



Hem Securities Ltd.

BSE LTD. (BOMBAY STOCK EXCHANGE)
CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED

Hem Finlease Pvt. Ltd.

NATIONAL STOCK EXCHANGE OF INDIA LTD.

CLIENT REGISTRATION FORM - INDIVIDUAL

Registration For :	<input type="checkbox"/> BSE	<input type="checkbox"/> NSE	<input type="checkbox"/> DEMAT
Segments :	<input type="checkbox"/> Cash	<input type="checkbox"/> F&O	<input type="checkbox"/> Currency Derivatives

CLIENT NAME :	_____
BRANCH CODE :	_____
CLIENT CODE :	_____
CLIENT BO ID :	12017701

Registered Office : 203, Jaipur Tower, M. I. Road, Jaipur-302001 • Phone : 0141-4051000
Mumbai Office : 904, A-Wing, Naman Midtown, Senapati Bapat Marg, Prabhadevi Station, Lower Parel, Mumbai-13

Form Received by _____

Form Checked by _____

Form Entered by _____

Form Audited by _____

Document Check List (Individual)

- | | |
|--|--------------------------|
| 1. Two passport size photograph (self Attested) | <input type="checkbox"/> |
| 2. One Photocopy of PAN Card (Clear Copy) | <input type="checkbox"/> |
| 3. Proof of Bank Account (any 1) | |
| a) Personalised Crossed chq (Printed name on cheque) | <input type="checkbox"/> |
| b) Certified Bank Statement not more than 2 months old | <input type="checkbox"/> |
| 4. Address Proof (Photocopy of any 1) | |
| a. Ration Card | <input type="checkbox"/> |
| b. Passport | <input type="checkbox"/> |
| c. Voter's Identity Card | <input type="checkbox"/> |
| d. Driving License | <input type="checkbox"/> |
| e. Bank Passbook/Bank Statement (not more than 2 months old) | <input type="checkbox"/> |
| f. Electricity, Water, Landline Telephone Bill (MTNL/BSNL) | <input type="checkbox"/> |
| (Not more than 2 months old) | |
| g. Aadhar | <input type="checkbox"/> |

In case of **ONLY TRADING ACCOUNT** Opening

Proof of Demat Account (**any 1**)

- | | |
|---|--------------------------|
| a) Client Masters | <input type="checkbox"/> |
| b) Demat Holding statement (not more than 2 months old) | <input type="checkbox"/> |

In case of A/c of MINOR (Additional Requirement)

- | | |
|--|--------------------------|
| a) Birth Certificate | <input type="checkbox"/> |
| b) KYC Form + PAN Card + Address Proof of Guardian | <input type="checkbox"/> |

All documents need to be attested.

HEM SECURITIES LIMITED / HEM FINLEASE PVT. LTD.

Acknowledgement Receipt

Form No.

We acknowledge the receipt of the following :

1. Client Name _____

2. Trading Account Opening Form ☐ NSE ☐ BSE

3. Demat Account Opening Form ☐

4. Power of Attorney For ☐ NSE ☐ BSE

Received by (Hem Securities Ltd. / Hem Finlease Pvt. Ltd.)

Signature

Name :

Date :

Acknowledgement Receipt

Received nomination from:

DP ID										Client ID								
Name																		
Address																		
Nomination in favor of First - Nominee																		
Second - Nominee																		
Third - Nominee																		
<u>No Nomination</u>	<input type="checkbox"/> Does not wish to nominate																	
Registration No.										Registered on	D	D	M	M	Y	Y	Y	Y

Hem Securities Ltd.

INDEX OF DOCUMENTS

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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	<p>A. KYC form - CKYC Document capturing the basic information about the constituent and instruction/check list for filling form.</p> <p>B. Document capturing the additional information about the constituent relevant to Trading account/Demat A/c.</p>	1-8
2.	Rights & Obligations	Documents stating the rights & obligations of Beneficial owner and Depository Participant .	Annexure A
3.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	9
4.	Depository Service Charges	Document detailing DP services charges/Fee Structure for the Demat Account with Hem Securities Ltd.	10
5.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker / client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Annexure A
6.	Risk Disclosure Document	Document detailing risks associated with dealing in the securities market.	Annexure A
7.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Annexure A
8.	Policies and Procedures	Document describing our significant policies and procedures.	11-13
VOLUNTARY DOCUMENTS			
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HEM SECURITIES LIMITED (HSL) - Trading Cum Self Clearing Member (Cash & CDS)

Member: BSE Limited, Trading Member Code – 248

SEBI Reg No.: (Old) INB011069953 (Cash), 5th Nov 1999 / INF011069953 (F&O), 6th June 2000 / INE011069953 (BSE Currency)

SEBI Reg No.: (New-Single Registration) INZ000168034-16th March 2018

Depository Participant: CDSL, **SEBI Reg No. :** IN-DP-CDSL-83-2000, 6th Sept. 2000, CDSL DP ID 17701

CIN : U67120RJ1995PLC010390

HEM FINLEASE PVT. LTD. (HFPL) - Trading Cum Self Clearing Member (Cash, F&O & CDS)

