



INVEXMART FINANCIAL SERVICES PVT.LTD

CLIENT REGISTRATION FORM

For Individuals

DEMAT & TRADING REGISTRATION

CLIENT ID

:

CLIENT NAME

:

PAN NO

:

BO ID

:

BRANCH/RM NAME

:

SUB BROKER/AP NAME

:

KRA STATUS

:



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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

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INSTRUCTIONS & CHECKLIST FOR FILLING ACCOUNT OPENING FORM & KYC

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

B. PROOF OF IDENTITY (POI): List of documents admissible as Proof of Identity: 1. PAN card with photograph. 2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license. 3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks. **C. PROOF OF ADDRESS (POA):** List of documents admissible as Proof of Address: (Documents having an expiry date should be valid

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

evidence in support of such claims to be collected. 1. In case of transactions undertaken on behalf of Central Government and / or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc. 2. Investors residing in the state of Sikkim. 3. UN entities / multilateral agencies exempt from paying taxes / filing tax returns in India. 4. SIP of Mutual Funds up to ₹50,000/- p.a. 5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary. **E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:** 1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial / Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy). 2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy / Consulate General in the country where the client resides are permitted to attest the documents.

F. 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.

G. BANK ACCOUNT PROOF: 1. Copy of cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.

H. Demat Master or recent holding statement issued by DP bearing name of the client. **I. FOR INDIVIDUALS:** 1. Stockbrokers have an option of doing 'in-person' verification through a web camera at the branch office of the stock- broker /sub-broker's office. 2. 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.

J. FOR NON-INDIVIDUALS: Clients also have the option to do their own 'in-person' verification via video captured through mobile or computer or internet connected device with ability of demonstrating that it was live and conducted for the purpose of verification.' 1. For non-individuals: Form need to be initialized by all the authorized signatories. 2. 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 3. 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

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)

No.108, RM Towers, D-3, 3rd Floor, Chamiers Road, Teynampet, Chennai-600 018.

<p>1. Please fill the form in ENGLISH and in BLOCK letters</p> <p>2. Fields marked * are mandatory.</p> <p>3. Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also</p>	<p>Application Number: <input style="width: 100%;" type="text"/></p> <p>Application Type : <input type="checkbox"/> New KYC <input type="checkbox"/> Modification KYC</p>
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KYC Mode : (Please tick)

Normal
 EKYC OTP
 EKYC Bio Metric
 Online KYC
 Offline KYC
 Digi locker

1. Identity Details (Please Refer Guidelines Overleaf)

PAN Number		ACROSS THE SIGNATURE
Client Name		
Maiden Name		
Father/Spouse Name		
Date Of Birth		
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	
Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others _____	
Residential Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non-Resident Indian <input type="checkbox"/> Foreign national <input type="checkbox"/> Person of Indian Origin	
	(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC, Select NRI or Foreign National based on Nationality of the individual)	

Proof of Identity(POI) submitted for PAN exempted cases (Please tick)

<input type="checkbox"/> A-Aadhar Card	<input type="checkbox"/> D-DL
<input type="checkbox"/> B-Passport No	<input type="checkbox"/> E-NREGA Card
<input type="checkbox"/> C-Voter ID	<input type="checkbox"/> F - NPR

2. Address Details (Please Refer Guidelines Overleaf)

A. Correspondence Address / Local Address				
Address Line 1				
Address Line 2				
City/ Town/ Village				
State	District	PIN		
	Country			
Address Type	<input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified			

B. Permanent Residence Address of applicant, if different from above A			
Address Line 1			
Address Line 2			
City/ Town/ Village			
State	District	PIN	
Address Type	Country		
<input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified			

Proof of Address (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

<input type="checkbox"/> A-Aadhar Card		<input type="checkbox"/> D-DL
<input type="checkbox"/> B-Passport No		<input type="checkbox"/> E-NREGA Card
<input type="checkbox"/> C-Voter ID		<input type="checkbox"/> F - NPR

