

BASIC DETAILS REQUIRED OF THE APPLICANT

Client Name _____

Mobile: _____ **Email Id:** _____

Occupation: _____

Annual Income: _____

Brokerage _____

Demat AMC Plan _____

Address: _____

CIN : _____

Address Proof: _____

PROOF REQUIRED FOR NON-INDIVIDUAL (Demat & Trading A/c)

COMPANY :

- ▶ Copy of Memorandum and articles of association.
- ▶ Certified true copy of the board resolution duly certified by managing director and Specifying the name of person authorized to open and operate the account.
- ▶ Names of all the authorized persons, signature, designation and the Photograph and list of Directors and Authorised signatories list with specimen signatures
- ▶ Id proof, Photo & address proof of all directors
- ▶ Pan card of the company & all directors.
- ▶ Address proof of company's registered & corporate office.
- ▶ Latest Bank statement & cancelled cheque (with MICR No.) of the company Bank A/c
- ▶ Copy of the balance sheets for the last 2 financial Years and Annual Return for last 2 Years
- ▶ Form 32 required, if change in director's
- ▶ Copy of latest share holding pattern including list of all those holding more than 5% 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).
- ▶ Net-Worth Certificate
- ▶ Contact No. & Email Id of company require
- ▶ All the document's should be self certified with company stamp

HUF / Trust / Partnership Firm

HUF

- ▶ 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

Trust

- ▶ Copy of the balance sheet for the last 2 financial years (to be submitted every year)
- ▶ Certificate of registration (for registered trust only) Copy of Trust deed
- ▶ Photograph, POI, POA, PAN of Trustees

Partnership Firm

- ▶ Copy of the balance sheet for the last 2 financial years (to be submitted every year)
- ▶ Certificate of registration (for registered Partnership firms only)
- ▶ Copy of Partnership deed
- ▶ Authorized signatories list with specimen signatories
- ▶ Photograph, POI, POA, PAN of Trustees

1. What do you prefer?

- ☐ Online Trade ☐ Call and Trade

2. What is your purpose of opening an account?

- ☐ Active Trader ☐ Investment in IPO only
☐ For Investment purpose ☐ Limited Opportunity
☐ Future & Option Trading

3. Which of the following financial products are you using at present?

- ☐ Insurance ☐ PPF / RD
☐ FD ☐ Mutual Funds
☐ Real Estate ☐ Other Metals
☐ Bonds

4. Any feedback & suggestions from your existing investment?

5. With respect to your age, have you already planned your coming 10-15 years?

For Office use only - Internal Track sheet

1. Receipt of form	<input type="checkbox"/> Branch Office	<input type="checkbox"/> Head Office	
2. Verified by Sales Department	Name _____	(sign & date) _____	
3. Account opening Department	Name _____	(sign & date) _____	
4. Uploaded at CVLKRA	Name _____	(sign & date) _____	
5. Uploaded at CKYC	Name _____	(sign & date) _____	
6. Whether uploaded on terminal	Name _____	(sign & date) _____	
7. Backoffice	Name _____	(sign & date) _____	
8. Documents (mentioned in point no 10 to 15 in Index) sent through mail, welcome email and SMS	Send by _____	(log checked by) _____	
9. Final Approved by	Name _____	(sign & date) _____	

DEBIT AUTHORISATION

To,
INDO THAI SECURITIES LIMITED
"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171,
PU-4, Scheme No. 54, **INDORE** - 452010 (M.P.)

Subject : Authority to debit the D-mat Account Charges.

Beneficiary Client ID	1 2 0 5 0 9 0 0 -	(Indo Thai Securities Ltd.)
Trading Account Code		

Dear Sir,

1. I/We have a beneficiary account with Indo Thai Securities Ltd. (DP) with client ID as mentioned above.
2. Further I/We have trading account with Indo Thai Securities Ltd. (trading account codes mentioned above) for investment and trading purpose.
3. I/We find it extremely inconvenient to issue cheques for the depository bills and client Registration Charges etc for my / our BO account mentioned above.

Therefore I/We hereby authorize you to debit my / our Trading Account Maintained with Indo Thai Securities Ltd. , for the dues against my/our above BO a/c. for depository Bills and other charges. Any such sum credited to my/our DP account shall be binding on me/us.

Thanking You

Yours Faithfully,

Clients Signature 

Client Name

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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
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4.	Account Opening Form for Trading & Depository	This Document capture the additional information about the client for opening Trading & Dmat Account	6-10
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9.	Form For Registration and Verification of Mobile number and Email Address Owner and Depository participant as prescribed by SEBI and Depositories	Consent letter receive details of trades executed on exchange true SMS/ Email alerts directly from exchanges.	17
10.	Risk Disclosure Documents (RDD	Document detailing risks associated with dealing in the securities market.	Softcopy available on Website of the Company as well as be send on Email ID provided by the client
11.	Rights and Obligations of Stock Brokers, Sub Brokers, and clients as prescribed by SEBI and Stock Exchanges	Document stating the Rights & Obligations of stock broker /trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet /wireless technology based trading).	
12.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	
13.	Terms and Conditions for availing Transaction using Secured Texting (TRUST)	Document describing Terms and Conditions for availing Transaction using Secured Texting (TRUST)	
14.	Guidance note on Do's and Don't for the investors	Document detailing do's and don'ts for trading on exchange, for the education of the investors,	
15.	Declaration for open position	Declaration by the client for their open position in commodity contact/ commodity derivative contacts. (HINDI)	
VOLUNTARY DOCUMENT AS PROVIDED BY STOCK BROKER			
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KYC FORM RECEIPT

To,
INDO THAI SECURITIES LIMITED
"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171,
PU-4, Scheme No. 54, **INDORE** - 452010 (M.P.)

Subject : Acknowledgement of Receipt of a Copy of KYC & Other Documents.

Dear Sir,

This is to acknowledge that I / We _____
with trading code _____ have received a copy of the duly completed
Client Registration Form (KYC) and all other mandatory and voluntary documents viz. Rights and Obligations
Documents, Risk Disclosure Documents (RDD), Guidance notes, Policies and Procedures, Terms and Conditions cum
Registration/Modification form for Receiving SMS alerts from CDSL, Terms and Conditions for availing Transaction
using Secured Texting (TRUST), as available on the website of the Company.

The above mentioned mandatory documents are also provided on email ID provided by me in KYC documents and copy
of other documents executed by me/us as a client.

I / We hereby declare that I / We have the full intimation of trading code and email id for the purpose of receiving
electronic contract note and other.

Thanking you

Client's Signature  ② _____

Client Name _____

ACKNOWLEDGMENT RECEIPT

Application No.:

Date:

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

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

For **INDO THAI SECURITIES LTD.**



IndoThai
trade with confidence

INDO THAI SECURITIES LIMITED

MEMBER	MEMBERSHIP NUMBER
NATIONAL STOCK EXCHANGE OF INDIA LTD. (NSE)	07767
BOMBAY STOCK EXCHANGE LTD. (BSE)	3236
METROPOLITAN STOCK EXCHANGE OF INDIA LTD. (MSEI)	16100
NATIONAL COMMODITY & DERIVATIVES EXCHANGE LTD. (NCDEX)	01272
MULTI COMMODITY EXCHANGE OF INDIA LTD. (MCX)	56495

REGISTERED OFFICE & CORRESPONDENCE ADDRESS :

"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171, PU-4,
Scheme No. 54, **INDORE** - 452010 (M.P.) • Ph.: (0731) 4255800 - 801
• E-mail : indothaigroup@indothai.co.in • Website : www.indothai.co.in

- CLEARING MEMBER FOR NSE (CDS) - INDO THAI SECURITIES LTD. "CAPITAL TOWER" 2nd Floor, Plot No. 169A-171, PU-4, Scheme No. 54, Indore - 452010 (M.P.)	- CLEARING MEMBER FOR MSEI (CDS) -GLOBE CAPITAL MARKET LTD. Regd. Off.: 710, Ansal Bhawan, 16, K.G. Marg, Cannaught Place, New Delhi-110001
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- CLEARING MEMBER FOR NSE (F&O), (COMMODITY), NCDEX, MCX

EDELWEISS CUSTODIAL SERVICES LTD.

