



Form No.

Hem Securities Limited

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

Hem Finlease Pvt. Ltd.

NATIONAL STOCK EXCHANGE OF INDIA LTD. (NSE)

CLIENT REGISTRATION FORM - NON 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 :	1201770

Registered Office : 203, Jaipur Tower, M. I. Road, Jaipur-302001 • Phone : 0141-4051000 / 2363278
Mumbai Office : 904, A-Wing, Naman Midtown, Senapati Bapat Marg, Elphinstone Road, Lower Parel, Mumbai-13
Website : www.hemsecurities.com

Form Received by

Form Checked by

Form Entered by

Form Audited by

Document Check List (HUF)

1. PAN CARD COPY OF INDIVIDUAL AND HUF.
2. ADDRESS PROOF OF INDIVIDUAL AND HUF.
3. PASSPORT SIZE PHOTO OF KARTA (ONE).
4. RUBBER STAMP OF HUF REQUIRED ON EVERY SIGN OF KARTA.
5. PAN CARD OF ANY ONE MEMBER OF HUF.
6. HUF MEMBER DECLARATION (PAGE NO. 32)

Document Check List (Corporate)

1. Photograph of whole time Directors/two Directors in charge of day to day operations (to be pasted on Account opening form)
2. Copy of PAN Card of Company
3. Copy of PAN Card of whole time Directors/two Directors in charge of day to day operations. (Authorized Signatory)
4. Address proof of Company.
5. Address proof of whole time Directors/two Directors in charge of day to day operations.
6. Proof of Bank Account of the Company
7. DP Proof of Company. (App. in case of Trading Account)
8. Copy of Balance sheet latest 2 financial years (to be submitted every year)
9. Self attested copy of Memorandum & Articles of Association of the Company and certificate of incorporation.
10. Board Resolution on letter head of company.
11. Copy of the latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/whole time director/MD (to be submitted every year).
12. Authorised signatories list with specimen signature on letter head of the company along with their photo
13. List of Directors on Letter Head along with their signature & Din No.
14. Two Years ITR Return copy (latest),
15. CIN
16. View Signatory list from MCA Website

All documents need to be attested.

HEM SECURITIES LIMITED / HEM FINLEASE PVT. LTD.

Acknowledgment Receipt

Form No.

We acknowledge the receipt of the following :

1. 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 :

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to Trading account/Demat A/c.	1-7
2.	Rights and Obligations	Document stating the Rights & Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	Annexure A
3.	Depository Service Charges	Document detailing DP services charges/Fee Structure for the Demat Account with Hem Securities Ltd.	8
4.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	9
5.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker/AP and 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.	10-12
VOLUNTARY DOCUMENTS			
1.	Terms and Conditions for receiving SMS Alerts from CDSL	Prescribed by Depository. Required to receive alerts directly from the Depository for the transactions executed in the demat account.	13-14
2.	Terms & Conditions of Availing transaction using Secured Texting	TRUST Service offered by CDSL	15-16
3.	Common Registration Form	For Availing SMS Alert and/or TRUST Facility	17
4.	Details of Politically Exposed persons (PEP)	Related to Politically Exposed persons (RPEP)	17
5.	Guidance note	Simple Do's & Dont's	18
6.	Instructions to the Applicants	BOs for account opening	18
7.	Running Account Authorisation	Required for maintaining clients account on a running account basis.	19
8.	Authorisation for Electronic Contract Note / Statements	Required for issuance of Electronic Contract Notes, Statement of Account and other documents on the client's registered e-mail id.	20
9.	Letter of Authority	Required for the purpose of operational efficiency	21
10.	Auto Square Off Letter/Intimation	Auto Square Off Letter/Intimation	22
11.	Authority for Intra Firm Adjustments	Required for adjustments of funds/securities among different exchanges.	23
12.	Internet Trading Letter	Required to avail facility of online trading	24
13.	MTF	Margin Trading Agreement	25-29
14.	Power of Attorney (POA) BSE/NSE	Limited Purpose Power of Attorney of Demat Account for Operational Requirements	30-31
15.	Format of Declaration	By Karta And All Co-parceners In HUF Account	32
16.	FATCA	Fatca & CRS Declaration	33-34
17.	Common E-mail, Mobile Format	Declaration of Common Mail, Mobile in Family Accounts	35
18.	NACH Mandate	NACH Registration	36

HEM SECURITIES LIMITED (HSL) - Trading Member & 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 : U67120RJ1996PTC011799

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/ dis@bseindia.com, Phone no. 0141-2370877/022-22728517

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

You can also lodge your grievances with SEBI at [http:// scores.gov.in](http://scores.gov.in) For any queries, feedback or assistance, please contact SEBI office or toll free Helpline at 1800-22-7575 / 1800-266-7575 Filing of complaints on SCORES – Easy & quick

a. Register on SCORES portal

b. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, Email ID

c. Benefits: Effective communication Speedy redressal of the grievances

SCORES website <https://scores.gov.in/scores/Welcome.html>

ACKNOWLEDGEMENT

To,

Manager,

Hem Securities Ltd. / Hem Finlease Pvt. Ltd.

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

Dear Sir / Madam:

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

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

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

Disclosure Information

Sir,

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

Thanks and best regards.