3. Contact Details (in CAPITAL)

E Mail ID			
Mobile Number	+91-	Tel No (Res)	
Tel No (Off)			

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes there in, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER	
Place			
Date			

FOR OFFICE USE ONLY

In-Person Verification (IPV) carried out by		Employee Signature
Intermediary Name	Invexmart Financial Services Pvt Ltd	
AMC / Intermediary Code		
Employee Name		
Employee Code		
Employee Designation		
IPV Date		
<input type="checkbox"/> Self-Certified document copies received (OVD)		

True copies of documents received (Attested)

Additional KYC Form for Opening a Demat Account

For Individuals

Depository Participant Name/Address

(To be filled by the Depository Participant)

Application No :		Date	
DP ID Internal Reference No.			
DP ID :	12102200	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

Exchange Name & ID			
Sole / First Holder Name		PAN	
		UID	
Second Holder Name		PAN	
		UID	
Third Holder Name		PAN	
		UID	

Name *	
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*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)

Status	Status Sub - Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Individual <input type="checkbox"/> Individual UirFec/tAoOrP <input type="checkbox"/> Individual tihoerr(specify) _____ <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____

Details of Guardian (in case the account holder is minor)

Guardian's Name		PAN	
Relationship with the applicant			

Any other information:

<input type="checkbox"/> Whether you wish to receive (a) Physical contract note		<input type="checkbox"/> Electronic contract note	
If ECN Specify your Email ID: _____			
Whether you wish to avail the facility of internet trading/wireless technology/mobile trading			<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment/Trading Experience: <input type="checkbox"/> Nil <input type="checkbox"/> 1-5 Years <input type="checkbox"/> >5 Years			
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).		
Easi	To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.		

In What Capacity Do You Trade in Community

<input type="checkbox"/> Value Chain Participant	<input type="checkbox"/> Others
In case you are trading in the capacity as a Farmer/FPO, Domestic Financial Institutional investor or foreign participant then please send us the intimation on support@invexmart.in	

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:

ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANTS RESIDENT OUTSIDE INDIA FOR TAX PURPOSE

Address				
City / Town		District Country /		PIN Code
State / U.T.		ISO Code		

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

1. If Client is dealing through the Sub-Broker, provide the following details:				
Sub-Broker's Name				
Registered Office Address				
Phone		Fax		Website
2. Whether dealing with any other Stock Broker/Sub-Broker (If applicable, kindly provide following details)				
Name of Stock Broker			Name of Sub-Broker,if any	
Client Code			Exchange's	
Details of disputes/dues pending from/to such stock broker/sub-broker				

INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer				Address & Mobile Number	
Status of the Introducer					
Type of the Introducer	<input type="checkbox"/> Sub-Broker	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Authorized Person		<input type="checkbox"/> Others
Signature of the Introducer					

TRADING PREFERENCES:

*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

EXCHANGES	BSE				MCX
ALL SEGMENTS SIGN	CASH / MUTUAL FUNDS	F&O	CURRENCY	DEBT	COMMODITY DERIVATIVES
If you do not wish to trade in any of segments / Mutual Fund, Please write to us at support@invexmart.in .					

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
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Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder)		
<input type="checkbox"/> first Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

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

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Place		
Date		

Nomination Details

Nomination Registration No.	Dated

I/We hereby confirm that I/We do not wish to appoint any nominee in my demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

Note:

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination // opt out nomination -

I/We **nominate** the following persons who is/**are** entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

SI NO :	Nomination Details	Nominee 1	Nominee 2	Nominee 3
1.	Nominee Name : *First Name: *Middle Name: *Last Name:
2.	*Percentage of allocation of securities <input type="checkbox"/> [not equal ly, please specify percentage] Equally Or <input type="checkbox"/> Share of each Nominee	%	%	%

Any odd lot after division shall be transferred to the first nominee mentioned in the form