Member: National Stock Exchange of India Ltd., Trading Member Code -11100

SEBI Reg. No. (Old) INB 231110033 (Cash), 27th June 2000 / INF 231110033 (F & O), 31st August 2001

INE 231110033 (Currency), 26th Aug.2008

SEBI Reg. No. (New-Single Registration) INZ 000167734, 15th March 2018 **CIN :** U65910RJ1996PTC011799

Registered Office / Correspondence Address : 203, Jaipur Tower, M. I. Road, Jaipur - 302001 (Rajasthan)

Telephone : 0141 - 4051000/1001, 2363278 **Website :** www.hemsecurities.com

Mumbai Off. : 904, A-Wing, Naman Midtown, Senapati Bapat Marg, Prabhadevi Station, Lower Parel, Mumbai-400013, Ph. : 022-49060000

Compliance Officer : Mr. Anil Bhargava, compliance@hemsecurities.com, 0141-4051000

Director : Mr. Prateek Jain, prateek@hemsecurities.com, 0141-4051000

For any grievance/dispute please contact **Hem Securities Ltd. / Hem Finlease Pvt. Ltd.** at the above address or write us at **investorgrievance@hemsecurities.com** for Trading A/c related matters and **investorgrv_dpjaipur@hemsecurities.com** for Demat A/c related matters and Phone no. 0141-4051000
In case if not satisfied with the response, please contact the Exchanges

BSE - ipf.atul@bseindia.com / mahesh.ghadi@bseindia.com, Phone no. 0141-2370877/022-22728517

NSE - nsciscjai@nse.co.in/ ignse@nse.co.in, Phone no. 0141-2368444/18002660058

ACKNOWLEDGEMENT

To,

Manager,

Hem Securities Ltd. / Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower, M. I. Road, Jaipur

Dear Sir / Madam:

I undersigned, hereby confirm that I have received the duly executed copy of KYC form, CKYC Form, Right & Obligations, Guidance Note, Policies & Procedure, Tariff Sheet, Risk Disclosure Document and Right & Obligations (DP) and all other documents as executed by me.

I acknowledge that the detail related to my account are as under.

Client Name _____	DP BO ID _____
Trading code _____	E-mail id _____
	Mobile _____

Disclosure Information

Sir,

This is to inform you that we may do Pro-account trading at Bombay Stock Exchange Ltd. (BSE), National Stock Exchange of India Ltd. (NSE).

Thanks and best regards.

For Hem Securities Ltd. / Hem Finlease Pvt. Ltd.

I acknowledge the receipt of information given above by Hem Securities Limited / Hem Finlease Pvt. Ltd. that they do Pro-account trading.



Signature of Client (1/30)



Signature of Second Holder



Signature of Third Holder

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

- *Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

- *Not more than 3 Months old.
- Validity/Expiry date of proof of address submitted**
- | d | d | / | m | m | / | y | y | y | y |

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction **G** at the end)

- KYC Number of Related Person (if available*)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

- ☐
7. REMARKS (If any) OR ANY OTHER INFORMATION:

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.
- I hereby give my consent to update/modify the above KYC details in my Demat Account No.

1	2	0	1	7	7	0													
---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--

 & Trading Account No. _____ maintained with you.

👉 (3/30)

Signature / Thumb Impression of Applicant

[illegible]

Documents Received ☐ **Certified Copies**

IPV/KYC VERIFICATION CARRIED OUT BY

AMC/Intermediary name OR code IPV Done ☐ on dd / mm / yy yy

- ☐ (Originals Verified) Self Certified Document copies received
- ☐ (Attested) True copies of documents received
- Main Intermediary

INSTITUTION DETAILS

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

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

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

General Instructions:

- Fields marked with '*' are mandatory fields.
- Tick '✓' wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Either **father's name** or **spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

F Clarification / Guidelines on filling 'Contact details' section

- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines on filling 'Related Person details' section

- Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [Pol] of Related Person' section

- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

DEMAT & TRADING ACCOUNT RELATED DETAILS

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. BANK DETAILS [Dividend Bank Details]

Bank Code (9-Digit MICR Code)									
IFS Code (11 Character)									
Account No.									
Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN Code			

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 (ii) Photocopy of the Bank Statement having name & address of the BO
 (iii) Photocopy of the Passbook having name & address of the BO
 (iv) Letter from Bank
 > In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

B. DEPOSITORY ACCOUNT DETAILS **

Depository Participant ☐ CDSL ☐ NSDL
 Depository Participant Name _____
 Beneficiary Name _____
 DP ID No. _____ Beneficiary ID _____

** Demat Master or recent holding statement issue by DP bearing name of the client should be submitted.

C. TRADING PREFERENCES***

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

Exchanges	Segments		Exchanges	Segments	
BSE	Cash	<input type="checkbox"/> (4/30)	NSE	Cash	<input type="checkbox"/> (7/30)
	F&O	<input type="checkbox"/> (5/30)		F&O	<input type="checkbox"/> (8/30)
	Currency Derivative	<input type="checkbox"/> (6/30)		Currency Derivative	<input type="checkbox"/> (9/30)

If, in future you want to trade on any new segment/new exchange, separate authorization/letter will be taken.

