

Client Name	Client Code	Branch
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BNR Capital Services Pvt.Ltd.

MEMBER : BOMBAY STOCK EXCHANGE LTD. ♦ **SEBI REGISTRATION NO. INB 010984238**
MEMBER : NATIONAL STOCK EXCHANGE LTD. ♦ **SEBI REGISTRATION NO. INB 230984230**
DEPOSITORY PARTICIPANT OF CDSL ♦ **IN-DP-CDSL - 119-2000**
Regd Office: 4-5-173, Hasmath Gunj, Sultan Bazar, Koti, Hyderabad - 500 095
Tel.: 040-2475 5239, 2475 5240 **Fax :** 040-24755839
E-mail : bnrcapital@rediffmail.com **Website :** bnrcapital.com

(i) KNOW YOUR CLIENT FOR INDIVIDUAL

(This information is the sole property of the Trading Member / Brokerage House and would not be disclosed to anyone unless required by Law or except with the express permission of clients)

To,
BNR Capital Services Pvt. Ltd.
 4-5-173, Hasmath Gunj, Sultan Bazar,
 Hyderabad - 500 095

Please affix
your recent
passport size
photograph
duly signed
across

1

Sign across it

(Before filling and executing this document, please read the instructions given overleaf)

I request you to register myself as your client and enable me to trade in the Cash/F&O Segment of Bombay Stock Exchange Ltd.pursuant to the Agreement entered into with you. I have read the Rules, Bye-laws and Regulations of the Cash, F&O Segment of Bombay Stock Exchange Ltd.and agree to abide by them. In this regard, I give the following information:

1. CLIENT'S PERSONAL DETAILS

Name Mr./Mrs./Ms. : _____
 Date of Birth : _____ Sex : ☐ Male ☐ Female Marital Status : ☐ Married ☐ Unmarried
 Nationality : ☐ Indian ☐ Other Residential Status: ☐ RI ☐ NRI ☐ Other
 Father's / Husband's Name : _____
 Name of the Firm (in case of Proprietorship Firm) _____

2. CORRESPONDENCE ADDRESS :

City/VPO/Town: _____ Dist. : _____
 Pin: _____ State: _____ Country : _____
 Phone (with STD Code): _____ Mobile : _____
 PAN NO. : _____ IT CIRCLE WARD _____
 E-mail ID : _____ Fax: _____

3. PERMANENT ADDRESS :

City/VPO/Town : _____ Dist.: _____
 Pin: _____ State: _____ Country : _____

4. EDUCATIONAL QUALIFICATION : ☐ Graduate ☐ Post Graduate ☐ Professional ☐ Others

5. **OCCUPATIONAL DETAILS:** ☐ Employed ☐ Self Employed ☐ Business ☐ Service

☐ Professional ☐ House Wife ☐ Others

Name of Employer/ Establishment: _____

Office Address : _____

City/VPO/Town : _____ Dist. : _____

Pin: _____ State: _____ Country: _____

Phone (with STD Code) : _____ Mobile: _____

Fax: _____ E-mail: _____

6. **BANK ACCOUNT DETAILS** “(Through which transactions would be routed. Details & proof of bank account(s) is required)

Bank Name*	Branch Address & Pin Code	Bank Account No.*	A/c Type*	9 Digit MICR Code No

7 **FINANCIAL DETAILS** ☐ Below Rs.1 lakh ☐ Rs.1-5 lakhs ☐ Rs.5-10 lakhs ☐ Rs.10-25 lakhs ☐ Above Rs.25 lakhs

Annual Income _____ Net Worth _____

Documentary Evidence Self Certified _____

8 **INVESTMENT/TRADING EXPERIENCE** investment related fields ☐ No Prior Experience ☐ Years in Stocks

☐ Years in Derivatives ☐ Years in other

Market Value of your Current Portfolio As on _____ Rs. _____ Lacs

9. **OTHER BROKER'S / SUB-BROKER'S DETAILS**

Whether registered with any other broker/sub-broker in India ☐ Yes ☐ No

If Yes. Name of the broker _____

Name of the exchange _____ Client Code No. _____

Name of Sub-Broker _____

Broker's/ Sub-Broker's Address _____

Broker's / Sub-Broker's Phone No. _____

Details if any, of any taken by SEBI/Stock Exchange / any other regulatory authority for violation of any securities law or other economic offences against Individual; Incase of Non Individual against the constituent or its partners / promoter / whole time directors / authorised persons / in charge of dealing in securities

10. **INTRODUCER DETAILS**

Name _____

Father's Name _____

Address _____

Signature _____

Relationship with Applicant _____ Relationship with TM _____

PAN of introducer, if any _____

Identity of Introducer _____ Date of Issue _____

Place of Issue _____

11. CLIENT INTERVIEWED BY EMPLOYEE/AUTHORISED PERSON/SUB BROKER

Name _____ Designation _____
Signature _____ Date _____
Original Documents Verified By _____ Authorised By _____

12. DEPOSITORY ACCOUNT DETAILS

(Through which transactions will generally be routed.)