3.	Nomination Identification Details – [Please tick any one of following and provide details of same]	Nominee 1	Nominee 2	Nominee 3
4.	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID <input type="checkbox"/> [Optional Fields]			
5.	*Address:			
	*City			
	*State			
	*Pin			
	*Country			
6.	Mobile no/Telephone No. [Optional Fields]			
7.	Email ID: [Optional Fields]			
8.	FAX No. [Optional Fields]			
9.	*Relationship with the BO:			
To be filled only if nominee(s) is a minor:				
10.	Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy			
11.	Name of the Guardian of Nominee (if nominee is a minor) *First Name: Middle Name: *Last Name			
12.	*Address of the guardian of nominee:			
	*City			
	*State			
	*Country			
	*PIN			
	Age			
13.	Mobile /Telephone no [Optional Fields]			
14.	Email ID: [Optional Fields]			
15.	Fax No [Optional Fields]			

16.	*Relationship of the Guardian with the Nominee			
17.	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN Aadhaar Saving Bank account no. Proof of Identity <input type="checkbox"/> Demat Account ID [Optional Fields]			

Note :

Residual securities: in case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee . -

*** Marked is Mandatory field**

Note :

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination /negative nomination

Details of the Witness	
	Witness Details
Name of witness	
Address of witness	
Signature of witness	

The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

(Signatures should be preferably in blue ink)

===== (Please Tear Here) =====

Application No :

Acknowledgement Receipt

Date:

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

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

Depository Participant Seal and Signature

===== (Please Tear Here) =====

Nomination Form for Demat Accounts and Mutual Fund (MF) Folios

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

DPID								
Nomination Details								
	Mandatory Details						Additional Details ****	
	Name of nominee	Share of Share (%)**	Relation Address & E-mail***	Postal number	Mobile Number	Identity	nominee	D.o.B. of nominee
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

* Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

** if % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in ‘Transmission aspects’).

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required.

**** to be furnished only in following conditions / circumstances:

Date of Birth (DoB): please provide, only if the nominee is minor.

Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding, provided to me / us by the AMC / DP as follows; (please tick, as appropriate)

Name of nominee(s)

Nomination: Yes / No

2) I hereby authorize _____ (nominee number ____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account / folio or Rs. _____. (strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

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

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

Rights, Entitlement and Obligation of the investor and nominee:

If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.

You can make nomination or change nominee any number of times without any restriction.

You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.

Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.

In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.

You have the option to designate any one of your nominees to operate your account / folio, in case of your physical incapacitation. This mandate can be changed any time you choose.

The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account. i.e.

'Either or Survivor' Folios / Accounts - any one of the holder can sign

'Jointly' Folios / Accounts - both holders have to sign

Transmission aspects

AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.

Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.

In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

DECLARATION FORM FOR OPTING OUT OF NOMINATION

To,
Invexmart Financial Services Private Limited
 No.108, RM Towers, D-3, 3rd Floor, Chamiers Road,
 Teynampet, Chennai- 600 018.

UCC Code		Date	
DP ID	12102200	Client ID	
Sole / First Holder Name			
Second Holder Name			
Third Holder Name			

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

SIGNATURE OF THE ACCOUNT HOLDER(S)

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Date		
Place		



FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL			
Please fill the information below as requested	FIRST ACCOUNT HOLDER	SECOND ACCOUNT HOLDER	THIRD ACCOUNT HOLDER
Name of the Account Holder			
Indicate () your Tax Residency / Citizenship / Nationality If ticked on "Others" and/or "U.S.A", please provide all details under point no. 2,3,4,5 below:	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others
Specify City and Country of Birth			
Specify Country(ies) of Tax Residency/ Citizenship / Nationality / Green card holder, other than India			
Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)			
Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Others <input type="checkbox"/> Prize Money <input type="checkbox"/> Others

DECLARATION

I / We hereby declare, agree and confirm the following:

- a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Invexmart Financial Services Private Limited within 30 days, in case of any change in the above given status on a future date;
- b) If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by Invexmart Financial Services Private Limited to the relevant tax authority. or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;

FIRST/SOLE HOLDER SIGNATURE [10]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
X		

What is FATCA / CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

US Person means: In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?

Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

Documents to be collected if Customer’s Country of birth is U.S. but declare that he/ she are not a U.S. person

1. Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
2. Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
3. Self certification for stating reasons for not obtaining U.S. citizenship at birth.

DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per Income Tax	
Name as per Bank Proof	
Name as per Address Proof	
Name as per Income Proof	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information

I agree to indemnify and keep INVEXMART FINANCIAL SERVICES PVT.LTD indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by INVEXMART FINANCIAL SERVICES PVT.LTD for any act done or omitted to be done on the above declaration.

CLIENT'S SIGNATURE [12] **X**

CONSENT LETTER FOR AVAILING BSE STAR MF FACILITY

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Account Opening documents (KYC Form) for the purpose of trading in the Capital Market segment of BSE Limited (BSE).

I/We am/are interested in availing the BSE StAR facility of BSE for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF of the Exchange.

For the purpose of availing the BSE StAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the BSE Circular dated December 02, 2009 and as may be specified by the Exchange from time to time in this regard.

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

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund schemes with respect to which I/we choose to subscribe/redeem.

I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund schemes.

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

I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

Your faithfully,

FIRST/SOLE HOLDER SIGNATURE [10]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
X		

Tariff Sheet

BO ID

Date : / /

TO : INVEXMART FINANCIAL SERVICES PVT.LTD

Dear Sir or Madam, I would like to subscribe to the INVEXMART FINANCIAL SERVICES PVT.LTD for trading and demat account and request INVEXMART FINANCIAL SERVICES PVT.LTD to apply brokerage charges as mentioned and as per the terms and conditions of INVEXMART FINANCIAL SERVICES PVT.LTD I/We agree to pay the charges as per following charge structure with INVEXMART FINANCIAL SERVICES PVT.LTD

CHARGE HEAD	CHARGES
Demat Account Opening	FREE
Annual Maintenance Charges (AMC)	₹500 + GST
Pledge Creation / Closure / Invocation	₹30 + GST Per Instruction
Dematerialisation	₹100 per certificate + Courier Charges Apply
Rematerialisation	₹100 per certificate + Courier Charges Apply
Transaction Charges (Sell via broker)	₹25 Per ISIN
Off-Market Transfer / Interdepository Transactions	0.03% of value (Min ₹30) Per Instruction set
Client Modification (CML)	₹50 + GST (Address / Bank / KYC Updates)
Delivery Instruction Booklet	₹100 + GST + Courier Charges Apply
DDPI Activation Charges	₹200 + GST
2. Brokerage Charges Segment	Brokerage
Equity Intraday	0.05%
Equity Delivery	0.50%
Futures	0.05%
Options	₹100 (per lot per leg)
Mutual Funds	-
IPO	-

3. Banking & Fund Transfer Charges

Service	Charges	Remarks
Fund Transfer (UPI)	FREE	Instant; IPOs/Pay-ins
Fund Withdrawal	FREE	As per cut-off time
Payment Gateway	₹10 + GST	-
Cheque Bounce	₹500 + GST	As per banking rules

4. Others Charges

Service	Charges	Remarks
Transaction Statement (Digital)	FREE	Monthly / On-demand
Transaction Statement (Physical)	₹100 + GST	Courier charges apply
Holding Statement	FREE (Digital) / ₹100+GST(Physical)	Quarterly / On-demand
Ledger Copy (Physical)	₹100 + GST	Digital copy is free
Contract Note (Digital)	FREE	-
Contract Note (Physical)	₹100 + GST	Courier charges apply
Call & Trade	₹25 + GST	-
Interest Charged on the Debit Margin	24% p.a.	13% p.a. will be charged on the outstanding DP Bill
Statutory Charges	As per rules	GST, STT, CTT, SEBI, etc.
GST	18%	On Brokerage, SEBI & TOC

Terms and Conditions :

The Invexmart Financial Services Private Limited plans have been read and understood by me.