Regd. Off.: Edelweiss House, Off. C.S.T. Road, Kaliva, Mumbai-400098 Maharashtra

INDO THAI SECURITIES LIMITED

COMPLIANCE OFFICER :	CHIEF EXECUTIVE OFFICER (CEO)
Name : HEMANT AGRAWAL Phone No. : (0731) 4255813 E-mail : compliance@indothai.co.in	Name : DHANPAL DOSHI Phone No. : (0731) 4255803 E-mail : ghanpaldoshi@indothai.co.in

Exchange	Segment	Single SEBI Registration No.	Regd. Date
NSE	CM, F&O, CDS, Commodity	INZ 000194938	21-08-2018
BSE	CM		
MSEI	CDS		
NCDEX, MCX	COMMODITY		

FOR ANY GRIEVANCE / DISPUTE

please contact

Indo Thai Securities Limited at the above address or

email id - compliance@indothai.co.in and Phone no. 0731-4255813

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

Exchange Name	Email ID	Phone No.
NSE	ignse@nse.co.in	Toll free : 1800220058 (022) 26598190 / (0731) 6725100 (Indore Office)
BSE	is@bseindia.com amit.keshri@bseindia.com (Indore Office)	022 - 22728097 / 22728517 9977069237 (Indore Office)
MSEI	investorcomplaints@msei.in	(022) 61129000 (Ext. 9028)
NCDEX	askus@ncdex.com	(022) 66406789
MCX	grievance@mcxindia.com	(022) 67318888/9497

Disclosure on Proprietary Trading : We hereby disclose that we do client based business as well as Proprietary Trading.

INSTRUCTIONS /CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

- 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).
- Unique Identification Number (UID) (Aadhaar)/Passport/Other ID card/Driving license
- Identity card/ document with applicant's Photo, issued by any of the following:
Central/State Government and its Departments, Statutory/Regulatory Authorities Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

F. In case of Non-Individuals, additional documents to be obtained from Non-individuals, over & above the POI & POA, as mentioned below :

Types 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/Government Bodies	<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

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- 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.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:


- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- 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.

Details of Promoters/Partners/Authorised Signatory/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

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Sr. No.	01	02	03	04	05
PAN					
Name					
DIN (For Directors)/ UID (For Others)					
Residential/ Registered Address					
Relationship with Applicant (i.e. promoters, whole time directors etc.)					
Whether Politically Exposed	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO
	Photograph	Photograph	Photograph	Photograph	Photograph

 ④ _____

Name & Signature of the Authorised Signatory(ies)

Date

d	d
---	---

 /

m	m
---	---

 /

y	y	y	y
---	---	---	---


PEP: Politically Exposed Person

REP: Related to Politically Exposed Person

ONLY FOR HUF CLIENTS

DATE : _____

LIST OF CO-PARCENERS

S. No.	Name	Sex	Date of Birth	Relation	Signature
1.				KARTA	
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					

*** In Case of Minor Guardian Can Sign
Name & Signature With Seal (Karta-HUF)**



ACCOUNT OPENING FORM FOR TRADING & DEPOSITORY

Group Code & Name: _____ City _____ Remiser Code & Name : _____

[illegible]

I/We request you to open a ☐ Trading & Demat Account ☐ Trading Account

A. TYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Body Corporate ☐ FI ☐ FII ☐ Qualified Foreign Investor ☐ Mutual Fund ☐ Trust ☐ Bank ☐ CM ☐ Others

☐ HUF ☐ Partnership Firm ☐ Registered Trust ☐ Unregistered Trust ☐ AOP ☐ LLP ☐ OCB

SEBI Registration No.(If applicable)		SEBI Registration Date									
RBI Registration No. (If applicable)		RBI Approval Date									
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify) _____										

B DETAILS OF ACCOUNT HOLDERS IN CASE OF TRADING ACCOUNT (Please fill all the details in CAPITAL letters only)

Name of the Client | | | | | | | | | | | | | | | | | | | | | |

C DETAILS OF ACCOUNT HOLDERS IN CASE OF DEPOSITORY ACCOUNT

(In Case of Partnership/LLP/AOP/Trust/HUF, account would be in the name of partner or trustee or karta)

[illegible]

Second Holder

Third Holder | | | | | | | | | | | | | | | | | | | | | |

[illegible]

Name*

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

D. STANDING INSTRUCTIONS

1.	Consent to receive credits automatically into my/our Account. (If not ticked, the default option would be “Yes”)	<input type="checkbox"/> Yes <input type="checkbox"/> No.
2.	Account to be operated through power of attorney (POA)	<input type="checkbox"/> Yes <input type="checkbox"/> No.
3.	Consent to send Electronic Transaction-cum-Holding Statement at Sole/First Holder’s email id given below Email ID : _____	<input type="checkbox"/> Yes <input type="checkbox"/> No.
4.	Consent to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No.
5.	Consent to avail of the facility of internet trading / wireless technology	<input type="checkbox"/> Yes <input type="checkbox"/> No.
6.	Mode of receiving Annual Reports & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account)	
7.	Mode of receiving Contract Notes & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account)	
8.	Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC/CH			
Clearing Member ID		Trading Member ID	
I/We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes	<input type="checkbox"/> No

E. BANK ACCOUNT DETAILS

DEFAULT BANK	ADDITIONAL BANK
Bank Name _____	Name & Address : _____
Branch & Address : _____	_____
Account No.	Account No.
Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____	Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____
MICR Code	MICR Code
IFSC Code	IFSC Code

F. DEPOSITORY ACCOUNT DETAILS (Transactions would be generally routed through the below demat account.) (Default for Payout)

Depository : NSDL ☐ CDSL ☐ DP Name: _____

Beneficiary Name: _____ DP ID : | | | | | | | | BO ID: | | | | | | | |

G. OPTION FOR ISSUANCE OF DIS BOOKLET (*Please refer to the details in Tariff Sheet)

Option 1 : ☐ I/we wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

Option 2 : ☐ I/we do not wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.

Details of any action/proceedings initiated / pending /taken by SEBI/Stock Exchange /any other authority against the Client or its partners/Promoters/Whole Time Director/Authorised Signatory in charge of dealing in securities during the last 3 years for violation of securities law/other economic offences (including action taken against relatives/associates) _____









H. INVESTMENT / TRADING EXPERIENCE & PREFERENCE

☐ No Prior Investment Experience ☐ Years in Equities ☐ Years In Derivatives ☐ Years in other Investment Related Field

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

I. TRADING PREFERENCES :

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

Segments	NSE	BSE	NCDEX	MCX	MSEI
Cash	 5	 9	NA	NA	NA
Futures & Option	 6	NA	NA	NA	NA
CDS	 7	NA	NA	NA	 12
Commodity	 8	NA	 10	 11	NA

J. SMS Alert facility

Refer to Terms and Conditions
(given as Annexure)

Mobile No. +91 _____
(Mandatory, if you are giving Power of Attorney {POA})
(If POA is not granted and you do not wish to avail this facility, ignore this option)

K. Transaction Using Secured texting facility (Trust)

Refer to Terms and Conditions
(provided on website of the company)

I wish to avail the TRUST facility using the mobile no. registered for SMS Alert facility.
I have read and understood the terms and conditions prescribed by CDSL for the same.