1. Type of Depository: ☐ CDSL ☐ NSDL

Name of Depository: _____

Beneficiary Name: _____

DPID: _____ Beneficiary ID: _____

2. Type of Depository: ☐ CDSL ☐ NSDL

Name of Depository: _____

Beneficiary Name: _____

DPID: _____ Beneficiary ID: _____

13. DECLARATION

I authorize you to transfer the shares purchased by me to the above demat beneficiary account. I am agreeable to enter into an agreement and to do abide by your terms & conditions.

14. NRI DETAILS : ☐ NRO ☐ NRE ☐ Other NRI REPATRIABLE/ NRI NON-REPATRIABLE

RBI Approval Reference No. : _____ RBI Approval Date: _____

Foreign Address: _____

City: _____ Pin: _____

State: _____ Country: _____

Documents Furnished: ☐ Copy of Passport/ Visa ☐ Proof of Foreign Address**15. IDENTITY PROOF DETAILS**

(ATTACH COPY)

PARTICULARS	NUMBER	DATE OF ISSUE	PLACE OF ISSUE	DATE OF EXPIRY
PAN CARD				
PASSPORT				
DRIVING LICENSE				
RATION CARD				
VOTER ID CARD				

IT Circle/ Ward District _____

16. TRADING PREFERENCE

Stock Exchange on which you wish in trade: (Please tick in the relevant boxes)

☐ NSE ☐ BSE ☐ MCX-SX ☐ ALL

Market Segment on which you wish to trade: (Please tick in the relevant boxes)

☐ Cash Market ☐ Derivative Market ☐ Currency Derivatives ☐ ALL

I/We here by declare that the details furnished above are true and correct to the best of my knowledge & belief & 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/We am aware that I/We may be held liable for it.

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(Signature) _____

BROKERAGE STRUCTURE

BROKERAGE Code : _____

Cash Market		Futures	Options	Currency
Intraday	Delivery			

Note: Incase Physical Contact note are being dispatched to client, a difference of Rs.25/- per in total brokerage booked on a particular date would be charged towards minimum processing fee.

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Client Signature _____

a) Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

b) Setting up client's exposure limits

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

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

c) Applicable brokerage rate :- Brokerage will be charged within the limits prescribed by SEBI/Exchange.

d) Imposition of penalty/delayed payment charges

Clients will be liable to pay late pay in/delayed payment charges for non making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate upto 2% per month. The client agrees that the stock broker may

impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

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

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

The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus. Stock split. Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall bear liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property. the stockbroker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

f) Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity

liable to make the payment and the client has fulfilled his/her/ its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Payin/ Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
 - b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange + 10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
 - c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.
- g) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts.

h) Temporarily suspending or closing a client's account at the client's request

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

i) Deregistering a client:- Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- (i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken

by the Client and/or its partners for dissolution of the partnership;

- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

Inactive Client account: - Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any breakdown in our back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We shall be fully liable and responsible for any such problem/fault.

Client Acceptance of Policies and Procedures stated here in above:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

RUNNING ACCOUNT AUTHORISATION

Date.....

TO.,
BNR Capital Services Pvt. Ltd.
4-5-173, Hasmath Gunj, Sultan Bazar,
Hyderabad - 500 095

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account? Once in every calendar Quarter or? Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/ margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. After that I/We shall have no right to dispute the transaction, funds and/ or securities ever and agree that you shall not be liable for any incidental loss/damage caused due to retention of funds and/or securities.
6. I/We confirm you that can revoke the above mentioned authority by giving 15 working days notice in writing to you.

Thanking you

Yours faithfully,

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(Signature)

Client Name: _____

Client Code: _____

LETTER OF AUTHORITY

Client Name :

Date.....

Client Code :

BNR Capital Services Pvt. Ltd.