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

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



Signature of Karta/Authorized Signatory (1/33)



Signature of Second Authorized Signatory

Know Your Client (KYC)

Application Form (For Non-Individuals Only)



Application No. :

Please fill this form in ENGLISH and in Block Letters

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. Date of Incorporation | d | d | / | m | m | / | y | y | y | y

Place of Incorporation

3. Registration No. (e.g. CIN)

Date of commencement of business

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

4. **Status** Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs ☐ HUF ☐ FI ☐ FII
☐ FPI Category I ☐ FPI Category II ☐ FPI Category III ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation
☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please specify) _____

5. Permanent Account Number (PAN) (MANDATORY)

Please enclose a duly attested copy of your PAN Card

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village										Country										Postal Code									
State																													

2. Contact Details

[illegible]

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

- ☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
- ☐ Any other proof of address document (as listed overleaf). (Please specify)

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

4. Registered Address (If different from above)

City / Town / Village										Country										Postal Code									
State																													

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

- ☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
- ☐ Any other proof of address document (as listed overleaf). (Please specify)

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

C. Other Details (please see guidelines overleaf)

1. Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors
(Please use the Annexure to fill in the details)

2. Any other information:

DECLARATION

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

Place:

Date: |

**NAME & SIGNATURE(S)
OF AUTHORISED
PERSON(S)**

(2/33)

FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code

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

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

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/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor or, 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 FI/sub account, Power of Attorney given by FI/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, FIs, MFs, VFCs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations • Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly • Copies of the Memorandum and Articles of Association and certificate of incorporation • Copy of the Board Resolution for investment in securities market • Authorised signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only) • Copy of partnership deed • Authorised signatories list with specimen signatures • Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered trust only). Copy of Trust deed • List of trustees certified by managing trustees/CA • Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> • PAN of HUF • Deed of declaration of HUF/List of coparceners • Bank pass-book/bank statement in the name of HUF • Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document • Resolution of the managing body & Power of Attorney granted to transact business on its behalf • Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Please Submit the KYC Documents on A4 Size Paper Only.

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

Name of Applicant _____ PAN of the Applicant _____

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

(3/33)
Signature of Karta/Authorized Signatory

Date dd/mm/yyyy



DEMAT AND TRADING ACCOUNT RELATED DETAILS

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. BANK ACCOUNT DETAILS *

Primary Bank Details (for DP and Trading) :

Bank Name _____

Branch Address _____

Bank Account No. _____ Branch _____

11 digit RTGS / NEFT / IFA Code : _____ 9 Digit MICR Code : _____

Virtual Payment Address (VPA)

Account Type : ☐ Saving ☐ Current ☐ Others :

☐ Pay- out Option ☐ As per Group ☐ Cheque ☐ Online Transfer /NEFT / RTGS

Bank/MICR/IFSC proof submitted : Cancelled Cheque (with client Name & A/c No. pre-printed)

Bank Passbook* (if hand written, then with stamp of Bank) Bank verification letter* (with Rubber Stamp & Sign of Bank Manager)

Bank Statement* (Either on Bank Stationery or with rubber stamp & sign of Bank Manager) *Documents should not be more than 3 months old*

Secondary Bank Details

Bank Name _____

Branch Address _____

Bank Account No. _____ Branch _____

11 digit RTGS / NEFT / IFA Code : _____ 9 Digit MICR Code : _____

Virtual Payment Address (VPA)

Account Type : ☐ Saving ☐ Current ☐ Others :

B. DEPOSITORY ACCOUNT DETAILS **

Depository Participant ☐ CDSL ☐ NSDL

Depository Participant Name _____







Beneficiary Name _____

DP ID No. _____ Beneficiary ID _____

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

C. TRADING PREFERENCES***

Please sign along with stamp/seal in the relevant boxes where you wish to trade. The segment not chosen should be struck off .

Exchanges		Segments	Exchanges		Segments
BSE	Cash	 (4/33)	NSE	Cash	 (7/33)
	F&O	 (5/33)		F&O	 (8/33)
	Currency Derivative	 (6/33)		Currency Derivative	 (9/33)

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
	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 AUTHORIZED PERSON (AP) AND OTHER STOCK BROKERS

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

AP Name: _____ SEBI Registration number : _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

Whether dealing with any other Stock 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 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 : ☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Others, please specify _____

Address and phone no. of the Introducer : _____

Signature of the Introducer : _____

DECLARATION

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

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

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



Signature of Karta/Authorized Signatory (10/33)

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 them 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.hemsecurities.com for the information of the clients.

Signature of Authorised Signatory

Seal / Stamp of HSL / HFPL

Additional KYC Form for Opening a Demat Account

For Non-Individuals

(To be filled by the Depository Participant)

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

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

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

HOLDER'S DETAILS

Name*	
<p>* 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.</p>	

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status								Sub - Status			
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> HUF <input type="checkbox"/> Other (Specify)											
SEBI Registration No. (If Applicable)		SEBI Registration date	D	D	M	M	Y	Y	Y	Y	
RBI Registration No. (If Applicable)		RBI Approval date	D	D	M	M	Y	Y	Y	Y	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)_____										

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)			<input type="checkbox"/> Yes <input type="checkbox"/> No



Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC/CH			
Clearing Member Id		Trading Member Id	

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"/> Rs. 25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs. 1,00,00,000
	Net worth as on (Date)
	(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 (for authorised signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors) <input type="checkbox"/> Politically Exposed Person (PEP) or <input type="checkbox"/> Related to Politically Exposed Person (RPEP) .	
Any other information :	

I / We have received and read the document of 'Rights & Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information will render my account liable for termination and suitable action.