Yes ☐ No ☐

I/We wish to registered the following clearing member IDs under my/our below mention BO ID registered for TRUST

Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

L. Easi

To Register for easi, please visit our website **www.cdslindia.com**
easi allow a BO to view his ISIN balances, transactions and value of the portfolio online

M. INTRODUCER DETAILS			
Name & Address of the Introducer:			
Status of the Introducer: Sub-broker/ Remisier/ Authorised Person/ Existing Client/ Director or Employee of Trading Member/ any other Person (Please Specify) _____ Mobile No. / Tel. No. : _____			
Proof of Identity (POI) : <input type="checkbox"/> PAN No. <input type="checkbox"/> Passport No. <input type="checkbox"/> Driving Licence <input type="checkbox"/> Voter ID _____			
Signature: _____			

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER																								
Gross Income Range Per Annum (Rs. in Lakhs)	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> >1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> >1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> >1cr																								
Networth: (should not be older than 1 year)	Amount (Rs.) _____ As on date <table border="1" style="display: inline-table; text-align: center; width: 100px;"> <tr><td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr> </table>	d	d	m	m	y	y	y	y	Amount (Rs.) _____ As on date <table border="1" style="display: inline-table; text-align: center; width: 100px;"> <tr><td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr> </table>	d	d	m	m	y	y	y	y	Amount (Rs.) _____ As on date <table border="1" style="display: inline-table; text-align: center; width: 100px;"> <tr><td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr> </table>	d	d	m	m	y	y	y	y
d	d	m	m	y	y	y	y																				
d	d	m	m	y	y	y	y																				
d	d	m	m	y	y	y	y																				
Sources of Wealth / Income	<input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Royalty <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Royalty <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Royalty <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____																								
Details in case of Employed /Business / Professional (Name of Employer / Establishment & Address & Nature of Business)	Name & Add. : _____ _____ _____ Nature : _____	Name & Add. : _____ _____ _____ Nature : _____	Name & Add. : _____ _____ _____ Nature : _____																								
Additional Details, if applicable. <small>(Please tick one or more as applicable)</small>	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)																								
Any other information	_____	_____	_____																								
Mobile Number Declaration	I hereby declare that the Mobile number as per KRA/ KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____	I hereby declare that the Mobile number as per KRA/ KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____	I hereby declare that the Mobile number as per KRA/ KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____																								
Email ID Declaration	I hereby declare that the Email ID as per KRA/ KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____	I hereby declare that the Email ID as per KRA/ KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____	I hereby declare that the Email ID as per KRA/ KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____																								

FATCA Declaration			
Is your Tax Residency/ Country of Birth /Citizenship /Nationality other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____

If yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below:

Country of Tax Residency#			
Tax Identification Number*			
Identification Type			

Country of Tax Residency#			
Tax Identification Number*			
Identification Type			

#To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA.

*Incase tax identification number is not available, kindly provide its functional equivalent

N. DEALINGS THROUGH SUB-BROKERS/AUTHORISED PERSON & OTHER STOCK BROKERS ☐ No ☐ Yes (If yes, please mention details below)

Name of Sub-broker/ Authorised Person : _____

Registration No: NSE

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 BSE

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 MSEI

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R.O. Address: _____ Tel.: _____ Fax: _____ Website: _____




Whether registered with any other Stock Broker / Sub-broker/Authorised Person (If registered with multiple Stock Broker/Sub-broker, provide all details)

Name of Broker: _____ Name of Sub Broker/AP: _____

Name of Exchange: _____ Client Code No.: _____

DECLARATION

- I/we hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case of any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I may be held liable for it.
- I/we confirm having read, explained and understood the contents of policies and procedures, terms & conditions governing Stock Broker, Risk Disclosure Documents & Do's & Don't's for trading on the Exchanges, Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants as available on the website i.e. www.indothai.co.in of the company. I am further aware that a copy of terms & conditions governing Stock Broker, Risk Disclosure Document, Do's & Don't's for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document.
- I/we have read and agree to be bound by the Rules, Regulations, bye laws, circulars and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository and Depository Participant pertaining to my trading and demat account, as are in force from time to time.
- I/we understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/we shall seek advice from professional tax advisor for any tax questions. Further, I/we agree to submit a new form within 30 days if any information or certification on this form gets changed. I/we agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CDDT or close or suspend my account.
- I/we confirm having read and understood the guidelines pertaining to BSDA and is eligible to open a depository account as a BSDA holder. I will comply with the said guidelines and that in case my/our Demat Account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to Regular Demat Account without further reference to me / us and will be levied charges as applicable to regular accounts (applicable only if consented for BSDA facility).

	Name(s) of holder(s)/client	Designation	Specimen Signature(s) with Co. Rubber Stamp
Sole/First Holder			
First Signatory			
Second Signatory			
Third Signatory			

Mode of Operation for Authorised Signatories (in case of Multiple Signatories, all the holders must sign)			
<input type="checkbox"/> Any one singly		<input type="checkbox"/> As per resolution	
<input type="checkbox"/> Jointly		<input type="checkbox"/> Others (please specify)	

FOR OFFICE PURPOSES

UCC Code allotted to the Client:

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Staff / Sub-Broker / Authorised Person			
Staff Code			
Designation of the Staff			
Date			
Signature			

I/ We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/ We have also made the client aware of 'Rights and Obligations' document(s) of stock broker and depository participant, RDD and guidance note and terms and conditions provided a softcopy of the same. I/ We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/ We also undertake that any change in the 'Rights and Obligations', Terms and Conditions and RDD would be made available on our website, if any, for the information of the clients.

For : **Indo Thai Securities Ltd.**

Signature of Authorised Signatory

Date ____/____/____

**TARIFF SHEET
EQUITY CASH SEGMENT**

CASH				
BROKERAGE	NSE		BSE	
	Normal %	Minimum Paisa	Normal %	Minimum Paisa
Daily Square up				
Delivery Based				

FUTURES				
EQUITY (FUTURES) DERIVATIVES SEGMENT				
BROKERAGE	NSE FUTURES			
	Normal %		Minimum Paisa	
Daily Square up				
Carry Forward/Delivery				

OPTIONS				
EQUITY (OPTIONS) DERIVATIVES SEGMENT				
BROKERAGE	NSE OPTIONS			
	Minimum Rs. Per Lot		Normal %	
Daily Square up				
Carry Forward				

FUTURES & OPTIONS								
CURRENCY DERIVATIVES SEGMENT								
BROKERAGE	NSE (FUTURES)		MSEI (FUTURES)		NSE (OPTIONS)		MSEI (OPTIONS)	
	Mini. Rs.	Normal %	Min.Rs.	Normal %	Min.Rs.	Normal %	Min.Rs.	Normal %
Daily Square up								
Carry Forward								
Per Lot								

COMMODITY				
	NCDEX	MCX	NSE	REMARKS (If any)
BROKERAGE IN %				
Delivery Brokerage				
OTHER CHARGES				
STATUTORY LEVIES (AS APPLICABLE)	(AS APPLICABLE)	(AS APPLICABLE)	(AS APPLICABLE)	

NOTES :

1. In Addition to above, GST as applicable on brokerage charged to client is payable by client.
2. In case of sale of option in securities, where option is exercised STT is payable@0.125% on Option Premium.
3. All statutory levies mentioned above are subject to change from time to time by relevant authority (ies).