***Please submit only one of the following in case of trading in F & O and Currency Derivatives.

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months

D. PAST ACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners /promoters whole time directors/authorized persons in charge of dealing in securities during the last 3 years :

E. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

If client is dealing through the Authorised Person(AP), provide the following details:

Sub-Broker's / AP Name: _____ SEBI Registration number : _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

Whether dealing with any other Stock Broker/Sub-Broker/AP ☐ No ☐ Yes if yes provide following details

(in case dealing with multiple Stock Brokers/AP, provide details of all)

Name of Stock Broker : _____

Name of Sub-Broker/AP, if any: _____

Client Code: _____ Exchange: _____

Details of disputes/dues pending from/to such Stock Broker/AP : _____

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) : _____
Specify your Email id, if applicable: _____
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): ☐ Yes ☐ No
- Number of years of Investment/Trading Experience: _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer : _____

Status of the Introducer : ☐ Sub-Broker ☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Others, please specify _____

Address and phone no. of the Introducer : _____

Signature of the Introducer : _____

H. NOMINATION DETAILS - As provided on Page no. 8

DECLARATION

1. I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

2. I confirm having read/been explained and understood the contents of document on policy and procedures of HSL/HFPL and tariff sheet.

3. I further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on HSL/HFPL designated website www.hemsecurities.com

4. I do not want to continue my account in BSDA scheme. ☐ YES Tick here



Signature of Client (10/30)

Place _____

Date _____

FOR OFFICE USE ONLY

UCC Code Allotted to the Client _____

We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We have given/sent him a copy of all the KYC documents. 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. We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our website www.hemonline.com for the information of the clients.

Signature of Authorised Signatory

Seal / Stamp of HSL / HFPL

DEMAT ACCOUNT RELATED ADDITIONAL DETAILS

(Required for the purpose of DEMAT A/c Opening)

(To be filled by the Depository Participant)

Application No.		Date													
DP Internal Reference No.															
DP ID	1	2	0	1	7	7	0	1	Client ID	0	1				

Please fill all the details in Block Letters in English only.

I/We request you to open a Depository Account in my/our names as per the following details :

Holder's Details

Sole / First Holder's Name		PAN													
		UID													
Second Holder's Name		PAN													
		UID													
Third Holder's Name		PAN													
		UID													

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.

Type of Account (Please tick whichever is applicable)

Status	Sub - Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Individual Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI Non - Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National -Depository Receipts <input type="checkbox"/> Others (specify) _____	

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

Guardian's Name		PAN												
Relationship with the applicant														
I/We instruct the DP to receive each and every credit in my / our account (if not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No													
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (if not marked, the default option be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No													
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													
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No													
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No													
I/We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical & Electronic (Tick the applicable box. If not marked the default option would be in Physical)														
I / We wish to receive dividend / interest directly in to my bank account as given above 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		



Signature of Sole/First Holder (11/30)



Signature of Second Holder

(7)



Signature of Third Holder

NOMINATION FORM

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- ☐ I/We **do not wish to nominate any one for this Demat account.**
[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].
- ☐ I/We **nominate** the following person/s who is entitled to receive security balances lying in my/our account,
particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.




Note: Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee's Full Name*			
:Address* : (City, State, Pin code, Country)*			
Telephone/ Mobile No.*			
Proof of Identity*			
Email ID*			
Relationship with the BO*			
Percentage of allocation of securities*			
Residual Securities [please tick any one nominee.If tick not marked default will be first nominee]*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Guardian's Details, only in case the Nominee is a minor	Nominee 1	Nominee 2	Nominee 3
DOB*			
Full Name of the Guardian*			
Telephone/ Mobile No.*			
Address of the Guardian* (City, State, Pin code, Country)*			
Email ID*			
Relationship of the Guardian with the Nominee*			

***Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Place : _____ Date : _____

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client	 (12/30)		

Note : **One Witness** shall attest signature / thumb impression.

Details of the Witness	First Witness
Name of Witness	
Address of Witness	
Signature of Witness	

For Hem Securities Ltd.
(Authorized Signatory)

TARIFF SHEET

BROKERAGE STRUCTURE

CASH SEGMENT

Brokerage Slab	Slab %		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
Delivery Based		Not Applicable		Not Applicable
Daily Square Up				

DERIVATIVE SEGMENT : SLAB% FOR FUTURE

Brokerage Slab	Future %		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
Daily Square Up				
Settlement Square Up	Same as above		Same as above	

DERIVATIVE SEGMENT : SLAB FOR OPTIONS

Brokerage Slab	Option		Minimum per lot	
	First Leg	Second Leg	First Leg	Second Leg
Daily Square Up				
Settlement Square Up	Same as above		Same as above	
GST				

CHARGES*

	CM SEGMENT	F&O SEGMENT	CD SEGMENT
STT			
TURN OVER CHARGES			
STAMP DUTY			
OTHER CHARGES			
(i)			
(ii)			
(iii)			

*As per applicable rates.