I wish to avail the plans aboveprovided by Invexmart Financial Services Private Limited for my trading account subject to the terms and conditions mentioned above.

I declare that I have read and understood the terms and conditions governing the Invexmart Financial Services Private Limited

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Date		
Place		

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

To,
Invexmart Financial Services Private Limited
No 108, 3rd floor, RM Towers, Chamiers Road,
Teynampet, Chennai-600 018.

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stockbroker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through an order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/ password/ account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/Password in any manner whatsoever
8. The stockbroker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case the client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Date		
Place		

RUNNING ACCOUNT AUTHORIZATION

To,
Invexmart Financial Services Private Limited
 No 108, 3rd floor, RM Towers, Chamiers Road,
 Teynampet, Chennai-600018.

To optimize the operational efficiency of my/our trading account, I/we request Invexmart Financial Services Private Limited to maintain a running balance in my/our account, as opposed to effecting fund/securities settlements on a settlement-to-settlement basis. **I/We authorise you as under:** 1. I/We hereby give my/our consent to maintain a running balance in my/our account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless/I/We instruct /revoke you otherwise. 2. I/We request you to settle my/our fund and securities account (choose one option)

Once In a Calendar Month

Once in a Calendar Quarter

Further I/We understand that settlement is for all funds except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

3. The settlement of running account shall be done by you in accordance with the circulars/guidelines issued by SEBI/Exchanges from time to time and as per the Risk Management Policy of Invexmart Financial Services Private Limited available on its website.

4. I/We hereby confirm that I/We shall promptly notify you of any disputes arising from the statement of accounts or settlement so made in writing, preferably within 7 working days from the date of receipt of funds/securities or the statement of account, or any related statement, as applicable.

5. Further, I/We authorise you to deposit/repledge any or all the securities kept as collateral by me/us with the Exchanges and/or their Clearing Corporation/House/Member towards margin, as permitted from time to time.

6. I/We can request for the release of pay-out any time after adjusting all dues towards Invexmart Financial Services Private Limited.

7. I/We hereby confirm that I/We have the right to revoke the aforementioned authority at any time. This authorization for the running account shall remain in effect until such time as it is duly revoked by me/us.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
UCC Code		
Place		
Date		



 —————Fast.Simple.Secure.

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date : / /

DP ID		Client ID	
First Holder Name			
Second Holder Name			
Third Holder Name			

To,

Depository Participant Name
Address

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 of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Yours faithfully

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

OR

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/ registered for eDIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. 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			

===== (Please Tear Here) =====

Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID		Client ID	
First Holder Name			
Second Holder Name			
Third Holder Name			

Depository Participant Seal and Signature

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES (ECN)

To
Invexmart Financial Services Private Limited
 No.108, RM Towers, D-3, 3rd Floor, Chamiers Road,
 Teynampet, Chennai-600018.

I/we have been/shall be dealing through you as my broker on the Capital Market and/or Futures & Options and/or Currency Derivatives and/or Commodity Market and/or Interest Rate Futures Segments. As my broker i.e. agent I direct and authorize you to carry out trading/dealings on my behalf as per instructions given below. I/we understand that I/we have the option to receive the contract notes in physically or electronic form. In pursuance of the same, I/we hereby opt to receive contract notes in electronic form. I 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 /email id n your record for sending the contract notes to me/us:

EMAIL	
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I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account / email id. 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 services, 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 and such dispatch shall be deemed to mean receipt by me and shall not be disputed by me on account of any non-receipt/delayed receipt for any reason whatsoever. I/we understand that I/we required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if we are internet client then in that event the request for change in email id/email account can be made by me through a secured access using client specific user id and password. Please treat this authorization as written ratification of my 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 directions given above. I/we understand that you shall send physical copy of the contract note within 24 hours if you received a bounced email.