Signature of Client  _____

Name of Client _____

Date _____ Place _____

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

Definitions:

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

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

Availability:

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

Receiving Alerts:

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

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOLD

1	2	0	5	0	9	0	0								
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(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+	9	1												
---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of: _____

Email ID: _____

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

Signatures Sole / First Holder

Second holder

Third Holder

Place : _____

Schedule of Charges for Depository Account

S. No.	Particulars	Tariff-Scheme A (With or without POA)	Tariff-Scheme B (With POA)	Tariff-Scheme C (With POA)	Tariff-Scheme D (With POA)
1.	KYC & Stationary charges	Nil	Nil	Nil	Nil
2.	Stamp & Legal Charges	Nil	Nil	Nil	Nil
3.	POA Stamp & Legal charges	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-
4.	Annual Account Maintenance charges	Rs.300/- P.A.	Rs.555/- for 3 Years	Rs.1000/- for 5 Years	Interest free Deposit of Rs. 10,000/- non refundable
4A	Corporate	Rs. 1500/- P.A.	Rs. 1500/- P.A.	Rs. 1500/- P.A.	Rs. 1500/- P.A.
5.	D-mat Charges	Rs. 100/- Per Certificate+ Courier Charges Rs.50/-, Min. 10/- per request.	Rs. 100/- Per Certificate+ Courier Charges Rs.50/-, Min. 10/- per request.	Rs. 100/- Per Certificate+ Courier Charges Rs.50/-, Min. 10/- per request.	Rs. 100/- Per Certificate+ Courier Charges Rs.50/-, Min. 10/- per request.
6.	R-mat Charges	Rs. 25/- per certificate for every 100 securities or part thereof, whichever is higher, Max. Rs.5,00,000/-+ Rs.50/- courier charges.	Rs. 25/- per certificate for every 100 securities or part thereof, whichever is higher, Max. Rs.5,00,000/-+ Rs. 50/- courier charges.	Rs. 25/- per certificate for every 100 securities or part thereof, whichever is higher, Max. Rs.5,00,000/-+ Rs. 50/- courier charges.	Rs. 25/- per certificate for every 100 securities or part thereof, whichever is higher, Max. Rs.5,00,000/-+ Rs. 50/- courier charges.
7.	Transaction Charges : (Per ISIN) Purchase/Credit	Nil	Nil	Nil	Nil
7A	Transaction Charges (Per ISIN) Sell within Indo Thai Group	Rs.12.50/- or 0.03% of Market Value (With POA), Rs. 25/- or 0.03% of Market Value (Without POA)	Rs.12.50/- or 0.03% of Market Value	Rs.12.50/- or 0.03% of Market Value	As per CDSL
7B	Transaction Charges:	Rs.20/- or 0.03% of Market Value	Rs.30/- or 0.03% of Market Value	Rs.30/- or 0.03% of Market Value	Rs.30/- or 0.03% of Market Value
8.	Pledge Creation (Per ISIN)	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-
9.	Pledge Closing (Per ISIN)	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-
10.	Pledge Invocation (Per ISIN)	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-
11.	Free Statement of Account	In case of Transaction-Monthly. For Nil Transactions Yearly	In case of Transaction-Monthly for Nil Transactions Yearly	In case of Transaction-Monthly for Nil Transactions Yearly	In case of Transaction-Monthly for Nil Transactions Yearly
12.	Extra Statement on Request	Rs. 25/- for Physical Statement, Nil for electronic Statement	Rs. 25/- for Physical Statement, Nil for electronic Statement	Rs. 25/- for Physical Statement, Nil for electronic Statement	Rs. 25/- for Physical Statement, Nil for electronic Statement

Notes :

- All the charges would be calculated for the transactions as Computed by CDSL.
- All taxes / levies / Cess as applicable will be charged extra.
- Annual Maintenance Charges are due for 7 days or more, the execution of delivery instructions may be stopped.
- In case the outstanding charges are due for 7 days or more, the execution of delivery instructions may be stopped.
- Rs.50/- will be charged for issue of new DIS booklet in lieu of the one lost by BO
- Failed instruction Rs. 10/-
- Freeze and unfreeze charges Rs.50/-
- On request of loose DIS charges will be Rs.20/-
- Rates are subject to revision from CDSL, Further Indo Thai Securities Limited reserves the right to amend the tariff at any given point of time.
- Client master modification charges Rs. 50/- per request.

BO ID No : 12050900

Client Trading Code No.

I / We opt for the Tariff Scheme ☐ A ☐ B ☐ C ☐ D (Tick as applicable)

Signature/s BO

1st Holder 

2nd Holder 

3rd Holder 

/ We agree & enclose a Cheque No. _____ Dated _____ of Rs. _____

Drawn on bank _____ against above option.

**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.

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.

1st Holder  ⑩ _____ 2nd Holder  _____ 3rd Holder  _____

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.
27. 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

1st Holder  (17)

2nd Holder 

3rd Holder 

FORM FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND EMAIL ADDRESS

To,

Date : _____

INDO THAI SECURITIES LTD.

"Capital Tower" 2nd Floor, Plot Nos. 169A-171,

PU-4, Scheme No. 54, Behind C-21 Mall, INDORE - 452010 (M.P.)

Dear Sir,

I/We, _____ a Client with
Indo Thai Securities Limited, Member ID : **56495** of NCDEX, **01272** of MCX, **07767** of NSE, **3236** of BSE undertake as follows:

1. I/we are aware that Commodity Exchanges provides the details of the trades executed on its trading platform to the concerned clients/ constituents through SMS and E-mail alerts.
2. I/We are aware that Member has to provide the trade details through SMS / E-mail alerts for my convenience at my request only.
3. I/We hereby confirm that I/We wish to receive the trade alerts through:

a. SMS : ☐

b. E-mail : ☐

c. SMS and Email : ☐

4. The alert should be sent on

a. Mobile Number : _____

b. Email Address : _____

I/We hereby agree to the terms and conditions specified by the exchange vide circular No. NCDEX/COMPLIANCE-007/2012/ 093, MCX/T&S/165/2012, and circular / clarifications issued by the Exchange from time to time in this regard. We are also aware that this is an additional facility provided by the exchange and we shall not solely rely or use such data for any purpose and, Exchange shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

Client Name : _____

Unique Client Code : _____

PAN : _____

Client Signature :  (18) _____



VOLUNTARY DOCUMENTS


VOLUNTARY DOCUMENTS	POWER OF ATTORNEY
----------------------------	--------------------------

STAMP

(To be signed only by clients having their trading account with in Indo Thai Securities Ltd.)