Signature of Client (13/30)

TARIFF STRUCTURE FOR DEPOSITORY SERVICES W.E.F. 20/05/2019

S. No.	Particulars	Charges(In INR)
1	Stamp Charges	FREE
2	Annual Maintenance Charges (AMC)	
	a. Individual	SCHEME I: Annual AMC Rs. 299/- SCHEME II: Annual AMC (1 st Year Free AMC) Rs. 399/-* SCHEME III: One Time AMC Rs.1,199/-**
	b. Corporate	Rs. 999/-
3	Transaction Charges	
	a. Purchase (On Market/ Off Market)	FREE
	b. Sale (On Market/ Off Market - Slip Transaction)	Min Rs. 30 and Max Rs. 100 (subject to 0.04% of transaction value whichever is lower)
	c. Sale (POA)	Min Rs. 20 and Max Rs. 100 (subject to 0.04% of transaction value whichever is lower)
4	BSDA (Basic Service Demat Account) Transaction Charges	Rs. 50/-per transaction (POA) and; Rs. 65/-per transaction (Non- POA)
5	Delivery Instruction Slip Book	
	a. First DIS Book	FREE + Courier/ Postage Charges
	b. Additional DIS Book	Rs. 30/- per book (10 Slips)+ Courier/ postage Charges
6	Additional Statement Charges(one Statement per month will be provided free of cost vide E-mail)	
	a. By E Mail	FREE
	b. Physical	Rs. 5/- Page + Courier/ Postage Charges
7	Dematerialization	Rs. 10/- per certificate (Minimum Rs.20/-) +Courier Postage Charges
8	Rematerialization	Rs. 100/- or maximum 0.03% of transaction value whichever is higher
9	Instruction Failure/ Demat Rejection Charges	Rs. 40/- per transaction
10	Pledge Creation/ Closure/ Invocation Charges	Rs. 50/- Per request
11	KRA Charges in BSDA account	Rs.80/-
12	Modification Charges (Online/ Offline)	Rs.25/- per request

TERMS & CONDITIONS W.R.T. CHARGES:

- Annual Account Maintenance Charges will be charged upfront every year.
 - * **Scheme II**, if Account is closed during the First year, AMC will be charged as per **SCHEME I**.
 - ** **Scheme III** includes Account Maintenance Charges for a period of 6 years (Rs. 1,199/- will be charged in 1st year (upfront) and Account Maintenance charge for the next 5 years will be FREE).In case, if account is closed during the said period, the BO will not be entitled for any refund.
 - Courier/ postage charges will be **Rs. 20/- per courier** (wherever applicable) and **Rs. 40/- per postage** and **Rs. 50/- (upto 10 certificates)** in case of Dematerialization Request.
 - Tariff structure is based on existing CDSL charges and Hem Securities Limited reserves the right to revise the tariff structure by giving notice of 30 days.
 - Value of transaction will be in accordance with the rates provided by CDSL.
 - In case of delay in the payment of charges, the demat account will be frozen for all operations till such period all dues are cleared and is subject to 30 days' notice from the payment due date.
 - Interest @ 12% p.a. will be charged on outstanding payment (above 30 days).
 - Access to online Depository back office will be provided Free of Cost.
 - Transaction and holding statement will be sent through E-Mail.
 - Cheque/ DD/ NEFT should be issued in favour of "Hem Securities Limited" payable at Jaipur.
 - The BO unconditionally authorize "Hem Securities Limited" and has no objection in charging the depository services bill to their trading accounts maintained with Hem Securities Limited & Hem Finlease Pvt. Ltd.
- GST as per prevailing rates will be charged extra on aforesaid Fees.
- Any service not quoted above will be charged separately.



Signature of Client (14/30)

POLICIES & PROCEDURE

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

b) Setting up client's exposure limits : The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date

otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

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

d) Imposition of penalty / delayed payment charges

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

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

e) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/ obligations The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account. In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

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

f) Shortages in obligations arising out of internal netting of trades Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

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

a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Payin/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.

b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.

g) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

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

h) Temporarily suspending or closing a client's account at the client's request On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

i) Deregistering a client :-Notwithstanding anything to the contrary stated in the agreement, the trading member shall be entitled to terminate the agreement with immediate effect client account can be de-registered.

(i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.

(ii) If there is any commencement of a legal process against the client under any law in force;

(iii) On the death/lunacy or other disability of the Client;

(iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;

(v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;

(vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

(vii) If the Client is in breach of any term, condition or covenant of this Agreement;

(viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;

(ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;

(x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;

(xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

(xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

j) Inactive Client account: -Client account will be considered as inactive if the client does not trade for period of 2.5 year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

Trading in Exchange is in Electronic Mode, based on VSAT, leased

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

(k) Client Acceptance of Policies and Procedures stated hereinabove: I/We have fully understood the same and do hereby sign the same and agree not to call into question the

validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

CONSENT FOR THE RECEIPT OF THE RIGHTS & OBLIGATIONS, RDD & THE GUIDANCE NOTE

I/We hereby give my/our consent to provide me/us the following documents in physical/ electronic mode:

- a. **Rights & Obligations of stock broker**, sub-broker/authorized person and client for trading on exchanges, including **Additional Rights & Obligations in case of Internet/ Wireless Technology based Trading** along with **Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and depositories; (Annexure A)**
- b. **Risk Disclosure Documents for Capital Market and Derivatives segments; (Annexure A)**
- c. **Guidance Note detailing Do's and Don'ts for trading on stock exchanges; (Annexure A)**

I/We acknowledge and declare that I/We have received, read and understood, acknowledged and agreed to the content of above mentioned documents.