NAME OF THE ACCOUNT HOLDER	SIGNATURE OF THE ACCOUNT HOLDER
UCC Code	
DP BO ID	
Place	
Date	

SMS AND EMAIL ALERTS TO INVESTORS BY STOCK EXCHANGES

To,
Invexmart Financial Services Private Limited
 No 108, RM Towers, D 3-3rd floor, Chamiers Road,
 Teynampet, Chennai-600018.

I/We request you to enroll me for SMS and Email facility, offered by the Exchanges, pursuant to the mentioned SEBI Circular. (CIR/MIRSD/15/2011, dated 02.08.2011)

I hereby declare that following are my mobile number and email address. Further, I authorize Invexmart that the same may be used for giving me any information / alerts / SMS via my mobile and/or email address.

Mobile		EMAIL	
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I further declare that the above-mentioned information is provided by me and is true and correct.

NAME OF THE ACCOUNT HOLDER	SIGNATURE OF THE ACCOUNT HOLDER
UCC Code	
DP BO ID	
Place	
Date	

COMMODITY OPTION CONSENT

To, Invexmart Financial Services Private Limited No 108, RM Towers, D 3-3rd floor, Chamiers Road, Teynampet, Chennai-600018. I/We am/are interested in availing the facility of trading in Options on Commodity Derivatives offered by Invexmart Financial Services Private Limited. And dealing in Commodity Future through a Trading account. I/We do hereby undertake that I/we am/are competent in all respects to participate to trade in Options on Commodity Derivatives as may be permitted by Invexmart Financial Services Private Limited / SEBI from time to time. I/We hereby confirm having read and clearly understood the contents of the "Additional Risk Disclosure documents for Options Trading". 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. I/We hereby also agree and confirm that Invexmart Financial Services Private Limited, may demand additional exposure margin for any particular option position or from a particular client as per its own discretion. I/We hereby also agree and confirm that Invexmart Financial Services Private Limited may liquidate any of my open option position in case of margin shortfall including shortfall arise on account of devolvement margin requirement on devolvement of option positions into futures. This undertaking is in addition to the undertaking given by me/us earlier to Invexmart Financial Services Private Limited. I/We request Invexmart Financial Services Private Limited to provide all necessary facilities to enable me/us for trading in Options on Commodity.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Date		
Place		

DECLARATION

To,
Invexmart Financial Services Private Limited
No 108, RM Towers, D 3-3rd floor, Chamiers Road,
Teynampet, Chennai-600 018.

I/We undersigned hereby declare that I/We have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in the defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc

PAN Number		Client Name	
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I further declare that the above-mentioned information is provided by me and is true and correct.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
UCC Code		
DP BO ID		
Place		
Date		

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

To
Invexmart Financial Services Private Limited
 No.108, RM Towers, D-3, 3rd Floor, Chamiers Road,
 Teynampet, Chennai-600 018.

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, net worth, 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.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Date		
Place		

DECLARATION

The Customer/account holder certifies that: A. The information provided in the Form is in accordance with Section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income-tax Rules, 1962. B. The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/ us are, to the best of our knowledge and belief, true, correct and complete and that I/we have no withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise. C. I/we understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my/our account. D. Under Penalty of perjury, I/We certify that: 1) I/We am/are (i) Taxable as a US person under the laws of the United States of America ("U.S.") or any state of political subdivision thereof or therein, including the District of Columbia or any other states of U.S., (ii) and state that the income of which is subject to U.S. federal income tax regardless of the source there of. (This clause is applicable only if the account holder/(s) is/are identified as a US person). 2) I/We am/are an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India E. I/We hereby confirm that I/we am/are not a US Person or a resident for tax purpose in any country other than India, though my/our Country of Birth suggests my/our relation with US or one or more parameters suggest my/our relationship with the country outside India. I/ we am/are providing/ already provided copy of my PAN card and now providing a certificate of relinquishment of US citizenship (loss of nationality) OR reasons for not having such a certificate despite relinquishing US citizenship OR for not obtaining US citizenship at birth (only if born in US) Please specify reason:

DATE :

PLACE :

Signature of the applicant

ACKNOWLEDGEMENT

To Invexmart Financial Services Private Limited No.108, RM Towers,
 D-3, 3rd Floor, Chamiers Road,
 Teynampet, Chennai-600 018.