	Karta / Authorised Signatory	Second Authorised Signatory
Name		
Designation		
Signature	 (11/33)	

Note : Please affix stamp/seal of HUF / Firm / Company etc. along with signatures on all the places in this Form.

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

S. No.	Particulars	Charges for HUF (in INR)	Charges for Corporates (in INR)
1	Stamp Charges	FREE	FREE
2	Annual Maintenance Charges (AMC)	SCHEME I : Annual AMC Rs. 299/-	Rs. 999/-
SCHEME II : Annual AMC (1st Year Free AMC) Rs. 399/-*			
SCHEME III : One Time AMC Rs. 1,199/-*			
3	Transaction Charges		
	a Purchase (On Market/ Off Market)	FREE	FREE
	b. Sale (On Market/ Off Market - Slip Transaction)	Min Rs. 30 and Max Rs. 100 (subject to 0.02% of transaction value whichever is lower)	Rs. 12 or 0.03% of transaction value whichever is higher)
	c Sale (POA)	Min Rs.20 and Max Rs.100 (subject to 0.02% of transaction value whichever is lower)	Rs. 12 or 0.03% of transaction value whichever is higher)
5	Delivery Instruction Slip Book		
	a. First DIS Book	FREE + Courier/ Postage Charges	FREE + Courier/ Postage Charges
	b. Additional DIS Book	Rs. 30/- per book (10 slips) + Courier / Postage Charges	Rs. 65/- per book (50 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	FREE
	b Physical	Rs. 5/- Page + Courier / Postal Charges	Rs. 10/- Page + Courier / Postal Charges
7	Dematerialization	Rs.10/- Per certificate (minimum Rs. 20/-) + Courier/Postage charges	Rs.2/- Per certificate + Rs. 25/- Postage charges (minimum 9 certificates
8	Rematerialization	Rs.100/- or maximum 0.03% of transaction value whichever is higher	Rs.25/- per 100 shares
9	Instruction Failure	Rs. 40/- per transaction	Rs. 20/- per transaction
10	Demat Rejection Charges	Rs. 40/- per transaction	Rs. 40/- per transaction
11	Pledge Creation/ Closure/ Invocation Charges	Rs. 50/- Per request	0.03% of value (min Rs. 25/-)
12	KRA Charges in BSDA account	Rs.80/-	NA
13	Modification Charges (Online/ Offline)	Rs.25/- per request	Rs.25/- per request

GST as per prevailing rates will be charged extra on aforesaid Fees.

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**. (Individual/HUF)
- ** **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 (Individual/HUF)
- 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 Karta/Authorized Signatory (12/33)

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)			

NOTE : All statutory charges will be levied as per applicable rates.



Signature of Karta/Authorized Signatory (13/33)

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 unpaid securities account (CUSA) 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 and 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 12 months. 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.

(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 electronic mode. 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.



Signature of Karta/Authorized Signatory (14/33)

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)**
- d. Rights & obligations of stock brokers & clients for Margin Trading Facility – MTF (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 Karta/Authorized Signatory (15/33)



Signature of Second Authorised Signatory

TERMS & CONDITIONS FOR RECEIVING SMS ALERTS FROM CDSL

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 Marathon Furturex, A-Wing, 25th Floor, N M Joshi Marg, Lower Pearl, Mumbai 400013 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 Authorised Person/ Karta	Second Authorized Person
Name		
Signature with Seal / Stamp	 (16/33)	

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.

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:-
- There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - 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.
 - There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.



Signature of Karta/Authorized Signatory (17/33)

SMS Alert Facility and / or TRUST facility

<p>SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4</p>	<p>Mobile No. +91 _____</p> <p>[(Mandatory, if you are giving Power of Attorney (POA))]</p> <p>If POA is not granted you do not wish to avail of this facility, cancel this option.).</p>	<p><input type="checkbox"/> YES</p> <p><input type="checkbox"/> NO</p>									
<p>Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure-2.6</p>	<p>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.</p> <p><input type="checkbox"/> YES</p> <p><input type="checkbox"/> NO</p> <p>I wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST</p> <table border="1" data-bbox="443 1700 1495 1778"> <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)									
<p>Easi</p>	<p>To/We register for easi, please visit our website www.cdslindia.com.</p> <p>Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.</p>										



Signature of Karta/Authorized Signatory (18/33)

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									
---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Client 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.



Signature of Karta/Authorized Signatory (19/33)

Details of Politically Exposed Persons (PEP) / Related to Politically Exposed Person (RPEP). [For Non-Individual]

Name of Holder _____ PAN of the Holder _____

Sr. No.	Name of the Authorized signatories / Promoters/ Partners / Karta / Trustees / Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc.	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

Name & Signature of the Authorised Signatories Date ____/____/____

PEP : Politically Exposed Person RPEP: Related to politically Exposed Person



Signature of Karta/Authorized Signatory (20/33)

SIMPLE DOs and DON'T'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.



Signature of Karta/Authorized Signatory (21/33)

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. Through 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 him.
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 lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.



Signature of Karta/Authorized Signatory (22/33)

**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/We 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/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my 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/We 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/We instruct you to transfer the same to my account.
3. I/We 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/We 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/We 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/We confirm you that I/We 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/We request you to settle my funds account.

Once in every :-

- ☐ **Calendar Quarter**
☐ **Calendar Month**

Thanking you
Yours faithfully,

Client Name _____

Trading Code _____



Signature of Karta/Authorized Signatory (23/33)

**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

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

Dear Sir,

In reference to 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 Stock Exchanges, We hereby give 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 our below mentioned e mail id.

