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VNS FINANCE AND CAPITAL SERVICES LIMITED

TRADING ACCOUNT OPENING FORM

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For any grievance/dispute please contact VNS Finance & Capital Services Ltd. at the below address and / or email id: info@vnsfin.com and / or Phone No. +91-22-4081-1019 attention to Mr. Vinay Jha (compliance officer) Email id: vinay.jha@vnsfin.com. In case you are not satisfied with the response, please contact the concerned exchange(s). For NSE at [ignse@nse.co.in Ph No. 91-22-2659-8190]. For BSE at [is@bseindia.com Ph No. 91-22-2272 1233/2272 8138]. For MCX-SX at [investorcomplaints@mcx-sx.com Ph No. 91-22-6731-8933].

VNS FINANCE AND CAPITAL SERVICES LIMITED						
CIN No.-U67120UP1995PLC018225						
SEBI REGISTRATION NO.(NSE-Cash) INB230964330/(NSE-F&O) INF230964330/(MCX-SX) INE260964330/(NSE-Currency)INE230964330/(BSE-Cash) INB010964337/(BSE-FNO) INF010964337/(BSE-Currency) NSE CODE NO. 09643/BSE CODE NO. 3279 DP ID: 30400SEBI REGISTRATION NO. IN-DP-CDSL-208-2003						
CORPORATE OFFICE ADDRESS			REGISTERED OFFICE ADDRESS			
A-401/402, Mangalya, Near Marol Fire Station, Marol Maroshi Road, Andheri (E), Mumbai 400 059 Ph.: 022-4287 8000 / 4081 1044 Fax: 022- 4081 1026 E-mail: contactus@vnsfin.com Website: www.TradeSmartOnline.in			716, KRISHNA TOWERS, 7 TH FLOOR, CIVIL LINES, KANPUR-208001 Ph.0512-230 4361,391 8356			
FOR OFFICE USE ONLY						
SEGMENT SELECTED						
NSE-CASH	NSE-FNO	BSE-CASH	BSE-FNO	BSE-CURRENCY	NSE-CURRENCY	MCX-CURRENCY
Form introduced by				Form checked by		
Internet client		Client code		Branch		Sub broker/ market promoter
Demat a/c opened on		A/c opened by		BO id		
				12030400		
A/c opened in back office on		By		Brk/dp/bank checked by		

INSTRUCTIONS FOR FILLING OUT THIS KYC FORM

SECTION A	IMPORTANT POINTS
	<ol style="list-style-type: none"> 1. Self attested copy of PAN card is mandatory for all clients, including Promoters/ Partners/ Karta/ Trustees and whole time directors and persons authorized to deal in commodity futures on behalf of company/ firm/ others. 2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list. 3. If any proof of identity or address is in a foreign language, then translation into English is required. 4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted. 5. If correspondence & permanent address are different, then proofs for both have to be submitted. 6. Sole proprietor must make the application in his individual name & capacity. 7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FIBP/FEMA guidelines), copy of passport/ PIO Card/ OCI Card and overseas address proof is mandatory. 8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given. 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted. 10. 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.
SECTION B	PROOF OF IDENTITY (POI) - LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF IDENTITY:
	<ol style="list-style-type: none"> 1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ driving license. 2. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D). 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.
SECTION C	PROOF OF ADDRESS (POA) – LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF ADDRESS:
	<p>(Documents having an expiry date should be valid on the date of submission)</p> <ol style="list-style-type: none"> 1. Passport/ Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance Copy. 2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old. 3. Bank Account Statement / Passbook - Cannot be older than 3 months. 4. Self –declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts. 5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank/ Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority. 6. Identity card / document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members. 7. For FII/sub account, Power of Attorney given by FII / sub –account to the custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken. 8. The proof of address in the name of the spouse may be accepted.
SECTION D	EXEMPTIONS / CLARIFICATIONS TO PAN
	<p>Sufficient documentary evidence in support of such claims to be collected</p> <ol style="list-style-type: none"> 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 (subject to continued exemption granted by Government). 3. UN entities/ multilateral agencies exempt from paying taxes/ filing tax returns in India. 4. SIP of Mutual Funds up to Rs. 50,000/- p.a. 5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, SCB, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Inst. 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.

SECTION E	LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENT
<ol style="list-style-type: none"> Notary Public Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank of Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy). 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. 	
SECTION F	In case of Non –Individuals, additional documents to be obtained from Non- Individuals over & above the POI & POA, as mentioned below:
Type of Entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> PAN of HUF. Deed of declaration of HUF/ List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.

Army/ Bodies	Government	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society		<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.
SECTION G	ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS-ILLUSTRATIVE LIST	
<p>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.</p> <ol style="list-style-type: none"> 1. Copy of ITR Acknowledgement 2. Copy of Annual Accounts 3. Net Worth Certificate 4. Copy of demat account holding statement. 5. Bank account statement for last 6 months 6. Self declaration with relevant supporting documents. 7. Any other relevant documents substantiating ownership of Assets. 		
SECTION H	COPY OF CANCELLED CHEQUE LEAF/ PASS BOOK/ BANK STATEMENT	
Please ensure the document specifies the name of the constituent, MICR Code and/or IFSC code of the bank.		
SECTION I	COPY OF DEMAT MASTER OR RECENT HOLDING STATEMENT ISSUED BY DP BEARING NAME OF CLIENT	
<p>For Individuals:</p> <ol style="list-style-type: none"> 1. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ sub-broker's office. 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. 		
SECTION J	KYC REGISTRATION AGENCY (KRA)	
<p>If you have already processed your identity using a KYC system with any broker, depository participant, or other registered intermediary in India, you are exempt from the following:</p> <ol style="list-style-type: none"> 1. Providing us with a Proof of Identity 2. Providing us with a Proof of Address <p>Ensure that your address and identity details that were registered by the intermediary are up to date. If you feel that it may be incorrect, or you have updated your address in the last 12 months, please provide the above proofs to ensure that your account is opened on time.</p> <p>You can check if you are in the KRA system by visiting http://www.cvlkra.com/kycpaninquiry.aspx and entering your PAN card</p>		

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____

PAN of the Applicant _____

Sr. No	PAN	Name	DIN(ForDirectors) /Adhar Number (For Others)	Residential/ Registered Address	Relationship With Applicant(i.e. promoters, whole time directors etc	Photograph

Name & Signature of the Authorized Signatory (ies)

Date.....