4-5-173, Hasmath Gunj, Sultan Bazar,
Hyderabad - 500 095

Dear Sir,

Subj: Letter of Authority - CASH/F&O/Currency Derivative Segment of NSE/BSE/MCX-SX

I/We are dealing in securities with you at NSE/BSE/MCX-SX in Cash, Derivative & Currency Segment and in order to facilitate ease of operations, I/We authorise you as under:

1. I/We authorise you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/ or against the value of cash margin or collateral shares provided to you by us.
2. I/We hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same of meeting margin/ pay - in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards our margin/future obligations at any or both the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf. I/We also authorise you to debit the financial charges@ 2% p.m. for the debit balances if any, in my/our account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your Demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
7. I/We will collect from your office Contract Notes, Bills, Securities, etc. as per our convenience.
8. I/We request that you may send/despatch me/us contract notes other documents through E -mail: on my/our designated e-mail address of _____.

We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute the same.

9. I/We will inform you the change my/ our my e-mail, if any, in future either by regd. post or through a digitally signed e-mail.
10. I/We authorize Mr./Ms. _____ to deal/transact on my/our behalf and to place order, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act(s) on my/our behalf which I/we can do and I/we the undersigned to hereby agree and declare and confirm that all the acts, and things done by him/ her or his/her substitutes shall be my/our acts, deed and things validity done by me/us to all intents and purposes.
11. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. I/ We agree that I/ We shall be fully liable and responsible for any such problems/ fault .
12. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
13. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
14. I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
15. All fines/penalties and changes levied upon you due to my acts/deeds or transactions maybe recovered by you from my account/
16. I/We have a Trading As well as depository relationship with BNR Capital Services Pvt. Ltd. Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reasons.

Yours faithfully,

Client Signature **7**

Client Name _____

DECLARATION FOR MOBILE NO.

I.....having PAN No..... do hereby declare that my mobile no. is Further, I authorize BNR Capital Services Pvt. Ltd. that the same may be used forgiving me any information/alert/sms/call.

I further declare the above mentioned statement is true and correct.

.....
(Signature of Client)

Name:

Client Code:.....

Address:.....

.....Phone No:.....

Date:.....

Verified by (to be done by.....)

Name of Employee.....

Signature.....
8

Date.....

CLIENT DEFAULTER DECLARATION

Dated : .

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

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

.....
(Signature of Client)

Name:

Client Code:.....

Date:

Signature.....
9

Client Name:.....

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

Do's and Don'ts while dealing in securities market

Dear Client

You are requested to go through carefully and understand the following do's and don'ts before you start dealing in securities market:

DO's: PRE-ACCOUNT OPENING

1. Always deal with market intermediaries registered with SEBI/ Exchanges.
2. It is very important that one should make himself/herself familiar with the rules, regulations, byelaws and circulars issued by Stock Exchange/ SEBI before entering into and/or carrying out any transaction.
3. Transact only through Stock Exchanges.
4. Please carry out due-diligence before registering as client with any intermediary. Client should carefully read and understand the contents stated in the Risk disclosure document, which forms part of investor registration requirement for dealing through brokers in stock market.
5. Clear all your doubts by raising your queries with the Relationship Manager prior to opening an account.

DON'Ts: PRE- ACCOUNT OPENING

1. Do not start trading until you have read and understood the Risk Disclosure Documents and Member-Client Agreement.

DO's: ACCOUNT OPENING

1. Please read and understand and thereafter execute the Member-Client Agreement with Globe, setting out the terms and conditions clearly.
2. Enter accurate and complete details in the form, fill up all fields. Do not leave any spaces blank.
3. All information provided should be factually correct and accurate since this will form the basis of your relationship with BNR Capital Services Pvt. Ltd.
4. Read and understand every document in the Registration kit carefully before signing.
5. Please provide accurate Email ID, Client ID, DP ID, Mobile Number, Contact Details and Bank account number.
6. The correspondence address should always be updated.
7. Submit your Permanent Account Number (PAN)
8. Understand the utility of maintaining a running account before signing the authorization for the same. Maintaining a Running Account with us is not compulsory.
9. Ensure that all details are correctly mentioned in the welcome letter sent by Globe after account opening.

DON'Ts: ACCOUNT OPENING

1. Do not sign the Member-Client Agreement without clearing your doubts in respect thereof.
2. Do not fill in wrong or incomplete details. Do not overwrite, cancell, misspell the details.