Power of attorney for pay-in of securities for the purpose of settlement obligation

To all to whom these present shall come I / We _____ whereas

I/We hold a Beneficiary Owner Account No. 12050900 _____ (BO-ID) with Central Depository Services (India) Limited, through Indo Thai Securities Ltd, bearing DP-ID-12050900 and whereas I/We am /are an investor (s) engaged in buying and selling of securities through Indo Thai Securities Ltd a member of **NSE (SEBI Regd. No. INB 230776739), BSE(SEBI Regd. No. INB010776731)** and Trading Account (client code) _____ and whereas due to exigency and paucity of time, I/ We am/are desirous of appointing an agent /attorney to operate the aforesaid beneficiary account on my /our behalf for a limited purpose in the manner hereinafter appearing.  (19) _____

NOW KNOW WE ALL AND THESE PRESENTS WITNESS THAT I/WE THE ABOVE NAMED DO HEREBY NOMINATE CONSTITUTE AND APPOINT INDO THAI SECURITIES LTD. as my/our true and lawful attorney (hereinafter referred to as the attorney) for me /us and on my/our name to do, at my/our risk and costs, the all such acts, deeds and things and exercise the following powers and authorities 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.

1. To instruct the DP to debit securities to said account and/ or transfer securities from the said account, to the extent of shares sold through Indo Thai Securities Limited for pay-in/settlement obligations as well as for margins toward any stock exchange both in cash and derivatives segments to any of the demat account(s) existing as of the day or which maybe opened in future by Indo Thai Securities Limited for above purpose(s). The details of accounts are as under:

S.No.	DP Name	Account Type	D.P. ID	CLIENT ID	Signature
1.	Indo Thai Securities Ltd.	Pool a/c	12050900	00000305	 (20) _____
2.	Indo Thai Securities Ltd.	Early pay-in (NSE)	11000011	00016871	
3.	Indo Thai Securities Ltd.	Early pay-in (BSE)	11000010	00020744	
4.	Indo Thai Securities Ltd.	Collateral A/c	12050900	00060802	
5.	Indo Thai Securities Ltd.	Client MTS A/c	12050900	00067280	
6.	Indo Thai Securities Ltd.	Client Collateral A/c MTS	12050900	00067295	
7.	Indo Thai Securities Ltd.	Client Collateral A/c	12050900	00067301	

2. To return the securities to me/my accounts by Indo Thai Securities Ltd.(as stock broker) that may have been received by it (i.e., stock broker) erroneously or those securities that it (i.e., stock broker) was not entitled from me.
3. To authorize Indo Thai Securities Ltd. To send in a daily basis, consolidated summary of my scrip-wise buy and sell position taken with average rates to me by way SMS/email on my mobile phone/email, if any, as intimated by me from time to time, notwithstanding any other document to be disseminated as specified by SEBI from time to time. And I/we hereby agree and reconfirm that the above powers and authorities shall include the authority to debit securities to the said account and/or transfer securities from the said account and/ or transfer securities from the said account, to the extent of shares and sold through Indo Thai Securities Ltd. for pay-in obligations well as for margins toward any stock exchange
 - i.) For which new membership is taken and/or
 - ii.) For which any new account is opened
 by Indo Thai Securities Ltd., both in cash and derivatives segments. The account number/s of such account numbers shall form a part of this POA.

And further I/we hereby agree and confirm that the powers and authorities conferred by this "Power of Attorney" shall continue until I/we have given intimation in writing to the contrary, to the DP. However such revocation shall not be applicable for any outstanding margin/delivery obligation arising out of the trades carried out prior to receiving request for revocation POA.

I/ we the above named do hereby further nominate, constitute and appoint Indo Thai Securities Ltd. as my/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, at my/our risk and costs, the all such acts, deeds and things and exercise the following powers 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.

- A. To apply for (both allotment or redemption of) various products like Mutual Funds, Public issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to the instruction given by me.
- B. To pledge the securities held by me/us in my/our account or held by Indo Thai Securities Ltd. on my/our behalf in favour of any exchange and/or Indo Thai Securities Ltd. and Indo Thai Securities Ltd. may deem fit for the purpose of meeting my/our margin/ settlement requirements pertaining to the trades executed by me/us on any stock exchange through Indo Thai Securities Ltd.

(Signed and Delivered - by the within named)

1st holder  _____

2nd holder  _____

3rd holder  _____

Witness 1. Signature _____ Witness 2. Signature _____

Name _____ Name _____

Address _____ Address _____

Place : _____

Date : ____/____/____

Registration No.: _____

For **INDO THAI SECURITIES LTD.**

To,
INDO THAI SECURITIES LIMITED
"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171, PU-4,
 Scheme No. 54, **INDORE** - 452010 (M.P.)
 Dear Sir,

1. Mandate to issue contracts in Digital format and ECN Consent

I/We hereby agree and consent to accept the contract notes for transactions carried on by me/us with you, in terms of the mandatory and voluntary client registration document entered into between us, in Digital form, Digital contracts issued by you as per the terms and conditions mentioned at the end of this letter shall be binding on me. I/We undertake to check the contract notes and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes. Non verification or not accessing the contract notes on regular basis shall not be reason for disputing the contract notes at any time. This instruction to issue digital contract note is applicable with immediate effect.

ECN Consent : I/We hereby authorize you to send all my contract notes, bills, other Delivery Position, ledger statement to my/our below mention e-mail id therefore please do not dispatch physical copy of my contract notes / bills / ledger statement at my postal address.

My/our E-mail ID is _____

Alternate E-mail ID is _____

(Any change in E-mail ID shall be communicated by me / us through a physical letter to you)

2. Authority to debit the demat accounting charges


Beneficiary Client ID _____

Trading Account Code _____

We have a beneficiary & trading account with Indo Thai Securities Limited with client ID & trading code as mentioned above for investment and trading purpose. I hereby authorize you to debit the trading account maintained with Indo Thai Securities Ltd. for the demat charges payable to Indo Thai Securities Ltd., As depository participant for providing depository services any such sum debited to my/our account shall be binding on me/us.

3. I/We are dealing in Securities with you at NSE, BSE & MSEI in CM/Derivatives & Currency Derivatives Segment in order to facilitate ease of operations, I/We authorised you as under :

- a. 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.
- b. 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.
- c. I/We request you to settle my fund and securities account except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipts & in the case of margin trading facility also, as below:
 Calendar Quarter ☐ Max Gap Should be <90 days
 Calendar Month ☐ Max Gap Should be <30 days
- d. 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 meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
- e. 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 preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
 I/We confirm you that I can revoke the above mentioned authority at any time by giving written notice to your registered office.
- f. Transfer my/our debit/credit balance to my/our another account maintained in capital market with you.
- g. I do not require separate confirmation slip for order/trade alteration/modification/cancellation/confirmation.
- h. I also authorised you debit the delay payment charge @ 0.06% per day for the debit balance in my account & not settled as per exchange norms. Liable ID pay delay payment charges for not making

Client's Signature  _____ Client Code _____

Name of Client _____ Date : _____

Dear Customer,

Thank you for opting our offer to send you the contract notes in the digital Form. For availing the facility of digital contract notes following are the terms and conditions. Please sign it as an acceptance to it.

1. The Digital Contract notes will be issued in digital form in compliance with guidelines issued by SEBI/Exchange from time to time.
2. Digital Contract notes will be mailed at the E-mail address provided to us in KYC and / or the format as may be prescribed by the Exchange from time to time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent to the branch or to email ID - compliance@indothai.co.in preferably within 24 hours of issuance of digital contract notes.
5. Any changes in the terms and conditions shall be intimated from time to time
6. Digital contact notes will also be available at www.indothai.co.in Client can view the ECN using the user name & password through the above website.