Place for intermediary Logo

**KNOW YOUR CUSTOMER (KYC) FORM
APPLICATION FORM (FOR NON-INDIVIDUALS ONLY)**

Please type or print legibly (In English and in **BLOCK** Letters with **BLACK** ink) on each field. Sign all areas highlighted with the yellow color. Please courier the completed form along with the necessary proofs to our corporate Office in Mumbai.

SECTION A				IDENTITY (please see guidelines overleaf)			
NAME OF APPLICANT (Please write complete name as per Certificate of Incorporation/Registration; Please do not abbreviate the Name)							
DATE OF INCORPORATION		PLACE OF INCORPORATION		PERMANENT ACCOUNT NUMBER(PAN) (MANDATORY)			
REGISTRATION NO. (e.g. CIN)				DATE OF COMMENCEMENT OF BUSINESS			
STATUS (Please tick)							
<input type="radio"/> PRIVATE LTD. CO.		<input type="radio"/> PUBLIC LTD. CO.		<input type="radio"/> BODY CORPORATE		<input type="radio"/> PARTNERSHIP	
<input type="radio"/> LLP		<input type="radio"/> TRUST / CHARITIES / NGOs		<input type="radio"/> HUF		<input type="radio"/> FI	
<input type="radio"/> FPI CATEGORY I		<input type="radio"/> FPI CATEGORY II		<input type="radio"/> FPI CATEGORY III		<input type="radio"/> AOP	
<input type="radio"/> BANK		<input type="radio"/> GOVERNMENT BODY		<input type="radio"/> NON-GOVERNMENT ORGANISATION		<input type="radio"/> DEFENCE ESTABLISHMENT	
<input type="radio"/> BODY OF INDIVIDUALS		<input type="radio"/> SOCIETY		<input type="radio"/> OTHERS		_____	
SECTION B				ADDRESS (please see guidelines overleaf)			
ADDRESS FOR CORRESPONDENCE							
CITY/TOWN/VILLAGE		PIN CODE		STATE		COUNTRY	
TEL (OFF)		TEL (RES)			FAX		
MOBILE			E-Mail Id				
SPECIFY PROOF OF ADDRESS FOR CORRESPONDENCE ADDRESS							
REGISTERED ADDRESS(IF DIFFERENT FROM ABOVE)							
CITY/TOWN/VILLAGE		PIN CODE		STATE		COUNTRY	
SPECIFY PROOF OF ADDRESS FOR PERMANENT ADDRESS							
SECTION D				Other Details (please see guidelines overleaf)			
1. Name, PAN, DIN/Aadhaar Number, residential address and photograph of Promoters/Partners /Karta/Trustees / whole time directors (PLEASE USE THE ANNEXURE TO FILL IN THE DETAILS)							
2. Any other information: _____							
DECLARATION				(Name& Signature (S) of Authorised Person(S))			
I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware I may be held liable for it. Place Date.....							
AMC/Intermediary name OR code				SEAL/STAMP OF INTERMEDIARY Should contain Staff Name Designation Name of Organization Signature Date			
<input type="radio"/> (originals verified) self certified document copies received							
<input type="radio"/> (Attested) True copies of documents received							

TRADING ACCOUNT RELATED DETAILS								
SECTION A		PRIMARY BANKING ACCOUNT						
BANK NAME				BRANCH				
ADDRESS								
ACCOUNT NUMBER					MICR NUMBER			
ACCOUNT TYPE <input type="radio"/> CURRENT <input type="radio"/> SAVING <input type="radio"/> OTHER _____							IFSC CODE	
SECTION B		SECONDARY BANKING ACCOUNT						
BANK NAME				BRANCH				
ADDRESS								
ACCOUNT NUMBER					MICR NUMBER			
ACCOUNT TYPE <input type="radio"/> CURRENT <input type="radio"/> SAVING <input type="radio"/> OTHER _____							IFSC CODE	
SECTION C		PRIMARY DEPOSITORY ACCOUNT				<input type="radio"/> NSDL <input type="radio"/> CDSL		
BENEFICIARY NAME		DP NAME		DP ID	BENEFICIARY ID (BO ID)			
SECTION C (A)		SECONDARY DEPOSITORY ACCOUNT				<input type="radio"/> NSDL <input type="radio"/> CDSL		
BENEFICIARY NAME		DP NAME		DP ID	BENEFICIARY ID (BO ID)			
SECTION D		OTHER DETAILS						
GROSS ANNUAL INCOME RANGE				OR	NET WORTH ON DATE (NOT OLDER THAN 1 YEAR)			
<input type="radio"/> BELOW 1 LAC <input type="radio"/> 1 - 5 LAC <input type="radio"/> 5 - 10 LAC <input type="radio"/> 10 - 25 LAC <input type="radio"/> OVER 25 LAC					VALUE	DATE(DD/MM/YYYY)		
AFFILIATIONS				<input type="radio"/> POLITICALLY EXPOSED PERSON (PEP) <input type="radio"/> RELATED TO A POLITICALLY EXPOSED PERSON (PEP) <input type="radio"/> NOT A POLITICALLY EXPOSED PERSON <input type="radio"/> NOT RELATED TO A POLITICALLY EXPOSED PERSON				
OCCUPATION								
<input type="radio"/> PRIVATE SECTOR SERVICE <input type="radio"/> PUBLIC SECTOR <input type="radio"/> GOVT. SECTOR <input type="radio"/> BUSSINESS <input type="radio"/> PROFESSIONAL <input type="radio"/> AGRICULTURIST <input type="radio"/> RETIRED <input type="radio"/> HOUSEWIFE <input type="radio"/> STUDENT <input type="radio"/> OTHER _____								
ANY OTHER INFORMATION								
SECTION E		TRADING PREFERENCES						
<i>Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client # If in future the client wants to trade on any new segment/new exchange, separate authorization letter should be given to the client of VNS Finance.</i>								
NSE CASH	SIGNATURE	<input checked="" type="checkbox"/>	NSE F&O	SIGNATURE	<input checked="" type="checkbox"/>	NSE CURRENCY	SIGNATURE	<input checked="" type="checkbox"/>
BSE CASH		<input checked="" type="checkbox"/>	BSE F&O		<input checked="" type="checkbox"/>	BSE CURRENCY		<input checked="" type="checkbox"/>
(If Partner, Corporate or other Signatory , then sign with company seal)								
SECTION F		PAST ACTIONS						
<input type="checkbox"/> Details of any action/proceedings initiated/pending/ taken by FMC/ SEBI / Stock exchange / Commodity exchange/any Other authority against the client during the last 3 year								