We further give 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 our below mentioned e mail id for the Depository services we are availing through Hem Securities Ltd.- DP.

We confirm that the e mail address has been generated by us.

1.....

2.....

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

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



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. 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.

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

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 our computer system/server/internet connection etc. Further 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 us due to misuse of information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of our above authorization request.

Our Trading code is _____

Our BO ID _____

	First/Authorized Signatory/Karta	Second /Authorized Signatory
Name		
Signature with Stamp/ Seal	 (24/33)	

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

We shall be dealing in securities with you at BSE Limited (Bombay Stock Exchange), National Stock Exchange of India Ltd. (NSE) in Cash, F&O, Currency Derivatives Segment and in order to facilitate ease of operations, We authorise you as under:

1. We 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 us.
2. We hereby authorise you not to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. We shall get the required details from contract notes issued by you.
3. We hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange or for giving the same as margin to the Stock Exchange or otherwise.
4. We request you to retain credit balance in any of our account and to use the idle funds towards our margin/future obligations of Exchange unless we instruct you otherwise. We also authorize you to debit the necessary demat charge from time to time, for keeping the shares in your Client Unpaid securities Account (CUSA) on our behalf. We also authorise you to debit the financial charges upto@ 2% p.m. for the debit balances if any, in our account and not settled as per the exchange requirements.
5. We request you to consider our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. We are getting required details from contract not issued by you.
6. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. We agree that we shall be fully liable and responsible for any such problems.
7. We are agreeable for inter-settlement transfer of securities towards settlements.
8. We are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
9. All fines/penalties and charges levied upon you due to our acts/deeds or transactions may be recovered by you from our account.
10. We hereby authorize you to send me SMS alerts on my mobile number for Trade confirmations, research calls, investment ideas or any other information etc. including all commercial communication even though we are 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.
11. We have a Trading as well as depository relationship with Hem Securities Ltd. Please debit the charges relevant with depository services from our trading account. We also agree to maintain the adequate balance in our trading account / pay adequate advance fee for the said reasons.
12. We hereby confirm that We have read & understood the provisions of Prevention of Money Laundering Act and will comply with these provisions.
13. We Confirm you, that we can revoke the above mentioned authority at any time by giving notice in writing to you.

Yours faithfully,

Client Name _____

Trading Code _____



INTRADAY TRADING FACILITY (AUTO SQUARE OFF LETTER)

VOLUNTARY

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

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

Date

Dear Sir,

I/ We request you to grant me/us higher trade limit for executing intra-day trades at permitted stock exchange(s).
I/We agree and undertake to square-off my/ our open intraday trades on the same day any time before 20 minutes of normal market close or such other time as may be informed to me/us through email or otherwise. In the event of my/our failure to square off all outstanding intraday trades by the predefined time or such other time as may be intimated to me/us from time to time, you are authorized to cancel all pending intraday orders and to square-off my/our open intraday position on the same day at market rate at your discretion.

Notwithstanding the above, I/we agree that if the mark to market losses on my/our cash positions and/ or F&O and/ or Currency Derivative positions reaches the specified percentage of margin deposit, as may be intimated from time to time, the entire outstanding positions in cash, derivative, currency segment may be closed /squared up by you on occurrence of such event.

If due to power failure, connectivity failure, circuit breakers, lack of market depth or any other reason, my/our open trade is not square-off on the same day, you may square-off the same on the next trading day at market rate at your discretion.

I/ We agree that in all the above instances the resulting loss and penalty chargeable by you or stock exchanges, if any, shall be fully borne by me/us.

with Thanks & Regards,

Client Name _____

Trading Code _____



Signature of Karta/Authorized Signatory (26/33)

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/We hereby inform you that I/We 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/wehereby 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 off 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 Karta/Authorized Signatory (27/33)

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 BSE Limited (Bombay Stock Exchange) and National Stock Exchange Limited of India 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 Karta/Authorized Signatory (28/33)

MARGIN TRADING AGREEMENT

This Agreement (hereinafter referred to as "Agreement") is entered into on this _____ day of _____, 2020, by and between **Hem Securities Limited/ Hem Finlease Private Limited**, a Company incorporated under the Companies Act, 1956, having its registered office at 203, Jaipur Tower, M.I. Road, Jaipur, Rajasthan- 302001 (hereinafter referred to as "the broker", which expression shall, unless repugnant to the meaning or context thereof, be deemed to mean and include its successors and assigns) of the One Part;

AND

M/s./ Mr./ Mrs./ Ms. _____, Unique Client Code being _____, whose details are as below:

(hereinafter referred to as the "Client" which expression shall, unless repugnant to the deemed context or meaning thereof to include his/ her/ its heirs and/ or legal representatives and/ or successors and/ or executors and/ or permitted assignees and/ or administrators and/ or successors in business) of the Other Part.

WHEREAS:

- (a) Hem Securities Limited/ Hem Finlease Private Limited is engaged, inter alia, in the business of stock broking and is a Trading Member of BSE Limited/ National Stock Exchange of India Ltd., with SEBI Registration Number INZ000168034 and INZ000167734 respectively.
- (b) Hem Securities Limited/ Hem Finlease Private Limited is engaged in providing Margin Trading Facility (hereinafter referred to as MTF), as described hereinafter, to those clients who are registered with it as client for availing Stock Broking Services and have also entered into an agreement for availing of the Margin Trading Facility.
- (c) The Client is registered with Hem Securities Limited/ Hem Finlease Private Limited as a client for stock broking services and is desirous of availing Margin Trading Facility, and has approached Hem Securities Limited/ Hem Finlease Private Limited with that request.
- (d) Upon the request of the Client, Hem Securities Limited/ Hem Finlease Private Limited has agreed to provide the said facility to the client subject to the terms and conditions contained in this Agreement.