Subject: Receipt of Account Opening Form, Voluntary Documents, Rights & Obligation of Trading & Demat, RDD, Policies & Procedures, Guidance Notes, Tariff Sheet. This is to acknowledge the receipt of the following documents. I / We further state & confirm that I have read and understood all the clauses of following documents. 1. AOF – Account Opening Form (Trading & Demat) 2. Rights & Obligations of Stock Broker 3. Rights & Obligations of Beneficiary Owner & Depository Participant as prescribed by SEBI & Stock Exchanges. 4. Risk Disclosure Document (RDD) 5. Guidance Note - Do's & Don'ts for trading on the Exchange(s) for Investors. 6 . Policies & Procedures 7. Voluntary Terms & Conditions 8. Investor Charter

I/We hereby acknowledge that the above documents/ process were made available/ explained to me/us. I hereby acknowledge that I will abide by all the rules and regulatory changes that may come into 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 and I/We undertake that it would be my/our responsibility to check, scrutinize the said forms and documents within 15 days of account opening and intimate discrepancies if any therein to Invexmart Financial Services Private Ltd immediately.

Further, you can access the document containing Rights & Obligations, Risk Disclosure Documents, Do's & Don'ts, Member-Constituent Relationship and Mandatory & Voluntary Documents, Policies and Procedures of the stock broker Disclosure & Disclaimer, Terms & Conditions, Investor Charter from our website <https://invexmart.in/>.

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Invexmart Financial Services Private Ltd. I hereby acknowledge that I will abide by all the rules and regulatory changes that may come into force from time to time.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Date		
Place		

DO's AND DON'T FOR TRADING ON THE EXCHANGES FOR INVESTORS

- A Guidance Note (Mandatory)

BEFORE YOU BEGINTOTRADE

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

TRANSACTIONS AND SETTLEMENTS

1. 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. 2. Don't share your internet trading account's password with anyone. 3. Don't make any payment in cash to the stock broker. 4. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of a sub broker. Ensure that you have documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ depository participant such money or securities deposited and from which bank/ depository participant. 5. Note that the 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. 6. In case you have given specific authorization for maintaining a 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 the entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/ margin to the extent of value of transactions executed on the day of such settlement in the cash market. 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. 7. In case you have not opted for maintaining a 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. 8. 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

1. 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. 2. 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

1. 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. 2. 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. 3. Note that all the stock broker/ sub-brokers have been mandated by SEBI to designate an email address of the grievance redressal division/ compliance officer exclusively for the purpose of registering complaints.

DATE :

PLACE :

Signature of the applicant

RISK & OBLIGATIONS FOR STOCK BROKERS (MANDATORY)

Rights & Obligations of Stock Brokers, Sub-Brokers, Authorised Person & Clients as prescribed by SEBI & Stock Exchanges

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

A. CLIENT INFORMATION

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

B. MARGINS

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

C. TRANSACTIONS AND SETTLEMENTS

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

- D. BROKERAGE** 18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye- laws of the relevant stock exchanges and/or rules and regulations of SEBI.

E. LIQUIDATION AND CLOSE OUT OF POSITION

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

F. DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall cooperate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and / or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-a-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/ stockbroker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/ stock broker shall be binding on the client/ stock broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/ stock broker.

G. TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board. 28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be. 29. In the event of demise/ insolvency of the sub-broker or the cancellation of his/ its registration with the Board or/ withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stockbroker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

H. ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings here under. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

I. ELECTRONIC CONTRACT NOTES (ECN)

37. In case, the client opts to receive the contract note in electronic form, he shall provide an appropriate email id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/ guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/Stock Exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/emails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/Stock Exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/ Stock Exchanges and maintain the proof of delivery of such physical contract notes.