SECTION G	DEALINGS THROUGH SUB BROKERS AND OTHER STOCK BROKERS IF CLIENT IS DEALING THROUGH A SUB BROKER, PLEASE PROVIDE THE FOLLOWING DETAILS	
<input type="checkbox"/> IF CLIENT IS DEALING THROUGH ANY OTHER MEMBER, PLEASE PROVIDE THE FOLLOWING DETAILS (IN CASE DEALING WITH MULTIPLE MEMBERS, PROVIDE DETAILS OF ALL IN A SEPARATE SHEET)		
SUB BROKER NAME		SEBI REGISTRATION NO.
BROKER NAME	SEBI REGISTRATION NO.	CLIENT CODE
OFFICE ADDRESS, PHONE NO. & WEBSITE ADDRESS IF ANY		
EXCHANGES	DETAILS OF DISPUTE/DUE SPENDING FROM/TO SUCH STOCK BROKER/SUB BROKER	
SECTION H	ADDITIONAL DETAILS	
CONTRACT NOTE PREFERENCES <input type="radio"/> ELECTRONIC CONTRACT NOTE <input type="radio"/> PHYSICAL CONTRACT NOTE		EMAIL ADDRESS
I WISH TO AVAIL THE FACILITY OF <input type="radio"/> INTERNET TRADING <input type="radio"/> WIRELESS TECHNOLOGY		
NUMBER OF YEARS OF INVESTMENT/TRADING EXPERIENCE		
IN CASE OF NON INDIVIDUAL , NAME ,DESIGNATION, PAN, UID, SIGNATURE, RESIDENTIAL ADDRESS AND PHOTOGRAPHS OF PERSON AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY FIRM OTHERS		ANY OTHER INFORMATION
SECTION I	INTRODUCER DETAILS	
NAME OF THE INTRODUCER		RELATIONSHIP WITH THE INTRODUCER
INTRODUCER'S STATUS <input type="radio"/> EXISTING CLIENT <input type="radio"/> AUTHORIZED PERSON <input type="radio"/> SUB-BROKER <input type="radio"/> REMISIER <input type="radio"/> OTHERS, PLEASE SPECIFY _____		
INTRODUCER'S ADDRESS		
INTRODUCER'S PHONE NUMBER	INTRODUCER'S CLIENT ID	INTRODUCER'S SIGNATURE
SECTION J	NOMINATION DETAILS (FOR INDIVIDUALS ONLY)	
<input type="radio"/> I WISH TO NOMINATE THE FOLLOWING PERSON <input type="radio"/> I DO NOT WISH TO HAVE A NOMINEE		
NOMINEE'S NAME		RELATIONSHIP
NOMINEE'S ADDRESS		
NOMINEE'S PHONE NUMBER	NOMINEE'S PAN CARD NUMBER	NOMINEE'S DATE OF BIRTH (DD/MM/YYYY)
IF NOMINEE IS A MINOR, PLEASE PROVIDE DETAILS OF HIS/HER GUARDIAN		
GUARDIAN'S NAME		GUARDIAN'S ADDRESS

GUARDIAN'S PHONE NUMBER		GUARDIAN'S SIGNATURE	
TWO WITNESSES ARE REQUIRED TO ATTEST IF YOU WANT TO NOMINATE A PERSON			
PRIMARY WITNESS' NAME		PRIMARY WITNESS' ADDRESS	
PRIMARY WITNESS' PHONE NO		PRIMARY WITNESS' SIGNATURE	
SECONDARY WITNESS' NAME		SECONDARY WITNESS' ADDRESS	
SECONDARY WITNESS' PHONE NO		SECONDARY WITNESS' SIGNATURE	
PLEASE SIGN BELOW ATTESTING TO ALL THE INFORMATION ON THIS PAGE			
CLIENT'S NAME			
CLIENT SIGNATURE[9] X _____	PLACE	DATE(DD/MM/YYYY)	
DECLARATION			
<ol style="list-style-type: none"> 1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/we may be held liable for it. 2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet. 3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), '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 declare that I/We am/are opening the trading and demat account for which I/we am/are signing the form and the required document which are in English . I/we have understood the meaning in Hindi of the same. I /we accept the terms & conditions of trading form. This is to confirm that I/We have obtained a copy of KYC document, risk disclosure document, declaration, instruction, DP agreement etc. duly filled. I/we also confirm that all the requisite parts of the agreement, KYC form etc. were duly filled & not applicable part has been struck off. I/We confirm having noted that the broker is obliged to disclose to its clients/constituent whether the broker is trading in his own account or not. Accordingly I/we have been informed that depending upon the market conditions, the broker, its director or its associates do invest/ trade in capital/ derivative segment. 			
CLIENT SIGNATURE[10] X _____	PLACE	DATE(DD/MM/YYYY)	

TARIFF SHEET		
Trading Plans		
EQUITY & FNO		
CURRENCY		
STT, Exchange transaction charges, SEBI Fee, Clearing Charges ,Stamp duty, Service tax etc. as applicable, will be extra		
Account Opening	Rs.500(Individual), Rs. 1000(Corporate)	
DEMAT CHARGES		
NATURE OF SERVICES	TARIFF	
Statutory Charges at the time of Account Opening	At actual	
Demat Charges	Rs. 500 per certificate and minimum Rs. 500 per request	
Remat Charges	Rs. 500 per certificate and minimum Rs. 500 per request	
Annual Maintenance Charges	Rs. 300 per year(Individual), Rs. 800(Corporate)	
Transaction (debit) through Power of Attorney	Rs. 15	
Transaction (Credit)	NIL	
Transaction (Debit) through DIS –to CDSL DP	Rs. 25 minimum or 0.02% subject to maximum of Rs. 50 Incase of BSDA Rs.50 or 0.02% whichever is higher.	
Transaction (Debit) inter Depository	Rs. 25 minimum or 0.02% subject to maximum of Rs. 100	
Inter settlement Transfer for NSDL in Pool Account	NSDL Charges+Rs. 12 minimum or 0.01% & maximum Rs. 50	
Pledge Creation	Rs. 200 per scrip	
Pledge Creation Confirmation	NIL	
Pledge Closure	Rs. 200 per scrip	
Pledge Closure Confirmation	NIL	
Pledge invocation	Rs. 200 minimum or 0.01% whichever is higher	
Failed Instruction Charges	NIL	
Transaction Statement other than Mandatory Statement(Extra)	Rs. 20per request	
Other Charges	Late Instruction 1% scrip value	
Remarks: <ol style="list-style-type: none"> There will be charge of Rs. 200 for dishonor of cheque, each instance. The Depository Services are liable for discontinuation, if VNS Finance & Capital Services Ltd. is unable to recover charges from the customer for any reason whatsoever. In such cases there will be a charge of Rs. 250 for resumption of services and the services will be resumed after the minimum of three working days from the date of receipt of request at Central Processing Office, Mumbai. For additional copy of Contract Notes or Statements, Rs.5 per page and courier charges will be charged to client. For Physical Contract note Rs. 25 minimum for printing & delivery of Contract Note. The charges will be waived if brokerage per segment for the day exceeds Rs. 25. (Applicable only for ECN Clients) Call N Trade would be charged Rs. 20 per order (Applicable only for ECN Clients) 		
STATUTORY CHARGES		
In addition to the above, statutory charges viz. following will also be levied:		
Security Transaction Charges	Stamp Duty	Exchanges Transaction Charges
Education & Higher Education Cess	Service Tax	SEBI Turnover Fees
AUTHORIZATION FOR ACCOUNT MODIFICATION		
If I/We were to add /modify/remove any of my detail including brokerage plans with VNS Finance & Capital Services Ltd., I/We authorize you to carry it out based on my/our request sent through an email to contactus@vnsfin.com or support@vnsfin.com from my registered email address or intimation through an interface provided by you, where to I/We have been allowed secured access.		
Mandatory		
CLIENT'S NAME		
CLIENT'S SIGNATURE [11]	DATE(DD/MM/YYYY)	
X _____		