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN HEM SECURITIES LIMITED/ HEM FINLEASE PRIVATE LIMITED AND CLIENT AS UNDER:

I. DEFINITIONS & INTERPRETATIONS

1. "Initial Margin" means the minimum amount, calculated as a percentage of the transaction value, to be placed by the client, with the broker, before the actual purchase. The broker will advance the balance amount to meet full settlement obligations.
2. "Maintenance Margin" means the minimum amount, calculated as a percentage of the market value of the securities, calculated with respect to the last trading day's closing price, to be maintained by the client with the broker.
3. "Margin Trading Facility" or MTF means and refers to the facility pursuant to which part of the transaction value due to the Stock Exchange, at the time of purchase of Shares, shall be paid by Hem Securities Limited/ Hem Finlease Private Limited on behalf of the Client on Client's request, on such terms and conditions as contained in this Agreement.
4. "Mark to Market Loss" or "MTM Loss" means the difference between the purchase value of the shares and the marked to market value of the shares.
5. "Mark to Market Value of shares" or "MTM Value of Shares" means the value of shares calculated with reference to the previous day's closing price on the Stock Exchange.

6. "Share/s" means and refer to the shares/ stock/ securities eligible for margin trading facility, as specified by the SEBI from time to time and approved by Hem Securities Limited/ Hem Finlease Private Limited for the purpose of granting MTF.
7. "Stock Exchange" means the stock exchange on which the shares has been purchased.

Unless the Context otherwise requires:

1. The expression month and year shall be to the calendar month or calendar year.
2. Reference to date or dates which do not fall on a working day, shall be construed as reference to the day or date falling on the immediately subsequent Working day.

II CLIENT REPRESENTATION

The Client hereby undertakes to:

1. Place the initial and maintenance margin amounts as the Broker may specify to the Client from time to time, subject to requirements specified by SEBI.
2. Authorize retention of the shares with the broker upon the receipt of the same in the pay out from the Stock exchange till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
3. To pay to the broker- brokerage, commission, fees, transaction costs, GST, stamp duty and other taxes/ expenses as are prevailing from time to time and as they apply to the Client's account, transactions and to the Services that the broker renders to the Client.
4. Abide by any revision in any of the terms of this agreement as may be agreed between the parties.

III. CLIENT'S WARRANTIES

The Client warrants, represents and assures Hem Securities Limited/ Hem Finlease Private Limited that:

1. He/ She/ It has the necessary authority to enter into this Agreement and observe and perform the obligations herein contained.
2. He/ She/ It shall duly observe and perform the conditions and obligations stated herein.

IV. BROKER'S REPRESENTATION

Hem Securities Limited/ Hem Finlease Private Limited represents that:

1. On entering into this agreement and deposit of initial margin by the client, Hem Securities Limited/ Hem Finlease Private Limited undertakes to settle the obligation towards the Stock Exchange for and on behalf of the Client. The Client hereby agrees and authorize Hem Securities Limited/ Hem Finlease Private Limited to make such payment on their behalf.

V. MARGIN TRADING FACILITY

1. The margin facility shall carry interest at 18% per annum.
2. The Client shall be free to take the delivery of the Share at any time by repaying the amount that was paid by Hem Securities Limited/ Hem Finlease Private Limited to the Stock Exchange towards Shares, and further paying all such sums of money as may be due towards brokerage, transaction costs and charges, GST and other costs towards their transactions. Alternatively, Client may at any time, but not before the delivery of the Shares has been actually received by Hem Securities Limited/ Hem Finlease Private Limited, choose to sell the Shares on the Stock Exchange by issuing appropriate instructions to Hem Securities Limited/ Hem Finlease Private Limited.

3. Provided however that, the Client may at their risk as to cost and consequences, choose to sell the Shares prior to receipt of confirmation from the Stock Exchange of delivery of Securities against their Purchase, and in such situation, the Client shall be fully responsible to bear the losses/ costs arising due to auctions/ closeout by the Stock Exchange, in the event the delivery against purchase fails to materialize.
4. Where the Shares are sold as provided in sub-clause 2 & 3 above, Hem Securities Limited/ Hem Finlease Private Limited will effect the pay- in of Shares to the Stock Exchange in accordance with the Stock Exchange requirements. Upon receipt of sale proceeds from the Stock Exchange towards the sale of Shares, Hem Securities Limited/ Hem Finlease Private Limited shall, after deducting therefrom brokerage, fees, charges, levies, taxes, duties and other costs, charges and expenses, and further deducting amounts due to it from the Client on account of moneys paid by Hem Securities Limited/ Hem Finlease Private Limited on their behalf to the Stock Exchange at the time of purchase of Shares, effect the net payment to the Client.
5. Hem Securities Limited/ Hem Finlease Private Limited may, at its sole and absolute discretion, revise the limit of initial and/ or maintenance margin amount from time to time. The Client agrees and undertakes to abide by such revision, and where there is an upward revision of such margin amount, he/ she/ it agrees to make up the shortfall within such time as Hem Securities Limited/ Hem Finlease Private Limited may permit, failing which the Client shall be deemed to be in breach of this Agreement.
6. The MTF shall be provided only in respect of such Shares as may be decided by Hem Securities Limited/ Hem Finlease Private Limited from time to time.
7. The Client may furnish further Margin Amount from time to time for availing higher MTF Limit.