DO's: PRE- TRADING

1. Adopt trading / investment strategies commensurate with your risk bearing capacity, as all investments carry risk, the degree of which varies according to the investment strategy adopted.
2. Assess the risk-return profile of the investments as well as the liquidity and safety aspects before making and/or acting upon your investment decision.
3. Make investments based on your sound reasoning, after taking into account all publicity available information, fundamentals and information made available.
4. Check the veracity of the information available.
5. Access the websites of Companies and Regulators for information.
6. Keep copies of the Member Client Agreement and your trading account related documents.
7. Familiarise yourself with the rules, regulations and circulars issued by stock exchanges/SEBI before carrying out any transaction.
8. Ask all relevant question and clear your doubts with your broker before

transacting.

9. Please be informed that there are no guaranteed returns on investment in stock markets. Investment in Capital Market are subject to market risk.
10. Ensure that you have adequate balance before you buy.
11. Ensure that you are holding securities before you sell.
12. Exercise due caution while trading in illiquid shares or penny stocks or Z, T2T category stock.

DON'Ts : PRE- TRADING

1. Do not trade in any product without knowing and/or understanding the associated risks and rewards.
2. Do not influenced by information which is not originating from an appropriate source.
3. Do not believe any promises made about Assured Returns by employees or Sub-Broker or Authorized Persons or Marketing Associates.
4. Do not rely on any implicit/explicit promise made by the issuer or any third party or returns.
5. Do not be influenced into buying fundamentally unsound companies (penny stocks) based on sudden spurts in trading volumes or prices or non-authentic favorable looking articles/stories.
6. Do not match / synchronize trade with any other person for any thinly traded shares.
7. Do not be misled by rumors circulating in the market.
8. Do not indulge in any trading activity which results in disturbance of market equilibrium in any manner including manipulation of price of any scrips.
9. Do not follow the herd or play on momentum it could turn against you.
10. Do not be misled by so called hot tips.
11. Do not undertake deals for others or trade on your own name and then issue cheques from family members/friend accounts.
12. Do not pay in cash or do not issue a cheque in name of any employee of BNR Capital Services Pvt. Ltd. or any other person in respect of the transaction.
13. Do not get carried away by luring advertisements, if any.
14. Do not try to time the market.
15. Do not leave signed blank delivery instruction slips (DIS) of your depository account lying around carelessly or with anyone.
16. Do not sign blank DIS and keep them with Depository Participant or broker to save time. Remember your carelessness can be your peril.
17. Do not invest based on bull run of the market index/scrips of other companies in same industry/issuer company.
18. Do not start trading before reading and understanding the Risk Disclosure Documents.
19. Don't get misled by guarantees of repayment of your investments through postdated cheques.

DO's : TRADING

1. Call on the landline numbers of your local branch and give clear and unambiguous instructions while placing orders over the phone. In case our visit the branch office, kindly give your orders in writing.
2. Be vigilant in your transactions.
3. Be aware of the risk associated with you Cash Market and Futures & Options positions in the market and margin calls on them. In case of inadequate margin or nonpayment or margin in your account, your positions will be squared off by the Risk Management Team.
4. Please bear in mind that while it is our endeavor to inform you in case of a margin call, it is your responsibility to maintain margins will square up outstanding position in case of shortfall in margin and delay in payments.
5. Maintain secrecy of your password in case of Internet trading. Since you will be solely responsible for all transactions effected from its usage.

6. Maintain secrecy of your password in case of Internet trading, since you will be solely responsible for all transactions effected from its usage.
7. If at any point of time you received response for resetting password against request which has not been made by you, please call us at..... Customer Care Help desk immediately.
8. Following is the procedure for handling short deliveries in case the seller client fails to deliver securities in our Pool account within specified pay-in time limit against his/her pay-in/selling obligations:
 - (a) The short delivering client is debited by an amount equivalent to 10% above the closing rate of the day prior to Pay-in/Pay-out day. The securities delivered short are purchased from the market on T + 3 day which is the Auction day on Exchange, and the purchase consideration is debited to the short delivering seller client along with the reversal entry of provisional amount debited earlier.
 - (b) If securities can not be purchased from market due to any force majeure condition, the short delivering seller client is debited at the closing rate + 10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange debits and credits.

DONTs : TRADING

1. Do not give instructions which are not clear. They should be given verbally over recorded phone lines or in writing.
2. Do not forget to take note of risks involved in the investment.
3. Do not reveal our password to any other person.
4. Do not engage your self in any activity which is in the nature of intermediary such as sub-broker without proper registration with SEBI/Exchanges.