ADDITIONAL DETAILS FOR OPENING A SECURITIES ACCOUNT

DP ID : 12030400 * SEBI REGISTRATION NO.: IN- DP- CDSL-208-2003

FIRST HOLDER

First Holder Name

Guardian Details (If Sole First Holder is a minor)

Guardian's Name

Relationship

Dispatch of Statement

Account Statement Requirement

 Daily Weekly fortnightly Monthly

Mode of Dispatch

 By E-mail Personally Courier/Post (chargeable)**SECOND HOLDER DETAILS**

Second Holder's Name

Father's/ Husband Name

PAN NO(Mandatory, please attach copy of PAN CARD)

Date of Birth

Permanent Address(Mandatory, please attach Proof)

City

State

Country

Pin Code

Telephone No. (with STD Code)

Fax No.

Mobile No.

Email ID

SEX

 Male Female

Nationality

 Indian other

Educational

 Under -Graduate Graduate Post Graduate Professional other Qualification

Occupation

 Service Central Govt. State Govt. Public/ Private Sector NGO Statutory Body Professional Business Student Retired Housewife Others

Nature of Business (Product/Services provided) :

THIRD HOLDER DETAILS

Third Holder's Name

Father's/ Husband Name

PAN NO(Mandatory, please attach copy of PAN CARD)

Date of Birth

Permanent Address(Mandatory, please attach Proof)

City

State

Country

Pin Code

Telephone No. (with STD Code)

Fax No.

Mobile No.

Email ID

SEX

 Male Female

Nationality

 Indian Other

Educational

 Under -Graduate Graduate Post Graduate Professional other Qualification

Occupation

 Service Central Govt. State Govt. Public /Private Sector NGO Statutory Body Professional Business Student Retired Housewife Others

Nature of Business (Product/Services provided) :

Specimen Signature for Scanning (**SIGN IN BLACK INK ONLY**)
 BO ID _____
 Name _____

CLIENT'S SIGNATURE 12 (FIRSTHOLDER)	(SECOND HOLDER)	(THIRD HOLDER)
X _____	X _____	X _____

For OCBs (Only if the Sole / First Holder is an OCB)

Foreign Address		Indian Address	
City		City	
Country		Country	
Pin Code		Pin Code	
Tel No.		Tel No.	
Fax No.		Fax No.	
Currency		Email	
RBI Reference No.		RBI Approval Date	

Clearing Members Details(To be filled by CMs Only)

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

DECLARATION BY HUF

To,
 VNS Finance & Capital Services Ltd.
 Mumbai.

Dear Sir,
 I/We hereby declare that I/We are coparceners of the HUF _____ with _____
 _____ as "Karta". I/We have opened Trading and/or Demat Account with you under HUF category. I/We
 hereby declare that I/We am/are authorizing the said Karta to execute the transactions and to do all such needful
 acts/deeds in our Demat/Trading account. I/We further authorize the Karta to appoint any other attorney and authorize
 him/her/it to act on behalf of the HUF and Coparcener(s) with regard to the operations of the said Demat/Trading
 account. The details of our account are given below:
 BO Account Details
 DP Id : 30400 Client Id : _____ Login Id : _____
 Name of the Karta _____

List of Coparceners

Sr. No.	Name	Sex(M/F)	Date of Birth	Relationship with Karta	Signature of Major coparceners

I/We hereby state that the details mentioned as above are true and any change in them would be intimated to you in writing.

Signature & Stamp of Karta along with stamp of HUF: _____

CLIENT SIGNATURE[13]
 X _____

Undertaking

I/We have read the terms & conditions DP-BO agreement 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.

I/ We confirm that First Holder is the sole signatory or authorised to operate the Trading Account. I/ We, am/ are agreeable to enter into the Client Agreement for trading & give the Power of Attorney to facilitate you to meet pay-in & margin obligation(s) & other dues pursuant to transactions done through Trading Account with VNS Finance & Capital Services Ltd. I/ We have read and understood Schedule of Charges on the website and agree that my Beneficiary Account is subject to the payment of these charges. I/ We agree that the charges as stated herein may be modified/ revised and I/ We agree to pay the charges including any modification/revision thereto from time to time. I/We hereby agree to provide details to the Stock broker from time to time to comply with the guidelines of Prevention of Money Laundering Act. I/ We hereby authorise VNS Finance & Capital Services Ltd., to debit all the Demat Account related charges to my/ our ledger of Trading Account. I/ We confirm that I/ We have had no insolvency initiated against me/us nor have I/ we ever been adjudicated insolvent. I/ We authorise VNS Finance & Capital Services Ltd., any other Group Company or their agents to make reference and enquiries relating to the information in this application which may be considered necessary by them.

