELHI-110 002
Corporate Office : DSE House, 3/1, Asaf Ali Road, NEWDELHI-110 002

Dear Sir,

We refer to the trading account being opened / Opened with you in the name of _____ and declare and authorise you as under.

We recognize that a beneficiary account cannot be opened with a depository participants in the name of a partnership firm as per applicable law. To facilitate the operation of the above trading account with you and for the purpose of completing the Securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. _____ with depository _____ opened as a joint account in the names of the partnership of the firm.

We agree that the obligations for Securities purchased and/or sold by the firm will be handled and completed through transfer to/from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above Securities trading account of the firm.

We hereby authorize _____ partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with DSE Financial Services Ltd. and to place order for buying and selling of Securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (in block letters)	Signature

**FORMAT OF DECLARATION BY THE PROPRIETOR OF
SOLE PROPRIETORSHIP FIRM**

To,

DSE FINANCIAL SERVICES LTD.

Registered Office : 3 & 4/4B, ASAF ALI ROAD, NEW DELHI-110 002

Corporate Office : DSE House, 3/1, Asaf Ali Road, NEW DELHI-110 002

Dear Sir/Madam,

I refer to the trading account opened with you in the name of.....and
declare and authorize you as under:

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the obligations pursuant to the trading operations. I authorize you to recognize the beneficiary account No.....with the depository.....opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for securities purchased and/or sold by the firm will be handled and completed through transfers) to/from the above mentioned account. I recognize and accept transfer made by you to the beneficiary account as completion of obligations by you in respect of trade executed in the above trading account of the Firm.

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advice you in writing of any change that take place in the constitution of the firm and will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

The cheques/DDs (electronic/physical) shall be issued by me from my individual account with any bank and the amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s.....with your company.

Yours truly,	
Name of the proprietor :	
Signature of the proprietor :	

DECLARATION BY HUF

To, **DSE FINANCIAL SERVICES LTD.**

Registered Office : 3 & 4/4B, ASAF ALI ROAD, NEWDELHI-110 002

Corporate Office : DSE House, 3/1, Asaf Ali Road, NEWDELHI-110 002

Date _____

Dear Sir/Madam,

As our HUF firm wishes to open an account witti you in the said name.
 we beg to say that the first signatory to this letter, i.e., is
 the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to you from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.


We hereby undertake to inform you of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

This is to certify that following are the family member under _____ HUF

S.No.	Name	Gender (Male/Female)	Relationship with Karta	Date of Birth
1.				
2.				
3.				
4.				
5.				
6.				
7.				

For _____ (HUF)

*Please stamp and sign.



 Client Signature (Karta)

ADDENDUM TO THE CLIENT REGISTRATION FORM KEY INFORMATION

Date.....

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

PREVENTION OF MONEY LAUNDERING

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

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

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

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

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

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

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



Client Signature

(UHF)



DELHI'S LEADING BROKERAGE HOUSE
DSE FINANCIAL SERVICES LTD.

A WHOLLY OWNED SUBSIDIARY OF
DELHI STOCK EXCHANGE LIMITED
IN THE SERVICE OF THE NATION

DEPOSITORY PARTICIPANTS SERVICES

- ☛ Most Economical Rates
- ☛ Using new and innovative Technologies like **easi & easiest**
- ☛ Customized services
- ☛ Quicker settlement

OTHER SERVICES

- ☛ Public Issues
- ☛ Mutual Funds

MULTI EXCHANGE TRADING (NSE, BSE & MCX-SX)

- ☛ Multi exchange Trading Facility on single terminal
- ☛ Most economical Brokerage rates
- ☛ Internet based trading
- ☛ Centrally located
- ☛ Greater Convenience

In the interest of investors **DELHI STOCK EXCHANGE** has best managed

INVESTORS EDUCATION CELL

- ☛ Conducting Investors Awareness programmes
- ☛ Seminars, Trainings And Workshops

INVESTORS SERVICE CENTRE

- ☛ Faster Grievances Redressal
- ☛ Arbitration panel headed By retired Judge of High Court
- ☛ Counseling Services

STRENGTHS

- ☛ Professionally Managed
- ☛ Financially Sound
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