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To,

INDO THAI SECURITIES LIMITED

"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171, PU-4,

Scheme No. 54, INDORE - 452010 (M.P.)

Dear Sir,

1. Mandate to issue contracts in Digital format and ECN Consent

I/We hereby agree and consent to accept the contract notes for transactions carried on by me/us with you, in terms of the mandatory and voluntary client registration document entered into between us, in Digital form, Digital contracts issued by you as per the terms and conditions mentioned at the end of this letter shall be binding on me. I/We undertake to check the contract notes and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes. Non verification or not accessing the contract notes on regular basis shall not be reason for disputing the contract notes at any time. This instruction to issue digital contract note is applicable with immediate effect.

ECN Consent : I/We hereby authorize you to send all my contract notes, bills, other Delivery Position, ledger statement to my/our below mention e-mail id therefore please do not dispatch physical copy of my contract notes / bills / ledger statement at my postal address.

My/our E-mail ID is _____

Alternate E-mail ID is _____

(Any change in E-mail ID shall be communicated by me / us through a physical letter to you)

2. Authority to debit the demat accounting charges


Beneficiary Client ID _____

Trading Account Code _____

We have a beneficiary & trading account with Indo Thai Securities Limited with client ID & trading code as mentioned above for investment and trading purpose. I hereby authorize you to debit the trading account maintained with Indo Thai Securities Ltd. for the demat charges payable to Indo Thai Securities Ltd., As depository participant for providing depository services any such sum debited to my/our account shall be binding on me/us.

3. I/We are dealing in Securities with you at NSE, BSE & MSEI in CM/Derivatives & Currency Derivatives Segment in order to facilitate ease of operations, I/We authorised you as under :

- a. 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.
- b. 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.
- c. I/We request you to settle my fund and securities account except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipts & in the case of margin trading facility also, as below:
 Calendar Quarter ☐ Max Gap Should be <90 days
 Calendar Month ☐ Max Gap Should be <30 days
- d. 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 meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
- e. 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 preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
 I/We confirm you that I can revoke the above mentioned authority at any time by giving written notice to your registered office.
- f. Transfer my/our debit/credit balance to my/our another account maintained in capital market with you.
- g. I do not require separate confirmation slip for order/trade alteration/modification/cancellation/confirmation.
- h. I also authorised you debit the delay payment charge @ 0.06% per day for the debit balance in my account & not settled as per exchange norms. Liable ID pay delay payment charges for not making

Client's Signature  Client Code _____

Name of Client _____ Date : _____

Dear Customer,

Thank you for opting our offer to send you the contract notes in the digital Form. For availing the facility of digital contract notes following are the terms and conditions. Please sign it as an acceptance to it.

1. The Digital Contract notes will be issued in digital form in compliance with guidelines issued by SEBI/Exchange from time to time.
2. Digital Contract notes will be mailed at the E-mail address provided to us in KYC and / or the format as may be prescribed by the Exchange from time to time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent to the branch or to email ID - compliance@indothai.co.in preferably within 24 hours of issuance of digital contract notes.
5. Any changes in the terms and conditions shall be intimated from time to time
6. Digital contact notes will also be available at www.indothai.co.in Client can view the ECN using the user name & password through the above website.

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APPENDIX - A PART of ANNEXURE 3
ELECTRONIC CONTRACT NOTE [ECN] - DECLARATION (VOLUNTARY)

To,

Date : _____

INDO THAI SECURITIES LTD.

"Capital Tower" 2nd Floor, Plot Nos. 169A-171,
PU-4, Scheme No. 54, Behind C-21 Mall, INDORE - 452010 (M.P.)

Dear Sir,

I, _____ (name of client) a client with
Member M/s. Indo Thai Securities Ltd. of National Commodity & Derivative Exchange Limited (NCDEX), Multi Commodity Exchange
of India Limited (MCX), National Stock Exchange of India (NSE), undertake as follows :

- ▶ I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- ▶ I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- ▶ Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out /ordered by me.
- ▶ I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- ▶ My email Id is : _____
This has been created by me and not by someone else.
- ▶ I am aware that this declaration form should be in English and any other Indian language known to me.
- ▶ I am aware that non receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above email id.

[The above declaration / the guidelines on ECN given in the annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

(The Email Id must be reproduced in own handwriting of the client.)

Client Name : _____

Unique Client Code _____

PAN : _____

Address : _____

Signature of the Client  _____

Date : _____ Place : _____

Verification of the client signature done by,

Name of the designated officer of the Member : _____

Signature : _____ Date : _____ Place : _____

INSTRUCTIONS:

- ▶ This declaration form has to be sent by the Member to the client on the email id provided by client while opening the trading account.
- ▶ The client shall, on receipt of this email, print the email as well as the declaration form.
- ▶ The hard copy of the declaration shall be filled up by the client and submitted to the Member along with a signed hard copy of the email. The Member shall acknowledge the receipt of the declaration from the client.
- ▶ The size of the font of this declaration must be at least 12.

प्रति,

इन्डोथाई सिक्क्योरिटीज लि.

पंजीकृत कार्यालय : "केपिटल टॉवर" दुसरी मंजिल,
प्लॉट नं. 169ए-171, पीयू-4, स्कीम नं. 54,
सी-21 मॉल के पिछे, इन्दौर - 452010 (म.प्र.) भारत

श्रीमान महोदय,

में _____ का
इन्डो थाई सिक्क्योरिटीज लि. जो कि (NSE, NCDEX & MCX) की सदस्य है मैं/हमारा ट्रेडिंग खाता है और मैं/हम
जिसके संचालन के लिए निम्नलिखित सहमती देता हूँ/देते हैं ।


1. मुझे यह ज्ञात है कि ट्रेडिंग सदस्य (TM) को मेरे द्वारा किये गये सौदो के कॉन्ट्रेक्ट नोट की छपी हुई प्रति मुझे देना जरूरी है जब तक कि मैं स्वयं इलेक्ट्रॉनिक रूप से इसे प्राप्त करने की सहमती ना दूँ ।
2. मुझे यह भी ज्ञात है कि ट्रेडिंग सदस्य (TM) मेरी सहमती एवं मेरी सुविधा के लिए मुझे (ECN) इलेक्ट्रॉनिक कॉन्ट्रेक्ट नोट भेजेगा ।
3. यद्यपि (TM) को छपे हुए इलेक्ट्रॉनिक कॉन्ट्रेक्ट नोट भेजना जरूरी है, पर यह मेरे लिये सुविधाजनक नहीं है, इसलिये मैं अपनी स्वेच्छा से (TM) को अनुरोध कर रहा हूँ कि वह मुझे मेरे द्वारा किये गये सौदो के लिए (ECN) इलेक्ट्रॉनिक कॉन्ट्रेक्ट नोट ही भेजे ।
4. मुझे कम्प्युटर (COMPUTER) पर ईमेल (E-MAIL) आदि देखना, इन्टरनेट (INTERNET) चलाने का पर्याप्त अनुभव है ।
5. मेरी ईमेल आईडी है

मेरी यह ईमेल आई डी मेरे द्वारा ही बनाई गई है ना कि ट्रेडिंग मेम्बर या अन्य किस के द्वारा ।

6. मुझे यह भी ज्ञात है कि यह घोषणा पत्र अंग्रेजी या अन्य कोई भारतीय भाषा जो मुझे समझ आती है, उसमें लिखा होना चाहिये ।

उपरोक्त घोषणा पत्र को मैंने / हमने अच्छी तरह से पढ़ और समझ लिया है, मैं छपे हुए कॉन्ट्रेक्ट नोट न लेने से संबंधित जोखिम से अवगत हूँ और एतद घोषणा पत्र द्वारा उसके लिये पूरी तरह से उत्तरदायी हूँ ।

(उपरोक्त दो लाईन ग्राहक स्वयं अपने हाथों से नीचे लिखें)

हस्ताक्षर  (27) _____

नाम _____

ट्रेडिंग कोड _____

पता _____

LETTER TO BE SIGNED BY CLIENT OF AUTHORISED PERSON

To,

Date : _____

INDO THAI SECURITIES LTD.