VI. MONITORING CLIENT'S POSITIONS

1. Hem Securities Limited/ Hem Finlease Private Limited shall monitor and review on a continuous basis the client's positions with regard to the margin trading facility.
2. Hem Securities Limited/ Hem Finlease Private Limited shall make a 'margin call' requiring the client to place such Margin Amount with a view to make up for the MTM Loss, if any, in accordance with SEBI requirements.
3. On receipt of 'margin call' intimation from Hem Securities Limited/ Hem Finlease Private Limited, the Client shall make good such deficiency by placing the further Margin Amount, within such time as is specified by SEBI, failing which the Client shall be deemed to be in breach of this Agreement.
4. Notwithstanding what is stated above, Hem Securities Limited/ Hem Finlease Private Limited may immediately sell the Shares, in the circumstances specified by SEBI and for this purpose, the Client do hereby expressly authorize such sale, and thereafter, the sale proceeds shall be treated in the manner specified in Clause V (4) above. Hem Securities Limited/ Hem Finlease Private Limited may, in its sole discretion, determine which Shares is/ are to be sold, and/ or which contract(s) is/ are to be closed.
5. The Client agrees and understands that Hem Securities Limited/ Hem Finlease Private Limited shall have full freedom and authority to vary, modify, revise the initial and maintenance margin amount, minimum transaction amount from time to time, subject to the SEBI requirements in this respect, and Client agrees to abide by such variation, modification or revision.

VII. PLEDGE OF SECURITIES

Notwithstanding anything contained in this Agreement, the Client hereby pledges and shall have deemed to have pledged forthwith the Shares, at the time when received by Hem Securities Limited/ Hem Finlease Private Limited, as security for repayment and settlement of amounts due to Hem Securities Limited/ Hem Finlease Private Limited from the Client under Margin Trading Facility along with interest and other amounts payable thereunder. The Client hereby records that the share certificates, account statements or any other documents evidencing the right, title and interest of the Client as the holder of the Securities shall remain deposited and shall be deemed to have been deposited by the Client as having been deposited being marketable securities, for repayment of the amounts due under the Margin Trading Facility and this instrument accordingly shall be deemed to be connected with the mortgage of the marketable securities/ shares as contemplated by Section 24 of the Bombay Stamp Act, 1958/ Section 23A of the Indian Stamp Act, 1899 or the corresponding/ relevant provisions of the Stamp Act as in force in the relevant state.

VIII. BREACH OF THIS AGREEMENT

In the event of Client committing any breach of any terms or condition of this Agreement, Hem Securities Limited/ Hem Finlease Private Limited shall be entitled to terminate this Agreement forthwith. However, Hem Securities Limited/ Hem Finlease Private Limited at its option may elect to give notice to the Client of such duration, and extended from time to time, if so decided by Hem Securities Limited/ Hem Finlease Private Limited, requiring the Client to cure the breach.

IX. TERMINATION & EXPIRY

1. This Agreement shall stand terminated forthwith, as provided in Clause VIII above, or on the Client failing to cure the breach within the time period as provided in the Notice given thereunder.
2. This Agreement shall automatically stand terminated, without any further act on the part of any party hereto, on and from the date of termination/ determination of the Client Member Agreement executed between the parties hereto in respect of stock broking services provided/ being provided by Hem Securities Limited/ Hem Finlease Private Limited to the Client.
3. In the event of termination/ determination of this Agreement, the Client shall forthwith settle the dues of Hem Securities Limited/ Hem Finlease Private Limited. Hem Securities Limited/ Hem Finlease Private Limited shall be entitled to immediately adjust the Margin Amount against the dues of the Client, and the Client hereby authorizes Hem Securities Limited/ Hem Finlease Private Limited to make such adjustment.
4. After such adjustment, if any further amount is due from the Client to Hem Securities Limited/ Hem Finlease Private Limited, the Client shall settle the same forthwith. Upon full settlement of all the dues of the Client to Hem Securities Limited/ Hem Finlease Private Limited, Hem Securities Limited/ Hem Finlease Private Limited shall release the balance amount to the Client.
5. In the event of failure of the Client to settle the dues of Hem Securities Limited/ Hem Finlease Private Limited within 90 days, Hem Securities Limited/ Hem Finlease Private Limited shall be entitled to enforce its rights and shall be entitled to sell off Shares, and adjust/ apply the net sale proceeds thereof in recovery of its dues.

X. NOTICES & COMMUNICATIONS

Any notice or other communication to be given by one party to the other under or in connection with this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by confirmed facsimile transmission or by prepaid registered post or email to the addressee at the address/ number (if any), of that party set opposite its name below:

- (a) Notices/ Communications to be sent to **Hem Securities Limited/ Hem Finlease Pvt. Ltd:**

Address: 203, Jaipur Tower, M.I. Road, Jaipur, Rajasthan- 302001

Telephone: 0141-4051000

E-mail: hem@hemsecurities.com

- (b) Notices/ Communications to be sent to the Client:

Address: _____

Telephone: _____

Email: _____

XI. WAIVER

Subject to SEBI requirements, any of the terms and conditions of this Agreement may be waived at any time by Hem Securities Limited/ Hem Finlease Private Limited, but no such waiver shall affect or impair the right of Hem Securities Limited/ Hem Finlease Private Limited to require observance and performance of any other term or condition hereof and no waiver hereunder shall be considered valid unless made

in writing and signed by Hem Securities Limited/ Hem Finlease Private Limited and no such waiver, or any failure or delay on the part of Hem Securities Limited/ Hem Finlease Private Limited to exercise any right, power or privilege hereunder shall be deemed a waiver of any subsequent breach of default nor shall any single or partial exercise of any such right, power or privilege preclude any further exercise thereof or the exercise of any other right, power or privilege.