Further, I/We have also been informed that the standard set of mandatory documents is displayed for information on the stock broker's designated website, i.e. www.hemsecurities.com

Place:

Date:



Signature of Sole/First Holder (15/30)



Signature of Second Holder



Signature of Third Holder

SIMPLE DOs and DONT's

1. Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
8. To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (SMS Alerts Related to Transactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at complaints@cdslindia.com.
10. Register for CDSL's Internet based facility "easi" to monitor your demat account yourself. Contact your DP or visit CDSL's website: www.cdslindia.com for details.
11. In order to receive all the credits coming to your demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.

Instructions to the Applicants (BOs) for account opening :

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodge along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strick off whichever option, in the account opening form, is not applicable.



Signature of Client (16/30)

Terms & Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

[SMS Alerts will be sent by CDSL to BOs for all debits]

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 & 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 account holders 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 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 depository 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 period.
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, e-mail 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 acknowledge on receiving SMS alerts. The BO 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 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 anytime incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the 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 purpose 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.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 (17/30)		

**RUNNING ACCOUNT AUTHORISATION
VOLUNTARY**

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date

Dear Sir,

I will be dealing through you as client in Capital Market and/ or Future & Option segment and/ or Currency Derivatives at BSE/NSE. In order to facilitate ease of operations and upfront requirement of margin for trade. I authorize you as under:

1. I request you to maintain running balance in my account & retain the credit balance in any of my account and to use the unused funds towards my margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/ Clearing Corporation, unless I instruct you otherwise.
2. I request you to retain with you for my margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/ Clearing Corporation, unless I instruct you to transfer the same to my account.
3. I request you to settle my fund account. Once in every calendar Quarter or /Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/ margin in form of Bank Guarantee and /or Fixed Deposit Receipts.
4. In case I have an outstanding obligation on the settlement date, you may retain the requisite securities/ funds towards such obligation and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges..
5. I shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker preferably within 7 working days from the date of receipts of funds/ securities or statement, as the case may be.
6. I confirm you that I can revoke the above mentioned authority anytime by giving notice in writing to you.
7. If I/ We have credit balance of Rs. 10000 or less that may automatically be retained and transfer of funds & Securities may not be made as per SEBI/ Exchange guidelines.

I request you to settle my funds account.

Once in every :-

- ☐ **Calender Quarter**
☐ **Calender Month**

Thanking you
Yours faithfully,

Client Name _____

Trading Code _____



Signature of Client (18/30)

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTE / STATEMENTS
VOLUNTARY**

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date

Dear Sir,

Subject: Issuance of Electronic Contract Notes/Statements in Electronic Form (Trading/Demat A/c)

In reference to my/our dealing with you as a client for trading in the Capital Market and/or Futures & Options Segment and/or Currency Derivatives at BSE/NSE/MCX-SX Stock Exchanges, I/We hereby give my/our consent to receive electronic contract notes (ECN), financial statements, margin statements or any other reports/notices in electronic mode from Hem Securities Ltd. (HSL) and/or Hem Finlease Pvt. Ltd. (HFPL) on my/our below mentioned e mail id.

I/We further give my/our consent to receive bills, ledgers, transaction statements, monthly/quarterly demat statement of accounts/holding statement(s)/bills, or any other reports/notices in electronic mode on my/our below mentioned e mail id for the Depository services I/we am /are availing through Hem Securities Ltd.- DP.

I/we confirm that the e mail address has been generated by me/us.

1.....

2

I/We further hereby agree that the HSL/HFPL shall fulfill the legal obligation by sending the mentioned documents electronically to my/our e-mail id. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email id(s).

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of documents to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non receipt/ delayed receipt for any reason whatsoever.




I/We also undertake to check the ECN/Statement and other documents and bring the discrepancies to your notice within the time period as specified by the regulatory authorities. My/Our non-verification or not accessing the ECN/Statement and other documents on regular basis shall not be a reason for disputing the same at any time.

I/We understand and agree that I/we shall intimate any change in the email id mentioned herein through a physical letter to you. Whenever I/We want to discontinue the said facilities, I/We shall inform to HSL/HFPL immediately in writing.

I/We further agree that HSL/HFPL will not be held responsible for non receipt of documents sent via electronic delivery due to change in/incorrect e-mail address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify HSL/HFPL, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

My Trading code is _____

My/Our BO ID _____

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 (19/30)		

LETTER OF AUTHORITY VOLUNTARY

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date.....

Dear Sir,

Subject: Letter of Authority -CASH/F&O / Currency Derivatives of BSE/NSE/MCX-SX.