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

J. LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-Laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued there under or Rules and Regulations of SEBI. 44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time. 45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award. 46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI. 47. All additional voluntary clauses/documents added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/documents need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients. 48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges. Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk. You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying elements of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance.

DATE :

PLACE :

Signature of the applicant

RISK DISCLOSURE DOCUMENT (RDD) (Mandatory)

You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges do not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same. In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:

1. BASIC RISKS:

1.1 Risk of Higher Volatility: Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities/ derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity: Liquidity refers to the ability of market participants to buy and/or sell securities/derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities/ derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities/ derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities/ derivatives contracts as compared to active securities/ derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all. Buying or selling securities/ derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities/ derivatives contracts may have to be sold / purchased at low/ high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads: Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security/ derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation. **1.4 Risk-reducing orders:** The placing of orders (e.g. "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

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

1.4.2 A 'Limit' order will be executed only at the "limit"; price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all. **1.4.3 A 'Stop Loss' order** is generally placed "away"; from the current price of a stock / derivatives contract, and such order gets activated if and when the security/

derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security/ derivatives contract reaches the pre - determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security/ derivatives contract might penetrate the pre- determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order. **1.5 Risk of**

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

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

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

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

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

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

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

2.1 Effect of Leverage & Gearing In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount. a. Futures trading involves daily settlement of all positions. Every day the open positions are marked to market

based on the closing level of the index/ derivatives

contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on the next day. b. If you fail to deposit the additional amount by the deadline or if an

outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole

position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

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

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

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

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

2.2.2 Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the marketplace. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisors; advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events

2.3 Risk of Option holders:

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

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

2.4 Risks of Option Writers:

2.4.1 If the price movement of the underlying is not in the anticipated direction, the option writer runs the risk of losing a substantial amount.

2.4.2 The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple long or short & position.

2.4.3 Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

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

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

DATE :

PLACE :

Signature of the applicant

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, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information :

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening forms as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff :

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts". 6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization :

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

Separate Accounts :

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

Transfer of Securities :

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations. 12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions. 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.

Redressal of Investor grievance :

25. 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 :

26. 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 :

27. 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. 28. 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.

29. 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.

30. 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.

31. 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.

32. If the rights and obligations of the parties here to 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.

DATE :

PLACE :

Signature of the applicant

MEMBERSHIP DETAILS

MEMBERSHIP DETAILS	
Name of Trading Member	Invexmart Financial Services Private Limited Hereinafter referred to as Invexmart or Invexmart Financial Services Private Limited.
SEBI Registration Number	Stock-Broker (INZ000317337) effective 26.04.2024 Depository Participant (IN-DP-799-2025) effective 01.04.2025
	BSE T M Code: 6864 - Equity, Future & Options, Currency & Commodities.
	MCX T M Code: 57330 - Commodities
	CDSL DP ID – 12102200
AMFI Registration No:	Mutual Funds ARN – 306562
Registered Office Address	No.108, RM Towers, D-3, 3rd Floor, Chamiers Road, Teynampet, Chennai-600018.
Correspondence Address	No.108, RM Towers, D-3, 3rd Floor, Chamiers Road, Teynampet, Chennai-600018. Mobile No: (91) 7824888855 Landline: 044-49789295
Compliance Officer	Mr. Nizamudeen K Email Id: compliance@invexmart.in Mobile No : (91) 9551515154
CEO / Director Details	Mrs. Dhandapani Velu Lakshmi Devi & Mrs Subashini D Email Id: reachus@invexmart.in Mobile No: (91) 7824888855
Customer Service	Mrs. Devi .E - Customer Service Email: support@invexmart.in Mobile No: (91) 7824888844
CIN	U66110TN2023PTC163002
Website	https://invexmart.in/
For any grievance, please email Invexmart on grievance@invexmart.in, or call us on (91) 7824888855.	