Account to be operated through Power of Attorney	Yes	No
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CLIENT'S SIGNATURE [14]

DATE(DD/MM/YYYY)

X _____

Nomination Form (Not applicable for HUF and non Individuals)

I/We wish to make a nomination

I/We do not wish to make a nomination

I/We nominate the following person who is entitled to receive security balances lying in my / our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details

DP ID 12030400	Client ID
Name of Sole/ First Holder	
Name of Second Holder	
Name of Third Holder	

Nominee Details

First Name			
Middle Name			
Last Name			
Address			
City	State		
Country	Pin		
E-mail ID	Fax No		
Telephone No with STD Code			
Relationship with Bo	Date of Birth (if Nominee is minor)		
PAN of Nominee			
Signature of Nominee			

As the Nominee is a minor as on date, I/We appoint following person to act as guardian:

First Name			
Middle Name			
Last Name			
Address			
City	State		
Country	Pin		
Tel. No.	Fax no		
E-Mail ID	Pan		
Relationship of Guardian with Nominee	Signature of Guardian		

To receive the securities in this account on behalf of the nominee in the event of death of the Sole holder/all joint holders.

This nomination is in accordance with the Section 109A of the Companies Act, 1956 and shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Place	Date						
<table border="1"> <tr> <td>CLIENT'S SIGNATURE 15 (FIRSTHOLDER)</td> <td>SECOND HOLDER</td> <td>THIRD HOLDER</td> </tr> <tr> <td>X _____</td> <td></td> <td></td> </tr> </table>	CLIENT'S SIGNATURE 15 (FIRSTHOLDER)	SECOND HOLDER	THIRD HOLDER	X _____			
CLIENT'S SIGNATURE 15 (FIRSTHOLDER)	SECOND HOLDER	THIRD HOLDER					
X _____							

DETAILS OF THE WITNESS

	First Witness	Second Witness
Name of Witness		
Address of Witness		
Signature of Witness		

Two witnesses shall attest Thumb impression(S).

Nomination accepted and registered vide Registration No. _____ dated _____

ADDITIONAL DETAILS		
Accounts to be operated through Power of Attorney		
SMS Alert Facility	Mobile No. +91 _____ (Refer to Terms & Conditions for receiving SMS Alert from CDSL)	<input type="radio"/> YES <input type="radio"/> NO
EASI	If Yes, Please fill up form printed below. (facility through CDSL's website: www.cdslindia.com Wherein a BO can view his ISIN balances, transactions and value of the portfolio online.)	<input type="radio"/> YES <input type="radio"/> NO
I/We would like to instruct the DP to accept all the Pledge instructions in my /our account without any other further instruction from my/our end (If not marked , the default option will be 'No')		<input type="radio"/> YES <input type="radio"/> NO
I/We wish to receive the dividend /interest directly into my bank accounts as given above through ECS (If not marked , the default option will be 'Yes') ECS is mandatory for locations notified by SEBI from time to time.		<input type="radio"/> YES <input type="radio"/> NO
STANDING INSTRUCTIONS		
I/We instruct the DP to receive each and every credit automatically in my our account (If not marked , the default option will be 'Yes')		<input type="radio"/> YES <input type="radio"/> NO
REGISTRATION FORM FOR ELECTRONIC ACCESS TO SECURITIES INFORMATION (EASI)- BENEFICIAL OWNER (BO) (FOR VIEWING THE ACCOUNT ONLY, THROUGH INTERNET) (OPTIONAL)		
1.Name of First Holder		
2.Name of Second Holder		
3. Name of Third Holder		
Beneficiary Owner ID		Login ID
DP Name	DP ID	DP Address
Email ID of the BO	Tel No.	Mobile No.
I/ We would like to register above mentioned account for the easi service. I/We am/are aware that easi service is available to me/us which only enables me/us to view the security balances lying in the said accounts. I/we hereby agree to the terms and conditions we have read earlier for availing the said service.		
Date		Place
CLIENT'S SIGNATURE 16 (FIRSTHOLDER)	SECOND HOLDER	THIRD HOLDER
X _____	X _____	X _____

(To be filled up by the DP)

This is to certify that

- 1.
- 2.
- 3.

Are maintaining BO A/c No. _____ with us. We have verified the signatures of the said account holders and they match with the specimen signatures as per our records.

Date
Place

For VNS Finance & Capital Services Ltd.

Authorised Signatory

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 form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

CLIENT SIGNATURE [17] X _____

Transfer of Securities

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

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

Statement of Account

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

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

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

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

Manner of Closure of Demat Account

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

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

Default in payment of charges

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

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

Liability of the Depository

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

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

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

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

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

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or 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.

CLIENT SIGNATURE [18] X _____

ADDITIONAL RIGHTS AND OBLIGATIONS AGREED BY STOCK BROKER AND CLIENT

This is further to rights and obligations of Stock brokers, sub-brokers and clients as prescribed by SEBI and stock Exchanges in Annexure-4 of SEBI circular CIR/MIRSD/16/2011 dated 22nd August 2011, it is further agreed between the parties as under.

1. Provisions relating to transactions

1.1. In case of market order, the Client agrees that he will receive the price at which his order is executed by exchange's computer system; and such price may be different from the price at which the security's price is showing on the screen when his order is entered into the Stock Broker's trading system / website. However all the transactions executed can be verified by the client through the interface provided by both the exchanges through their website for a limited period. The Client can also register on exchange website by providing their mobile number and email id to get details of their transaction directly from the exchange itself.

1.2. In the case of cover order (primary order with compulsory stop loss order as second leg) there is a risk of non execution of stop loss order due to wild fluctuation or due to exchange action. The broker will not be responsible in such case

1.3. The Stock Broker may, at its sole discretion, reject any order placed due to any reason, including but not restricted to the non-availability of funds in the trading account of the client, non-availability of securities, insufficiency of margin amount.

1.4. The Stock Broker may allow / disallow client from trading in any security or class of securities or derivatives contracts and impose such conditions for trading as it deem fit from time to time. This includes the subscription/redemption in Mutual Funds Schemes.

1.5. The Client is aware and agrees that the Stock Broker may need to vary or reduce the limits or impose new limits on the basis of Stock Broker's risk perception and other factors considered relevant by the Stock Broker, and the Stock Broker may be unable to inform the client of such variation, reduction or imposition in advance. The Client agrees that the Stock Broker shall not be responsible for such variation, reduction or imposition.

1.6. Cancellation or modification of an order pursuant to the client's request in that behalf is not guaranteed. The order will be cancelled or modified only if client's request for cancellation is received on time and the order is successfully cancelled or modified before it is executed. Market orders are subject to immediate execution wherever possible.

1.7. The Client shall not be entitled to presume an order having been executed, cancelled or modified until a confirmation from the Stock Broker is received by the client. However due to technical and other factors the confirmation may not be immediately transmitted to or received by the client and such a delay shall not entitle the client to presume that the order has not been executed cancelled or modified unless and until the Stock Broker has so confirmed in writing.