DO's: POST TRADING

1. Insist and ensure that for every executed trade your received duly signed contract note form your broker, highlighting the details of the trade, trade time and number, transaction price, brokerage along with your unique client-id, broker's name. Please note that the details or every executed trade are posted on our website in the form of digital contract notes on a daily basis. Access the website, wherever possible and satisfactory yourself in respect thereof.
2. Verify all details in contract notes, immediately on receipt. If you find any discrepancy, write to us at bnrcapital@rediffmail.com
3. Check you email account mentioned in the 'Know Your Client' form daily. All your account related information including trade confirmation, Contract Notes and margin calls will be emailed to you.
4. Cross check details of your trade with details as available on the Exchange website.
5. Insist on periodical statement of accounts for your scrutiny.
6. Pay the margin within the prescribed time. Collect/pay, your mark to market margins, on your positions, on a daily basis, from/to your Broker.
7. Ensure receipt of payment/deliveries within one working day of payout.
8. Deliver the shares in case of sale or pay the money in case of purchase before the pay-in day.
9. For payments, issue only crossed account payee cheque/DD/PO in name of BNR Capital Services Pvt. Ltd. Please ensure to write your full name on the back of the cheque & sign so as to disallow incorrect to any other account.
10. In case of disputes, please write to us at bnrcapital@rediffmail.com
11. Client should deliver securities for pay-in in our pool account and for margin in our beneficiary account only. Management shall not be responsible for any delivery or securities to any third party demat account including demat accounts of our sub brokers, employees, business development representative and business partners etc. our sub broker, employees, business development representative and business partners etc.

Client Name: _____

Place: _____

DONTs : POST TRADING

1. Do not make/take payment in cash.
2. Do not believe if an Globe Capital Market Ltd. representative tells you that margins are not required or payments on time need not be made.
3. Do not hesitate to approach BNR Capital Services Pvt. Ltd. help desk
Help desk can be contacted at 040-24755239
E-mail: bnrcapital@rediffmail.com
4. Do not delay payment/delivered of securities to Broker/Sub-Broker.
5. Do not accept unsigned contract notes or signed by an unauthorized person.
6. Do not pay more than the agreed brokerage to the intermediary.
7. Do not sign blank delivery instruction slip(s) while meeting security payin obligation.
8. Do not accept unsigned contract note or contract note signed by any unauthorized person.
9. Don't forego taking due documents of transactions, in good faith even from people whom your know.

DO's : DEPOSITORIES

1. Handle Delivery Instruction Slips (DIS) Books issued to you carefully.
2. Insist that the DIS numbers are pre-printed and your account number (client id) be pre-stamped.
3. While sending securities for demat, record the distinctive number of the securities sent.
4. Check the demat performance of the issuer company with your DP before deciding to send depository participant.
5. Scrutinize minutely both the transaction and the holding statements that you receive from your depository participant.
6. Always mention the details like ISIN, number of securities accurately. If in doubt, contact Depository Participant or your broker.
7. Authorize any corrections, over-writing or cancellation on the instruction slips by signing against the same.
8. Ensure that all joint holders of the demat account sign the slip.
9. If there is space for multiple instructions and it is not used full, please strike out the blank space for furnishing securities details.
10. Avoid over-writing, cancellations, misspellings, changing of the name and quantity of securities.
11. In case you are not transacting frequently make use of the freezing facilities

DONTs : DEPOSITORIES

1. Do not issue depository delivery instruction slip from any other family members/friends accounts. Issue the DIS only from your own depository account.
2. Do not sign blank Delivery instruction slip(s) while meeting security payin obligation.

DISCLAIMER

The information has been compiled to present the Client with a broad understanding of the subject and is general in nature. The Contents do not purport to explain or interpret Acts, Circulars, Rules, Regulations and Guidelines. The information is not intended as a source of advertising or solicitation and the contents of the same should not be construed as legal advice,

We make no warranty to any kind with respect to the subject matter included herein. We are not responsible for any actions (or lack thereof) taken as a result of relying on or in anyway using information contained herein and in no event shall we be liable for any damage or loss resulting from reliance or use of this information. Without limiting the above we shall each have no responsibility for any act, error or omission, whether such acts, errors or omissions result from negligence, accident or any other cause.

I hereby acknowledge that I have read and understood the above Do's and Don'ts

Client Signature: 10 _____

Date: _____