"Capital Tower" 3rd Floor, Plot Nos. 169A-171,
PU-4, Scheme No. 54, Behind C-21 Mall, INDORE - 452010 (M.P.)


Subject : Registration as Client with Indo Thai Securities Ltd. (Through _____
_____ (name of the Authorised Person)

Dear Sir/Madam

This is with reference to the Member Client agreement dated _____ for registering as client with Indo Thai Securities Ltd. Through _____ (name of the Authorized Person, place), I hereby state as follows:

1. I am aware that I am registered as a client of Indo Thai Securities Ltd.
2. For facilitating the transactions, I hereby authorise _____ (name of Authorized Person) on my behalf and shall ratify all acts done by Indo Thai Securities Ltd. on the instruction of _____ (name of Authorized Person).
3. All payment of commodities/securities purchased by me shall be made only through cheque / demand draft drawn in favour of Indo Thai Securities Ltd.
4. No payment shall be made in cash.
5. All depository instructions shall be duly filled in by me before the same is lodged with this office. Indo Thai Securities Ltd. shall not be responsible for any loss, damages, and disputes arising out of incomplete/incorrect depository instruction being deposited with this office.
6. Indo Thai Securities Ltd. shall not be responsible for any of my personal dealings with _____ name of Authorized Person) or its employees.
7. Any grievances with regard to the transactions shall be directed to "Compliance Office" of Indo Thai Securities Ltd. at the aforementioned address.

In acceptance of all the above clauses and the clauses mentioned in the Member Client Agreement by me, I request you to register me as client.

The CLIENT's Signature / Authorized Signatory	The Authorised Persons Signature / Authorized Signatory
Signature 	Signature _____
Title : _____	Title : _____
Name : _____	Name : _____
1. Witness : _____	1. Witness : _____
Name _____	Name _____
Sign _____	Sign _____

RIGHTS & OBLIGATIONS OF STOCK BROKERS & CLIENTS FOR MARGIN TRADING FACILITY (MTF)

CLIENT RIGHTS

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

CLIENT OBLIGATIONS


1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility or Normal Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the margin trading facility
3. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.
5. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the time lines as may be agreed between the client and broker.
6. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorised the broker to retain the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.

STOCK BROKER RIGHTS

1. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Stock broker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
3. The broker has a right to retain the securities provided as collateral or the securities brought by the client under the MTF.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

STOCK BROKER OBLIGATIONS

1. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.
3. The broker has a right to retain the securities provided as collateral or the securities brought by the client under the MTF
4. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stock broker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
5. The Stock Broker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
6. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
7. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.

Client Signature:  (29) _____

7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
8. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
9. Time period for liquidation of position/security shall be in accordance with declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there was no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with the stock broker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;
13. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

TERMINATION OF RELATIONSHIP

1. The margin trading arrangement between the stock broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stock Broker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
4. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.
5. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

Client Signature :  (30) _____

TERMS & CONDITIONS FOR MTF

- ☒ For new clients & existing trading relationships, in addition to Right and Obligation as specified by Exchanges and SEBI, the client shall agree to abide by the terms & conditions as enumerated hereafter. Further, the broker and the clients agree to abide by any other requirements of the margin trading framework, including other rights and obligations, if any, prescribed by the Stock Exchange/ SEBI/BROKER from time to time.
- ☒ The broker may amend the policies from time to time according to its risk perceptions and inform the Clients of the amendments made.
- ☒ Maximum permissible margin funding is Rs. 20Lac per client, unless otherwise, as mutually agreed.
- ☒ **Presently, margin trading facility is available for NSE only**
- ☒ The broker, at its own discretion, may allow client to buy further shares under MTF on the basis of increase in the value of collateral shares, subject to applicable haircut. However, purchase shall not be permitted on the basis of increase in the market value of funded shares.
- ☒ If there is a debit in the account at the end of the day then it will be considered in MTF automatically.
- ☒ Maximum allowed exposure for single scrip is 33% of the overall limit of client, i.e. Rs 6.6 Lac currently (33% of Rs. 20Lakhs).
- ☒ Any change in the price of the shares deposited by the client as collateral will be considered on T+1 day.
- ☒ Billing charges/transaction charges, charges related to trading both normal & MTF etc. will be first adjusted against normal trading a/c & then from MTF a/c & vice versa
- ☒ Funded stocks & used collateral stock will not be considered in F&O margin.

ELIGIBLE SECURITIES AND MARGIN

- ☒ Client should have clear balance in client ledger and/or approved securities in his account in order to avail MTF.
- ☒ The list of securities eligible may get revised on a monthly basis.
- ☒ Funding & Margin Percentages are variable and will change on the basis of market conditions.
- ☒ The broker, based on the risk assessment, shall have the discretion to impose/collect lower margin than the margin specified in the table below.

The broker, based on the risk assessment, shall have the discretion to impose/collect higher margin.

In any case the margin shall not be lower than the margin specified below:

Category of Stock	Applicable margin
Group I stocks available for trading in the F & O Segment	VaR + 3 times of applicable ELM (Extreme Loss Margin)
Group I stocks other than F&O stocks	VaR + 5 times of applicable ELM (Extreme Loss Margin)

- ☒ Client can give approved securities/shares as collateral for MTF. Securities given as collateral will be valued after applicable haircut, list of which is available on the website of SEBI.
- ☒ Where the margin is made available by way of securities, the stock broker is empowered to decline its acceptance of any securities as margin and/or to accept it.
- ☒ Only group '1' stock shall be eligible as co-lateral. Find the list on the link - <https://www.nseindia.com/content/nscc>. In the list only the 'EQ' stocks marked as '1' in the 5th column will be eligible. For e.g. - 20, 20 MICRONS, EQ, INE144J01027, 1, 0.42.
- ☒ MTF facility shall not be available for trade to trade scrips and the same shall not be taken as collateral.


CHARGES

- ☒ Brokerage, Statutory Charges and Other Charges will be charged as mutually agreed between the parties within the prescribed limits as specified by SEBI.
- ☒ All outstanding dues under MTF shall carry Interest @ 0.05% per day unless mutually agreed otherwise.

GRIEVANCE REDRESSAL

- ☒ Any disputes arising in connection with the margin trading facility the client shall approach within 24 hrs from the date of transaction.

I hereby declare that I have not availed MTF from another broker and wish to avail the same with Indo Thai Securities Ltd.

Signature :  (31)



OR

I hereby declare that I have availed MTF from another broker. The details of which are as under, also find the No Objection Certificate (NOC) attached.