1.8. The Client agrees that the Member shall not be liable or responsible for non-execution, non modification, and non-cancellation of the orders of the Client due to any link/system failure at the Client/ Stock Broker /Exchange end.

1.9. As per rules of the exchange, SEBI and depositories the client account is deactivated if it remains dormant for the stipulated period. In such a case the client may reactivate the account by submission of requisite application and proof of identity.

1.10. The Client agrees that orders, instructions and other communications given or made over the telephone may be routed through Stock Broker interactive voice response or other telephone system and may be recorded by the Stock Broker. The Client also agrees that such recording is permissible and the Stock Broker's records of any orders, instructions and communications given or made by the client or the Stock Broker by electronic mail, or other electronic means shall be admissible as evidence and shall be final binding evidence of the same.

1.11. Stock Broker has a system of confirming the trades, ledger balances, Margin and open position in derivatives to the client on his mobile number & email id given by the client. In case of any discrepancy noticed client is expected to inform forthwith to the Stock Broker notice in writing by an electronic mail or fax preferably within 24 hours of receipt. This is specifically agreed that merely sending mail will not amount to acceptance of mistake by the Member after investigation.

2. Terms and Conditions of internet trading (e-broking or e-trading or on line trading).

2.1. In case of failure of link Stock Broker also offers / intends to offer Dial and Trade services to the client. The client is requested to contact corporate office by disclosing proper identity.

2.2. The client hereby undertakes not to allow any unauthorized or dabba trading and not to allow any subletting the trading terminal to any person who so ever. The client understands that doing so is a serious offence and may lead to criminal action.

2.3. The Client shall ensure that he is the only authorized user of user name, Tele identification number and password. The Stock Broker shall be entitled to presume that any orders or instructions entered or communicated using the Client's user name, customer user identification number, T-Pin number and password is the client's own order or instruction or that of the Client's duly authorized representative. *(Applicable for non-individual clients only)*

2.4 The Client shall log off from the website at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall be borne solely by the Client.

2.5. The Client understands and agrees that the Stock Broker may change the platform or discontinue his E Broking service in part or entirely and change the terms of the service (including the terms on the Stock Broker's E Broking website) at any time and from time to time, without prior notice.

3. Contract Notes, Digital Contract Notes, Other Reports

3.1. Discrepancies, if any, should be sent by e-mail on info@vnsfin.com or faxed preferably within 24 hours of issuance of contract note or digital contract note. This is specifically agreed that merely sending mail will not amount to acceptance of mistake by the Broker and the same will be communicated by the Member after investigation.

3.2. Non- receipt of bounced mail notification by the Stock Broker shall amount to delivery of electronic documents (Digital Contract notes, Bills, Ledger and Transaction Statements etc.) at Clients email id.

3.3. In case of any failure in system or errors in digital contract notes, Bills, Ledger and Transaction Statements etc. will be issued in the physical form, which shall be binding on the client.

3.4. The Stock Broker shall not be responsible for the non-receipt of the trade confirmation due to any change in the correspondence address of the client not intimated to the Stock Broker in writing. The client is aware that it is his responsibility to review the trade confirmations, the contract notes, the bills or statements of accounts immediately upon their receipt. All information contained herein shall be binding upon the client, if the client does not object in writing to any of the contents of such trade confirmation/intimation to the Stock Broker.

DP Operations, Pay-in and Pay-Out

4.1. The Client has provided to the Stock Broker, a power of attorney authorising the Stock Broker to debit/credit/block/create lien/pledge the client's depository accounts through its authorised personnel, to the extent of the transactions conducted by the client and margin required for trading in capital & derivatives segment.

The client also authorizes the stock Broker to debit/credit securities including units of Mutual funds, to the said account, which have been wrongly credited or debited in client's BO account.

4.2. It is hereby specially agreed and understood between the parties hereto that in case the client deals in physical shares, he shall be solely responsible in respect of the patawat, bad deliveries and company objections and its auction and valuation price by the exchange.

4.3. In case of delivery from outside DP the client shall insure the delivery of shares one day earlier to pay-in day of Exchange. In the case of late pay-in the additional service charges by the DP and /or auction/penalty etc. by the exchange will be to the account of client. The client shall ensure the pay-in of funds in such a way so that the funds are credited to the Exchange Clearing account of the broker, one day earlier to the pay-in day of Exchange.

4.4. The Client shall ensure the pay-in of funds in such a way so that the funds are credited to the Exchange Clearing account of the Member, one day earlier to the pay-in day of Exchange. In case the early pay-in is required by the exchange, the client shall arrange the money and shares pay-in forthwith as per directions of the exchange

4.5. The client hereby unconditionally & willfully agrees for withholding shares/debentures and other corporate securities received in pay-out in its/his account towards subsequent pay-in/ the margin /mark to market margin for cash as well as derivative segment.

4.2. The Stock Broker can retain the shares in his Beneficiary Account in case of debit balance in the client's ledger account of Cash/Derivative Segment.

5. Payment of Margin, penalty for non payment or short payment.

5.1. The client agrees that any securities placed by him/her/it as Margin may in turn be placed/ pledged as margin by the Stock Broker with the Exchange or with the clearing member. While selling such securities the client will first inform the Stock Broker one day before the selling and only after getting acceptance the shares will be sold by him. The charges for such pledge/ unpledge will be born by the client and the same can be debited to the clients ledger account.

5.2. In the case of short payment of margin by the client, the penalty for such short margin will be born by the client and the same will be debited to the Client's ledger account.

5.3. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant Stock Exchange(s). In case, where defaulting client is a corporate entity/partnership/proprietor 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 to the relevant Stock Exchange(s).

6. Accounts, Billing receipt and payments

6.1. The Member and client agree that any mistake / error / omission on either side in crediting / debiting investor's account will be rectified forthwith on coming to notice.

6.2. The Client authorises the Stock Broker to debit charges payable to depository participant for depository services to the trading account of the Client maintained with the Stock Broker.

6.3. To facilitate smoothness in transactions, the client hereby request Stock Broker to maintain his account, both securities and funds, in respect of all stock exchanges and all segments with Stock Broker on running basis.

6.4. The client also request Stock Broker to consider the balances in running funds and securities account with Stock Broker for the purpose of margin/any other obligations due to Member. The client also instructs Member to release the funds and securities due to him on his specific request, either written or oral. It is further agreed that the Stock Broker may charge the cost of holding securities.