I shall be dealing in securities with you at BSE/NSE/MCX-SX in Cash, F&O, Currency Derivatives Segment and in order to facilitate ease of operations, I authorise you as under:

1. I authorise you to setoff outstanding in any of my accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by me. I hereby authorise you to transfer or hold funds, securities, debits, credits etc. of my family members accounts.
2. I hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I shall get the required details from contract notes issued by you.
3. I hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by me for meeting margin / other obligation in stock exchange or for giving the same as margin to the Stock Exchange or otherwise.
4. I request you to retain credit balance in any of my account and to use the idle funds towards my margin/future obligations of Exchange unless I instruct you otherwise. I also authorize you to debit the necessary demat charge from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I also authorise you to debit the financial charges upto @ 2% p.m. for the debit balances if any, in my account and not settled as per the exchange requirements.
5. I request you to retain Securities in your Demat account for my margin/future obligations of Exchange unless I instruct you to transfer the same to my account.
6. I request you to consider my telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me all the confirmation on telephone unless instructed otherwise in writing. I am getting required details from contracts issued by you.
7. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems.
8. I confirm that I will never sublet the trading terminal on any term of connectivity, from my place to any other place without your prior approval.
9. I am agreeable for inter-settlement transfer of securities towards settlements.
10. I am agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
11. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.
12. I hereby authorize you to send me SMS alerts on my mobile no. for Trade confirmations, research calls, investment ideas or any other information etc. including all commercial communication even though I am registered or may register with National Do Not Call Registry established under the Telecom Unsolicited Commercial Communications Regulations, 2007 or registered or may register under the National Customer Preference Register established under new regulation viz the Telecom Commercial Communications Customer Preference Regulations, 2010.
13. I have a Trading as well as depository relationship with Hem Securities Ltd. Please debit the charges relevant with depository services from my trading account. I also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reasons.
14. I hereby confirm that I have read & understood the provisions of prevention of money laundering Act and will comply with these provisions.
15. I Confirm you, that I can revoke the above mentioned authority at any time by giving notice in writing to you.

Yours faithfully,

Client Name _____

Trading Code _____



Signature of Client (20/30)

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
- ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
- iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
- iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
- v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.

2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time . . Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository

3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.

4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.

5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.

6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.

7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.

8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.

9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .

10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit. CDSL - DP Operating Instructions – September 2013 Page 2 of 2

11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.



Signature of Client (21/30)

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

14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.

15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.

16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

17. Indemnity: In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. Disclaimer:

Depository shall be absolved of any liability in case:-

a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.

b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.

c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.



Signature of Client (22/30)

Other Details Gross Annual Income Details	Income Range per annum : <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000										
	Net worth as on (Date)		D	D	M	M	Y	Y	Y	Y	Rs.
	[Net worth should not be older than 1 year]										
Occupation	<input type="checkbox"/> Private /Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify).....										
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)										
Any Other information	Education : _____										



Signature of Client (23/30)

Common Registration Form for availing SMS Alert and /or TRUST facility

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART-SMS alert facility
- b. TRUST- TRAnsaction using Secured Texting facility

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID

1	2	0	1	7	7	0	1								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holders Name : _____

Third Holder's Name : _____

Mobile Number on which
message are to be sent

+91											
-----	--	--	--	--	--	--	--	--	--	--	--

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

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

(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The Mobile number is registered in the name of : _____

E-mail ID : _____

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

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 purpose of availing the said facility.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies 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.

SMS Alert Facility and / or TRUST facility

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	Mobile No. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA)) If POA is not granted you do not wish to avail of this facility, cancel this option.).	<input type="checkbox"/> YES <input type="checkbox"/> NO									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure-2.6	I wish to avail the TRUST facility the mobile number registered for SMS Alert Facility. I have read and understood the Terms & Conditions prescribed by CDSL for the same. <input type="checkbox"/> YES <input type="checkbox"/> NO I wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1"><thead><tr><th>Stock Exchange Name / ID</th><th>Clearing Member Name</th><th>Clearing Member ID (optional)</th></tr></thead><tbody><tr><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td></tr></tbody></table>		Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (optional)									
Easi	To/We register for easi, please visit our website www.cdslindi.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										



Signature of Client (24/30)

AUTHORITY FOR INTRA FIRM ADJUSTMENTS

VOLUNTARY

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date

Dear Sir,

Notwithstanding anything contrary contained in the agreement between us, I hereby inform you that I have executed/desire to execute an agreement with Hem Securities Ltd. (HSL) for trading on BSE; Hem Finlease Pvt. Ltd. (HFPL) for trading on NSE for trading on or any other Exchange. I hereby request you to treat the agreement entered by me with HSL and HFPL as Co-extensive and hereby authorize you to transfer, make adjustments and to set of the securities placed as margin and any surplus funds in any of my account (s) maintained with HSL or HFPL against the outstanding dues payable if any, by me in any of my account (s) maintained with HSL and HFPL. Hem Securities Ltd. and Hem Finlease Pvt. Ltd., shall have right of lien on the credit balance in any of my accounts irrespective of whether it is maintained with HSL or HFPL. Any entries passed in accordance with this authorization shall be binding on me.

Thanking you,

Yours Faithfully,

Client Name _____

Trading Code _____



Signature of Client (25/30)

Letter for Securities Trading using Internet & Wireless Technology

VOLUNTARY

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date

Sub: Securities trading using Internet & wireless technology (incl. trading through mobile application).

Sir,

I/ we _____ registered as your client having trading code - _____ wish to trade through Internet & wireless technology (including trading through mobile application) and have executed the trading member and client agreement for the purpose of trading in the capital market segment , Futures & Options Segment , Currency Derivatives segment of Bombay Stock Exchange of India Ltd. (BSE) and/ National Stock Exchange Limited. (NSE).