XII. CLIENT CONFIDENTIALITY

The member hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client, in confidence and that it shall not disclose the same to any person/ entity except as required under the law.

Provided however, that the member may share the details of the client as mentioned in the client registration form or any other information pertaining to the client with parties/ entities other than required under law with the express permission of the client.

IN WITNESS WHEREOF the parties hereto have set their respective hands on the date above- mentioned

Signed and delivered by _____)

_____)

for and on behalf of _____)

Hem Securities Limited/ Hem Finlease Private Limited

in the presence of: _____)

_____)

Signed and delivered by the within named _____)

Client, _____) ☐

 Signature of Karta/Authorized Signatory (29/33)

in the presence of: _____)

_____)

BLANK

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 BSE Limited (Bombay Stock Exchange) 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

- 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 BSE Limited (Bombay Stock Exchange) 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.**
- 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;
- 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

Karta/First Authorised Signatory

Second Authorised Signatory

WITNESS:

Signature _____
Name _____
Address _____

I Accept

Authorized Signatory _____

HEM SECURITIES LIMITED.

203, Jaipur Towers, M.I. Road, Jaipur

Only for HUF Accounts (Mandatory)		
S.No.	Co -Parceners Name	Signature

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

- 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.**
- 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;
- 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

Karta/First Authorised Signatory

Second Authorised Signatory

WITNESS:

Signature _____

Name _____

Address _____

I Accept

Authorized Signatory _____

HEM FINLEASE PRIVATE LIMITED.

203, Jaipur Tower, M.I. Road, Jaipur-302001 (Rajasthan) (31)

Only for HUF Accounts (Mandatory)		
S.No.	Co -Parceners Name	Signature

Date: _____

FORMAT OF DECLARATION BY KARTA AND ALL CO-PARCENERS IN HUF ACCOUNT

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

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

Date

Dear Sir,

With regard to Trading Account _____
maintained in the name _____
address _____

We the following members, being the co-parceners in the HUF account do here by give our consent that the said Karta, viz _____ would operate above mentioned BO/Trading account as far as shares transaction of the HUF account is concerned.

We further declare and authorize you to recognize the beneficiary account no. _____ with depository _____ opened in the name of the undersigned who is the Karta of the HUF for the purpose of completing the share transfer obligation pursuant to the trading operations. We agree and understand that this is to facilitate the operation of above trading account. The transfer made in the above beneficiary account shall be to complete discharge of obligation in respect of trades executed in the above trading account.

Details of HUF and all its co-parceners

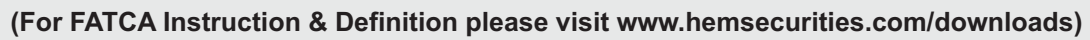
S.no.	Name of Member	Date of Birth	Gender	Relationship with Karta	Signature


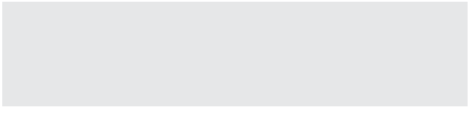
I here by state that details mentioned above are true and any change would be intimated in writing.

Title Of HUF _____



(30/33) Signature of Karta
(with HUF stamp)



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 (%) ^{\$}			
<p>* To include US, where controlling person is a US Citizen or green card holder</p> <p>*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.</p> <p>*In case Tax Identification Number is not available, kindly provide functional equivalent</p> <p>\$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory I Company Secretary</p>			
DECLARATION			
<p>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</p> <p>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).</p>			
Name			
Designation			
Sign here: (I) 	 Signature of Karta/Authorized Signatory (31/33)		Date : <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Place : <input type="text"/>

Common E-mail ID / Mobile Number of Authorized Signatory/Karta

To
Hem Securities Ltd. / Hem Finlease Pvt. Ltd.
203, Jaipur Tower, M. I. Road,
Jaipur-302001

Date

We hereby declare that the Mobile Number and/or Email ID given in the Account Opening Form are/is of the Authorised Signatory/ Karta. We do not have any objection, if the same Email ID and/or Mobile Number is used by you for sending any Document and Information.

S. No.	Name	Trading Code	Demat Account No.	Signature
1.				
2.				
3.				
4.				
5.				

Client Name : _____

Trading Code : _____

(32/33) Signature of Karta/Authorized Signatory

NACH Registration Form



Hem Securities Ltd.

The full form of NACH is National Automated Clearing House. It was started for banks, financial institutions, corporates, and government by National Payments Corporation of India(NPCI). If you register for NACH, HSL will use the auto-debit mandate(NACH) provided by you to make debits from your Bank Account and the amount mentioned in the NACH Mandate will be the maximum amount that can be debited in a single day by HSL.

HSL hereby declares and assures the Investor that the funds obtained thereof will not be used for any other purpose other than what the Investor intended the NACH for. This is a one time process and can be revoked anytime by you.