6.5. The client hereby willfully & unconditionally issue standing instruction for transfer of credit / debit balance as appearing in his ledger account(s) from/to one segment to/from another segment of same stock exchange and/or any segment of another Stock exchange.

6.6. The holding in the beneficiary account (B/O) of the client with the broker DP will be under lien of the Stock Broker till such debit along with penalty/interest, if any, is paid by the client to the stock Broker. The Stock Broker is also authorized to sell such shares kept in client BO A/c or with Stock Brokers client beneficiary account if the debit balance is not cleared by the client within the stipulated period as per the rules.

6.7. In case the client opts for NSE Mutual Fund Service System (MFSS) facility/BSE Star Mutual Fund facility, it is specifically agreed that stock Broker is authorized to transfer the funds required for subscription alongwith charges thereon, from client's ledger account(s) in all/any segment of all/any stock exchange. Further it is to be specifically noted that such service is not protected by investor Protection Fund or from any fund of NSE or NSCCL or BSE.

7. Provisions relating to Prevention of Money Laundering

7.1. The Client shall deal in his account only and shall ensure that the transfer of shares is given by him for from his declared DP account only and not from his relatives friends and associates' DP account.

7.2. The Client undertakes to make the payment from his declared bank account only and also in the name of trading Member only. It is specifically provided that payment given to / in the name of Sub Broker or any employee will not amount the payment to trading Stock Broker.

7.3. The Client undertakes to not make any payment in cash to any person connected with the company whether Sub Broker or employee of the company. The broker shall not be responsible and shall not account for any such cash payment deposited in the banking account of the company directly by the client.

General

7.4. The client agrees to indemnify and keep safe, harmless and indemnified the Stock Broker, Depository Participant and its officials from any damages, claims, demands, proceedings, loss, cost, charges, penalties and expenses whatsoever which Stock Broker may at anytime incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the trading system or execution of transactions in commodity market by the Client.

Risk of in the money option holder on final expiry day

An in the money option holder has the risk of additional STT(Securities Transaction Tax) levy at settlement price based on closing price of the underlying on the final expiry day. In this case, if the settlement price based on closing price of the underlying on the final expiry day. In this case if the settlement price is higher than the strike price in case of call option or lower than the strike price in case of put option, then the STT is payable on settlement price. It generally happens that the incidence of STT payable is much higher than the option premium received by the client.

IN WITNESS THEREOF the parties have caused these presents to be executed as of the day and year first above written.

For **VNS Finance& Capital Services Ltd.**

X _____

CLIENT SIGNATURE [19]

Authorised Signatory
Seal/Stamp of Stock Broker

Client Name _____

Date_____

**VOLUNTARY "Running Account Authorization" by the client in respect of his/her/their
Funds and Securities account pertaining to all Indian Stock Exchanges**

I/We _____ having client code _____ with VNS Finance & Capital Services Ltd. for trading on NSE_Cash/NSE_FNO/NSE_Currency/BSE_Cash/BSE_FNO/MCX SX Currency, would like to give instructions for maintaining account on running basis in terms of SEBI circular number CIR/MRD/DMS/13/2010 dated 23rd April 2010. These instructions are being given voluntarily on ___day of ___month___year. I/We am/are aware that these instructions can be revoked at any time by giving written intimation duly acknowledged by VNS Finance & Capital Services Ltd. at A-401, Mangalya Marol Maroshi Road, Marol, Mumbai-400059. I/We am/are aware that this said revocation will take effect after the completion of pending obligations in respect of margin and inter-exchange/segment account transfer etc.

1. I/We hereby request you to maintain my account, both securities and funds, in respect of all stock exchanges and all segments with you on running basis. This will facilitate smoothness in transactions through you.
2. The actual Settlement of funds shall be done at least once in the preference period as selected below :
I request you to settle it on

Monthly Basis
 Quarterly Basis

While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
3. I/We also request you to consider the balances in my/our running funds and securities account with you for the purpose of margin/any other obligations in relation to trades due to you. In view of the above it would be proper for you to release the funds and securities due to me/us on my/our specific request, either written or oral. You may charge the cost of holding securities to my/our account with you.
4. I/We hereby willfully & unconditionally issue standing instruction for transfer of credit/debit balance as appearing in my ledger account(s) from/to one segment to/from another segment of same stock exchange and/or any segment of another stock exchange.
5. I/We do hereby request you to release my funds payout based on email request made by me/us.
I/We do hereby give my consent to receive my funds payout in my registered bank account with you through electronic mode of fund transfer.
6. I/We have the Beneficiary Account with VNS Finance & Capital Services Ltd. (DP Operations). Since the bills for Depository service are required to be paid every month which is very inconvenient, I/We hereby request you to debit my ledger account maintained with VNS Finance & Capital Services Ltd. in cash and /or Derivative segment, with depository charges including pledge charges.
7. I/We may also ask you from time to time to furnish the shares as collateral security to NSE/BSE and/or clearing member for trading on derivative segment. The transfer and/ or pledge charges in that respect may also be debited to our NSE/BSE cash and/or Derivatives ledger account.
8. I/We shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be. In case of non-receipt of any such communication the statement/settlement of running account shall be considered as final as agreed and accepted by me.

CLIENT'S NAME	
CLIENT'S SIGNATURE [20]	DATE(DD/MM/YYYY)
X _____	

POWER OF ATTORNEY

<p>CLIENT'S SIGNATURE [21]</p> <p>X _____</p>
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To all to whom these presents shall come I/we

 Individual/partnership firm/corporate, being Indian inhabitant send greetings.

Whereas I/we have a beneficiary account bearing no 1 2 0 3 0 4 0 0 _____ (hereinafter referred to as the said 'BO account') with **VNS Finance & Capital Services Ltd.** (Hereinafter called as "**VNS**" & also as "**DP**") **DP ID 12030400** with CDSL & registered as trading member with SEBI as INE230964330/ INF230964330/ INB010964337/ INE260964330, We also have the trading/ investment account with **VNS** and I/we am/are desirous of appointing an agent / attorney to operate said account on my behalf in the manner hereinafter appearing.