I/we am / are interested in carrying securities trading through use of Internet & wireless technology which shall include devices such as mobile phone, PC's & laptop with data card etc. using internet protocol (IP) and /or through mobile application.

I/we understand that the terms and conditions applicable to internet based trading will also be applicable to securities trading through use of wireless technology. I/ we am/are made aware by you regarding all the possible risks including risk of misuse and unauthorized use of username and or password by a third party and the risk of a person hacking into our account on your ITORS system and , responsibilities and liabilities associated with securities using Internet & wireless technology .

I/we shall be fully liable and responsible for any and all unauthorized use and misuse of our password and/ or username and also for any and all acts done by any person through your ITORS system on our username in any manner whatsoever.

I/we hereby confirm you to send my/ our username and password on my/ our registered e-mail address _____ and therefore request you to enable me/ us for carrying securities trading through use of Internet & wireless technology (Including trading through mobile Application)

With thanks and regards



Client Name _____

Trading Code _____



Signature of Client (26/30)

Client Registration - Mutual Fund

			
Broker/Agent Code ARN:		SUB-BROKER:	
EUIIN:			
Unit Holder Information			
Name of the First Applicant :			
PAN Number :		KYC:	Date of Birth :
Father Name :		Mother Name :	
Name of Guardian :		PAN :	
Contact Address :			
City :	Pincode :	State :	Country :
Tel.(Off) :	Tel.(Res) :	Email :	
Fax (Off) :	Fax (Res) :	Mobile :	
Income Tax Slab/Networth :		Occupation Details	
Place of Birth :		Country of Tax Residence :	
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?		Yes	No
Mode of Holding :		Occupation :	
Name of Second Applicant :			
PAN Number :		KYC:	Date of Birth :
Income Tax Slab/Networth :		Occupation Details	
Place of Birth :		Country of Tax Residence :	
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?		Yes	No
Name of Third Applicant :			
PAN Number :		KYC:	Date of Birth :
Income Tax Slab/Networth :		Occupation Details	
Place of Birth :		Country of Tax Residence :	
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?		Yes	No
Other Details of Sole/ 1st Applicant			
Overseas Address :			
(In case of NRI investor)			
City :	Pincode :	Country :	
Bank Mandate Details			
Name of Bank :		Branch :	
A/C No. :	A/c Type :	IFSC Code:	
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 :	
 (27/30)			
1st applicant Signature :		2nd applicant Signature :	3rd applicant Signature :



FATCA & CRS Declaration - Individual

PAN Trading DP Code

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ R.s 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

Net Worth Amount Rs..... Net Worth as on
(Net worth should not be older than 1 year)

Occupational ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
 Detail . ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

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

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform M/s. Hem Securities Ltd./ Hem Finlease Pvt. Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Sign here: (I)
 Signature of Client (28/30)

Date

Place : _____

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3 (iv) (A) of Part C)			
Company of Tax residency*			
PAN*			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID*			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) ^{\$}			

* To include US, where controlling person is a US Citizen or green card holder

!If UBA is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position I Designation like Director I Settlor of Trust I

Protector of Trust to be specified wherever applicable.

"In case Tax Identification Number is not available, kindly provide functional equivalent

\$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory I Comp < Iny Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform M/s.Hem Securities Ltd. / Hem Finlease Pvt. Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name

Designation



Signature of Client (29/30)

Date :

Place :

(Family means : Self, Spouse, Dependent Children & Dependent Parents only)

203, Jaipur Tower, M. I. Road,
Jaipur-302001

Date

of _____ (Self) and Email ID _____ in your records, Exchanges & DP.

We all below mentioned family members have no objection if the same Email ID & Mobile No. will be used by you for sending any documents & information.

S. No.	Name of Family Member	Trading Code	Demat Account No.	Relation with Self	Signature of Family Member
1.				Self	
2.					
3.					
4.					
5.					

Trading Code: _____



Signature of Client (30/30)

POWER OF ATTORNEY - BSE

VOLUNTARY

To all to whom these Presents shall come I/we

Name	Address
1. _____	_____
2. _____	_____
3. _____	_____

Whereas I/We hold a Beneficiary account no. _____ (BO-ID) with Central Depository Services (India) Limited, through HEM SECURITIES LIMITED, 203, JAIPUR TOWER, MI ROAD, JAIPUR 1, bearing SEBI Registration No. IN-DP-CDSL-83-2000.

And Whereas I/We am an investor engaged in buying and selling of securities through HEM SECURITIES LIMITED, a member of The Bombay Stock Exchange (BSE), Mumbai bearing SEBI registration no. INZ000168034

And Whereas due to exigency and paucity of time, I/We am 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 and subject to conditions as provided here in.