Name of the Broker : _____

Registration No. : _____

Signature : 

			
Broker/Agent Code ARN : 35443		SUB-BROKER :	
		EUIN : 126948	
Unit Holder Information			
Name of the First Applicant :			M/F
PAN Number :		KYC :	
Date of Birth :			
Mode of Holding :		Income Slab :	
		Place of Birth :	
Contact Address :			
Overseas Address : (In case of NRI Investor)			
City :		Pincode :	
State :		Country	
Mobile		Email :	
Mode of Holding :		Occupatuion :	
Other Details of Sold/1st Applicant			
City :		Pincode :	
		Country :	
Bank Mandate Details			
Name of Bank :			
A/C type. :		IFSC	
		A/C No.	
Bank Address :			
City :		Pincode :	
State :		Country	
Nomination Details			
Nominee Name :		Relationship :	
Guardian Name (If Nominee is Minor)			
Nominee Address :			
City :		Pincode :	
		State :	
Declaration and Signature			
I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.			
Date :		Place :	
			
1st applicant Signature		2nd applicant Signature	
		3rd applicant Signature	



IndoThai
trade with confidence

INDO THAI SECURITIES LTD

NACH/ECS/AUTO DEBIT MANDATE INSTRUCTION FORM

UMRN Date

Tick () Sponsor Bank Code Utility Code

CREATE I/We hereby authorize **BSE Limited** to debit (tick)

MODIFY Bank a/c number

CANCEL

with Bank IFSC or MICR

an amount of Rupees

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☐ As & when presented DEBIT TYPE ☐ Fixed Amount ☐ Maximum Amount

Reference 1 (Mandate Reference No.) Phone No

Reference2 (Unique Client Code UCC) Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank

PERIOD ☐ From

To

Or ☐ Until Cancelled

1. 2. 3.

- This is to confirm that the declaration has carefully read, understood & made by me/us. I am authorizing the user entity/Corporate to debit my account. based on the instructions as agreed and signed by me.
- I have understood that i am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request the Use entity/Corporate or the bank where I have authorized the debit.

Tear Here

NACH/ECS/AUTO DEBIT MANDATE INSTRUCTION FORM

UMRN Date

Tick () Sponsor Bank Code Utility Code

CREATE I/We hereby authorize **BSE Limited** to debit (tick)

MODIFY Bank a/c number

CANCEL

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FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☐ As & when presented DEBIT TYPE ☐ Fixed Amount ☐ Maximum Amount

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- I have understood that i am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request the Use entity/Corporate or the bank where I have authorized the debit.



UMRN

Date

Tick (✓)

Sponsor Bank Code

HDFC0000060

Utility Code

INDB00494000029444

CREATE
MODIFY
CANCEL

I/We hereby authorize

INDO THAI SECURITIES LIMITED

To debit (tick ✓)

SB/CA/CC/SB-NRE/SB-NRO/Other

Bank a/c number

with Bank

IFSC

or MICR

an amount of Rupees

₹

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☒ As & when presentedDEBIT TYPE ☐ Fixed Amount ☒ Maximum Amount

Reference 1

Phone No.

Reference 2

Email ID

I agree for the debit of Mandate processing charges by the bank whom I am authorizing to debit my account as per latest Schedule of charges of the Bank.

PERIOD

From To Or ☐ Until Cancelled

X

Signature Primary Account Holder

Signature of Account Holder

Signature of Account Holder

1. Name as in Bank records

2. Name as in Bank records

3. Name as in Bank records

● This is to confirm that the declaration has been carefully read, understand and made by me/us. I am authorizing the user entity / corporate to debit my account.

● I have understand that I am authorised to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the user entity / corporate or the bank where I have authorised the debit.

● I / we hereby declare that the above information is true and correct and that the Mobile number listed above is registered in my / our name(s) and / or is the number that I/we use in the ordinary course. I/We hereby declare that, irrespective of my / our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now or subsequent to the date hereof, I/We consent to the Bank communicating to me / us about the transactions carried out in my / our aforesaid account(s).

Tear Here



UMRN

Date

Tick (✓)

Sponsor Bank Code

HDFC0000060

Utility Code

INDB00494000029444

CREATE
MODIFY
CANCEL

I/We hereby authorize

INDO THAI SECURITIES LIMITED

To debit (tick ✓)

SB/CA/CC/SB-NRE/SB-NRO/Other

Bank a/c number

with Bank

IFSC

or MICR

an amount of Rupees

₹

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☒ As & when presentedDEBIT TYPE ☐ Fixed Amount ☒ Maximum Amount

Reference 1

Phone No.

Reference 2

Email ID

I agree for the debit of Mandate processing charges by the bank whom I am authorizing to debit my account as per latest Schedule of charges of the Bank.

PERIOD

From To Or ☐ Until Cancelled

X

Signature Primary Account Holder

Signature of Account Holder

Signature of Account Holder

1. Name as in Bank records

2. Name as in Bank records

3. Name as in Bank records

● This is to confirm that the declaration has been carefully read, understand and made by me/us. I am authorizing the user entity / corporate to debit my account.

● I have understand that I am authorised to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the user entity / corporate or the bank where I have authorised the debit.

● I / we hereby declare that the above information is true and correct and that the Mobile number listed above is registered in my / our name(s) and / or is the number that I/we use in the ordinary course. I/We hereby declare that, irrespective of my / our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now or subsequent to the date hereof, I/We consent to the Bank communicating to me / us about the transactions carried out in my / our aforesaid account(s).

Tear Here



UMRN

Date

Tick (✓)

Sponsor Bank Code

HDFC0000060

Utility Code

INDB00494000029444

CREATE
MODIFY
CANCEL

I/We hereby authorize

INDO THAI SECURITIES LIMITED

To debit (tick ✓)

SB/CA/CC/SB-NRE/SB-NRO/Other

Bank a/c number

with Bank

IFSC

or MICR

an amount of Rupees

₹

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☒ As & when presentedDEBIT TYPE ☐ Fixed Amount ☒ Maximum Amount

Reference 1

Phone No.

Reference 2

Email ID

I agree for the debit of Mandate processing charges by the bank whom I am authorizing to debit my account as per latest Schedule of charges of the Bank.

PERIOD

From To Or ☐ Until Cancelled

X

Signature Primary Account Holder

Signature of Account Holder

Signature of Account Holder

1. Name as in Bank records

2. Name as in Bank records

3. Name as in Bank records

● This is to confirm that the declaration has been carefully read, understand and made by me/us. I am authorizing the user entity / corporate to debit my account.

● I have understand that I am authorised to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the user entity / corporate or the bank where I have authorised the debit.

● I / we hereby declare that the above information is true and correct and that the Mobile number listed above is registered in my / our name(s) and / or is the number that I/we use in the ordinary course. I/We hereby declare that, irrespective of my / our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now or subsequent to the date hereof, I/We consent to the Bank communicating to me / us about the transactions carried out in my / our aforesaid account(s).

Undertaking / Consent Letter

I/We _____, a client (client code _____)
having account with M/s Indo Thai Securities Limited do hereby undertake that I wish to trade in
Option on Commodity Futures (NCDEX / MCX) and I have fully read and understood the contents
of the "Additional Risk Disclosure documents for options trading" subject to regulatory
requirements of the Exchange and SEBI from time to time. Such Undertaking / Consent Letter may
be maintained as a part of KYC documents

Signature of Client

Date : _____

Place : _____

Additional Risk Disclosure Documents for Option Trading

Risk of Options holders :

1. An options holder runs the risk of losing the entire amount paid for the option in a relatively short period of time . This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restriction and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

Risk of Options Writers :

1. If the price movement of underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchases of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

Client Name : _____

Client Code

Client's Signature

Date _____