Now know we all and these presents witness that I/we, the above named do hereby nominate, constitute and appoint VNS Finance & Capital Services Ltd. an Indian company registered under The Companies Act, 1956 acting through its Directors and/or Officers authorised for the purpose, as our true and lawful attorney(s)(herein after referred to as "**the attorney(s)**") for me/us and on my/our behalf and in my/our name, to do the following acts, deeds and things and exercise the following powers and authorities;

1. To do all such thing and give all such instructions as mentioned below concerning the said account as I/we myself/ourselves could give if I/we was/were personally present.
2. To treat the balance in my BO account as margin against my transactions in capital and derivative segment and to pledge/ unpledged the same with the VNS or NSE or BSE or clearing member as margin deposit.
3. To instruct DP to transfer the shares to VNS margin account number 1203040000007539 &/or 1203040000000172 &/or 1203040000062527 & pledge/ unpledged the same with the NSE/BSE or clearing member as margin deposit.
4. To instruct the DP to debit securities including Mutual Fund Units to the said BO account and/ or transfer securities from the said account to VNS NSE pool account nos. 1203040000000339/ IN555300, and/or to NSE early pay-in account no. 1100001100015386 and/ or VNS BSE pool account nos. 1203040000055906/1203040000055910/ IN632792 to the extent of shares sold by me/us for pay-in obligations towards any stock exchange.
5. To instruct the DP to debit /credit securities including units of Mutual funds, to the said account, which have been wrongly credited or debited in my BO account.
6. To transfer charges levied in my BO account to my trading ledger account of NSE & BSE.
7. To apply for other capital market products like Mutual Funds, IPO, rights, offer for sale in Buyback etc, pursuant to oral/written/electronic instructions given by me.

And I/We hereby agree and confirm that the powers and authorities conferred by this power of attorney shall continue until I/we inform to the contrary, in writing & duly acknowledged by DP at A-401, Mangalya Marol Maroshi Road, Marol Mumbai. The said revocation will take effect after the completion of outstanding obligations.

<p>SIGNED AND DELIVERED (BY THE WITHIN NAMED)</p> <p>1st Holder</p> <p>2nd Holder</p> <p>3rd Holder</p>	<p>CLIENT'S SIGNATURE [22]</p> <p>X _____</p>

IN THE PRESENCE OF (Witness)

Signature

a

.....

b

.....

Accepted

For VNS Finance & Capital Services Ltd.

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRCT NOTES

To
VNS Finance & Capital Services Ltd.,
401-402, A Wing, Mangalya,
Marol Maroshi Road, Near Marol Fire Station,
Andheri East, Mumbai - 400 059

Sub: Authorization for Electronic Contract Notes

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 interest paid futures segments. As my broker that is 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 physical form or electronic form. In pursuance of the same, I/We hereby opt to receive contract notes in electronic form. I/We understand that for the above purpose you are required to take from the client "an appropriate email account" for you to send the electronic contract notes.

Accordingly please take the following email account/ email id on the record for sending the contract notes to me.

Email ID	CLIENT'S SIGNATURE[23] X _____
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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 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 report of your dispatching software shall be a conclusive proof of dispatch of contract note 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 am/are required to intimate any change in the email id / email account mentioned herein above needs to be communicated by me through the physical letter to you, provided however that if I am an internet client than in that event the request for change in the email id/email account can be made by me through the secured access using client specific user ID and password. Please treat this authorization as written ratification of my verbal direction/authorization given any carried out by you earlier. I 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 contract note within 24 hrs if you receive a bounce email.

Yours faithfully,

CLIENT'S NAME	
CLIENT'S SIGNATURE[24] X _____	DATE (DD/MM/YYYY)

ACKNOWLEDGEMENT

To
VNS Finance & Capital Services Ltd.,
401-402, A Wing, Mangalya,
Marol Maroshi Road, Near Marol Fire Station,
Andheri East, Mumbai 400 059

Dear Sir or Madam,

I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & Obligations in case of internet /wireless technology based trading)
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note- Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. The VNS Finance & capital Services Ltd. Tariff Sheet.
5. Instruction Checklist for filling KYC Form
6. Policies and Procedures describing significant policies and Procedure of Stock Broker.

I/we have been informed that the above documents are also available on the company website.

I/We understand that the voluntary documents executed by me/us are out of my/our own free will.

I/We state that I have read and understood all above documents and these documents are binding upon me.

Yours faithfully,

CLIENT'S NAME	
CLIENT'S SIGNATURE[25] X _____	DATE (DD/MM/YYYY)

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date _____

DP ID	12030400	CLIENT ID													
First Holder Name															
Second Holder Name															
Third Holder Name															
<p>To, VNS Finance & Capital Services Ltd. (Depository Participant) A401-402, Mangalya , Marol Maroshi Road, Andheri East, Mumbai-400059</p> <p>Dear Sir/ Madam,</p> <p>I /We hereby state that : (Select one of the option given below)</p> <p align="center"><input type="checkbox"/> OPTION 1</p> <p>I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my /our CDSL account through I/we have issued a Power of Attorney (POA) in favour of /with VNS Finance & Capital Services Ltd. (Stock Exchange trades (Settlement related transactions) effected through such clearing member.</p> <p>Yours faithfully</p> <table border="1"> <tr> <td></td> <td>First Sole Holder</td> <td>Second Joint Holder</td> <td>Third Joint Holder</td> </tr> <tr> <td>Name</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Signatures</td> <td></td> <td></td> <td></td> </tr> </table>					First Sole Holder	Second Joint Holder	Third Joint Holder	Name				Signatures			
	First Sole Holder	Second Joint Holder	Third Joint Holder												
Name															
Signatures															
(OR)															
<input type="checkbox"/> OPTION 2															
<p>I/We do not require the Delivery Instruction Slip (DIS) for the time being, Since I/We have issued a POA in favour of /with VNS Finance & Capital Services Ltd(Stock Exchange Clearing Member) for executing delivery instructions for setting stock Exchange trades(settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.</p> <p>Yours faithfully</p> <table border="1"> <tr> <td></td> <td>First Sole Holder</td> <td>Second Joint Holder</td> <td>Third Joint Holder</td> </tr> <tr> <td>Name</td> <td></td> <td></td> <td></td> </tr> <tr> <td>CLIENT'S SIGNATURE 26</td> <td></td> <td></td> <td></td> </tr> </table>					First Sole Holder	Second Joint Holder	Third Joint Holder	Name				CLIENT'S SIGNATURE 26			
	First Sole Holder	Second Joint Holder	Third Joint Holder												
Name															
CLIENT'S SIGNATURE 26															

Please Tear Here

ACKNOWLEDGEMENT RECEIPT

Received Option form for issue/Non issue of DIS Booklet from:

DP ID	12030400	CLIENT ID	
First Holder Name			
Second Holder Name			
Third Holder Name			

For VNS Finance & Capital Services Ltd.

Signature & Seal