NOW THESE PRESENTS WITNESSTH That I/We the above named do hereby Nominate, Constitute, and Appoint **Hem Securities Limited, 203, Jaipur Tower, MI Road, Jaipur -302001** as my/our true and lawful attorney (hereinafter referred to as the attorney) and authorize it to perform the following functions on my/our behalf

- i. to debit securities and/or to transfer securities from the aforesaid Demat account in respect of settlement of trades and margin obligations arising out of trades executed by me/us on the Bombay Stock Exchange (BSE) through **HEM SECURITIES LIMITED Clearing Member ID No. 248; Currency Margin A/c No. 12017701-01223838, Pool A/c No. 1201770100075077, Early Payin A/c No .1100001000013169.**
- ii. to return to me/us, the securities that may have been received erroneously or those securities that were not entitled to receive from me/us;
- iii. to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

This authority is restricted to the pay-in obligations arising out of the transactions of sale effected by me/us through HEM SECURITIES LIMITED and I/We ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received at office at 203, Jaipur Tower, M.I. Road, Jaipur.

SIGNED AND DELIVERED BY

_____	_____	_____
(Sole/First Holder)	(Second Holder)	(Third Holder)

WITNESS:

Signature	_____
Name	_____
Address	_____

I Accept
Director _____
HEM SECURITIES LIMITED.
203, Jaipur Towers, M.I. Road, Jaipur

Date: _____

POWER OF ATTORNEY - NSE

VOLUNTARY

To all to whom these Presents shall come I/we

Name	Address
1. _____	_____
2. _____	_____
3. _____	_____

Whereas I/We hold a Beneficiary account no. _____ (BO-ID) with Central Depository Services (India) Limited, through HEM SECURITIES LIMITED, 203, JAIPUR TOWER, M.I. ROAD, JAIPUR -302001(Rajasthan), bearing SEBI Registration No. IN-DP-CDSL-83-2000.

And Whereas I/We am/are an investor engaged in buying and selling of securities through HEM FINLEASE PRIVATE LIMITED, a member of The National Stock Exchange of India Ltd. (NSE) bearing SEBI registration no. INZ000167734.

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 and subject to conditions as provided here in.

NOW THESE PRESENTS WITNESSTH That I/We the above named do hereby Nominate, Constitute, and Appoint **Hem Finlease Private Limited., 203, Jaipur Tower, M.I. Road, Jaipur -302001(Rajasthan)** as my/our true and lawful attorney (hereinafter referred to as the attorney) and authorize it to perform the following functions on my/our behalf

- i. to debit securities and/or to transfer securities from the aforesaid Demat account in respect of settlement of trades and margin obligations arising out of trades executed by me/us on the National Stock Exchange of India Ltd. (NSE) through **HEM FINLEASE PRIVATE LIMITED. Clearing Member ID No. M51081; F&O Margin Account No. 12017701-01223823; Currency Margin A/c No. 12017701-01225679; Pool A/c No. 1201770100000061; Early Payin A/c No.1100001100015348.**
- ii. to return to me/us, the securities that may have been received erroneously or those securities that were not entitled to receive from me/us;
- iii. to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

This authority is restricted to the pay-in obligations arising out of the transactions of sale effected by me/us through HEM FINLEASE PRIVATE LIMITED. and I/We ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received at office at Hem Finlease Private Limited, 203, Jaipur Tower, M.I. Road, Jaipur-302001 (Rajasthan).

SIGNED AND DELIVERED BY

(Sole/First Holder)

(Second Holder)

(Third Holder)

WITNESS:

Signature _____

Name _____

Address _____

I Accept

Director _____

HEM FINLEASE PRIVATE LIMITED.

203, Jaipur Tower, M.I. Road, Jaipur-302001 (Rajasthan) (30)

Date: _____

UMRN

Date

Tick (✓)

Sponsor Bank Code

HDFC0000060

Utility Code

NACH00000000007825

CREATE
MODIFY
CANCEL

I/We hereby authorize

HEM SECURITIES LIMITED

to debit (tick✓)

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

Bank a/c number

with Bank

Name of customers bank

IFSC

or MICR

an amount of Rupees

TEN THOUSAND ONLY

₹ 10,000.00

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☒ As & when presented

DEBIT 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

DD MM YYYY

To

DD MM YYYY

Or

☒ Until Cancelled

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, understood and made by me/us. I am authorising the user entity/corporate to debit my account.

* I have understood 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 authorized 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).

UMRN

Date

Tick (✓)

Sponsor Bank Code

HDFC0000060

Utility Code

NACH00000000007825

CREATE
MODIFY
CANCEL

I/We hereby authorize

HEM SECURITIES LIMITED

to debit (tick✓)

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

Bank a/c number

with Bank

Name of customers bank

IFSC

or MICR

an amount of Rupees

TEN THOUSAND ONLY

₹ 10,000.00

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☒ As & when presented

DEBIT 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

DD MM YYYY

To

DD MM YYYY

Or

☒ Until Cancelled

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, understood and made by me/us. I am authorising the user entity/corporate to debit my account.

* I have understood 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 authorized 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).

NACH/ECS/AUTO DEBIT

MANDATE INSTRUCTION FORM

UMRN

Date

Tick (✓)

Sponsor Bank Code

Utility Code

CREATE
MODIFY
CANCEL

I/We hereby authorize

BSE 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 presented

DEBIT TYPE ☐ Fixed Amount ☒ Maximum Amount

Reference 1 (Mandate Reference No.)

Phone No.

Reference 2 (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

DD MM YYYY

To

DD MM YYYY

Or

☐ Until Cancelled

1.

2.

3.

- This is to confirm that the declaration has been 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 to the User entity / Corporate or the bank where I have authorized the debit.