Application Details

Client Name
(as in PAN Card / KYC records)

Client Code

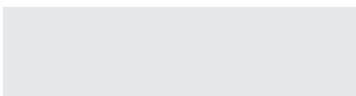
Authorised to Auto - Debit

<input type="checkbox"/>	Ledger Debit	As and When
<input type="checkbox"/>	DP Charges	As and When

NACH Mandate Terms and Conditions:

1. NACH mandate shall be in favour of "Hem Securities Limited."
2. The Bank details on the NACH mandate should be as per the bank details in Client's Demat / Trading Account with Hem Securities Limited.
3. Client Signature on NACH mandate must be as per bank records. Signature of all bank account holders required if mode of holding in account is "Joint"
4. NACH mandate may take 30 days to get registered from the date of submission of mandate to Hem Securities Limited.
5. Client's bank may charge client account for activating any such services. Hem Securities Limited shall not be held responsible or bear any such charges.
6. The mandate can be used for collection of all kind of DP charges including Annual Maintenance Charges from the Client's bank account & the above mentioned.
7. Client hereby declares and confirms that the particulars given on NACH mandate are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, Client would not hold Hem Securities Limited, their representatives, services providers, participating banks & other user institutions responsible.
8. Client hereby authorizes Hem Securities Limited to use of information, contact details disclosed in NACH mandate for the purpose of NACH mandate instruction processing.
9. Client hereby agrees and accepts to adherence to terms of NACH mandate.

Signature of Client 



(33/33) Signature of Karta/Authorized Signatory

**FORMAT OF BOARD RESOLUTION
(On the Letter Head of Company)**

CERTIFIED TRUE COPY OF THE BOARD RESOLUTION PASSED BY THE BOARD OF DIRECTORS OF THE COMPANY IN ITS MEETING HELD ON _____ (DATE) AT THE REGISTERED OFFICE OF THE COMPANY AT _____ (ADDRESS) AND DULY RECORDED IN THE MINUTE BOOKS OF THE COMPANY.

“RESOLVED THAT having regard to the objects of the company and to the operations of the company and its future plans, the Company do open a Demat Account and a Trading Account with HEM SECURITIES LTD. and HEM FINLEASE PVT. LTD. for dealing in shares and securities on the Capital Market and Derivative Segment of BSE Limited (Bombay Stock Exchange) & National Stock Exchange of India Ltd. (NSE) in the name and style of _____ (name of the company).”

“FURTHER RESOLVED THAT Mr. _____ is hereby authorized to negotiate and finalize the terms and conditions and completing the formalities and to sign and execute necessary forms and KYC disclosures and agreements as might be required for the purpose of opening the demat and the trading account as aforesaid and that he is also authorized to operate the said accounts for and on behalf of the Company”.

“FURTHER RESOLVED THAT a certified copy of the said resolution be communicated to Hem Securities Ltd. and Hem Finlease Pvt. Ltd. together with the specimen signature of the aforesaid person authorized”.

SPECIMEN SIGNATURE OF PERSON (S) AUTHORISED

Name

Signature

CERTIFIED TRUE COPY

(Signature of Chairman/Director along with Company Seal)

**FORMAT OF DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM
ON LETTER HEAD OF THE FIRM**

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

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

Date

Dear Sir,

With regard to the objects of the Partnership Firm and to the operations of the Firm and its future plans, the Firm do open a Demat Account and a Trading Account with HEM SECURITIES LTD. and HEM FINLEASE PVT. LTD. for dealing in shares and securities on the Capital Market and Derivative Segment of BSE Limited (Bombay Stock Exchange) & National Stock Exchange of India Ltd. (NSE) in the name and style of _____ (name of the firm).

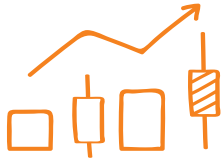
We authorise Mr. _____ one of the partner in the firm to negotiate and finalize the terms and conditions and completing the formalities and to sign and execute necessary forms and KYC disclosures and agreements as might be required for the purpose of opening the demat and the trading account as aforesaid and that he is also authorized to operate the said accounts for and on behalf of the Firm.

NAME AND SIGNATURES OF ALL THE PARTNERS

Name of Partners

Signature

OUR SERVICES



Equities and
Derivatives Broking



Commodities &
Currency Futures



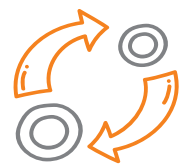
Margin Trading
Facility



Research & Advisory



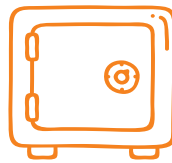
Portfolio Management
Services



Distribution of IPO



Mutual Funds



Depository services
CDSL



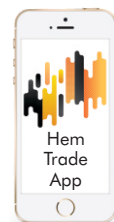
NRI Services



100% Paperless
Account Opening



Investment Banking

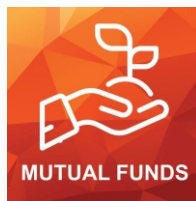


Mobile Trade App

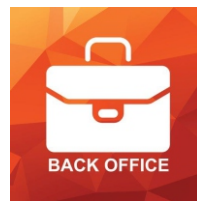
“Download the **Hem Trade**, **Hem Mutual Funds** and the **Hem Back Office** applications from the Play store/ App Store now”



Hem Trade



Hem Mutual Fund



Hem Back Office

Contact Details : Research (Whatsapp & Telegram) 797632684, Back Office : (Whatsapp) 9358994497
For any other queries call us at 0141-4051000, website : www.hemsecurities.com