

# Coimbatore Capital Limited

EQUITIES • DERIVATIVES • COMMODITIES • DEPOSITORY • MUTUAL FUND • INSURANCE

## CLIENT REGISTRATION FORM (Individual)

APPLICATION NUMBER

CLIENT NAME :

.....

CLIENT CODE :

CM .....  F&O .....  CD .....

CLIENT - ID :

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Branch Address (Seal)

## **Application Form for Opening DP Account**

# Coimbatore Capital Limited

Stock Exchange Building, 686, Trichy Road, Coimbatore - 641 005.  
Phone : 0422 - 2320205 - 06 Fax : 0422 - 2320201  
Website : www.coimbatorecapital.com

## Check list for Filling Application Form for DP Account

1. Don't fold the application form.
2. Use Black Pen to fill all the columns and to sign.
3. Please fill in the date.
4. Use only capital letters.
5. Please fill the Bank details in full. (ie. BankA/c No., Bank Name, Branch Name Address with Pincode.)
6. Please fill your 9 digit MICR Code no. Attach original cancelled Cheque leaf of your account.
7. Please tick the standing instruction in the application form.
8. Paste your **recent passport size photo** in the application form. Don't staple the photo.
9. Account holders who use the nomination facility, please fill the nomination form and paste nominee's **recent passport size photo**. The account holder and the nominee should sign the application form and two witnesses must witness the signature with address and date. We strongly recomand you to use this facility.
10. NRI clients should give a copy of RBI approval letter.
11. In case of Power of attorney the following clause should be added in the power of attorney. "To open or close securities deposit account with a depository participant, to dematerialise the physical shares / to rematerialise the electronic holdings, to issue receipt instruction, delivery out instruction, pledge / hypothecation instruction or any other instruction that may be required to operate or facilitate or close the depository account"

"To sell or otherwise deal with or dispose of and to purchase, subscribe or otherwise acquire in any manner from the market or under public or rights issues or otherwise and accept the transfer of any stocks, funds, shares, debentures, Government and other promissory notes, securities, bonds, debentures, annuities or their mercantile negotiable instruments which shall or may at any time belong to me or which hereafter be transferred to me, whether solely or jointly and whether in my own right or having any other

interest of whatsoever nature and however arising and in any capacity what so ever including those belonging to others with my name and for such purpose to sign, execute or endorse all instruments of transfer and other documents for any purpose what so ever by the virtue of these present."

12. The agreement should be duly witnessed i.e., the witnesses has to put his signature. Name and full address of the witness should be stamped or written in capital letters. This should be repeated in all places where the witness affix his signature.
13. Internet agreement should be duly filled and signed by the applicant.

### List of documents to be give at the time of account opening

1. Copy of Proof of Address (i.e. Ration Card, Driving License, Passport, Voter ID, Bank Statement).
2. Copy of PAN Card.
3. Original Cancelled Cheque leaf.
4. Photocopy of the first page of Bank Pass Book containing details like Account Holder Name, Account number, type of account, address of the account holder, address of the bank in full, etc.
5. Copy of Pass Book, Pages containing the transaction details of the immediate past quarter. (The bank statement should be of the latest quarter ending eg. Depository accounts opened in the month of April, May and June should be supported by the bank statement of the quarter ending March 31) In case the bank does not provide a pass book, then the statement as said above, printed on the bank stationery must be provided. If the bank provides the statement on a plain sheet, the same should be attested by the official of the bank with seal.
6. The name as it appear on the application form and all the documents submitted should match exactly.

To Open an account, the applicant need to sign at 5 places in application, 14 places in the agreement & 5 places in Power of Attorney.

Copy of the Proofs should be signed by account holders and attested by NCFM official of Coimbatore Capital Limited.



Third Holder Name (Mr./Ms.)											Sex : Male / Female									
Name of Father						Name of Husband														
Address											Pin Code									
Telephone No.																				
Mobile No.																				
E-Mail ID																				
Occupation																				
Address for Communication / Corporate Benefits (Default option is Local Address)	Local / Permanent Address										<input type="checkbox"/>									
	Correspondence Address / Foreign Address										<input type="checkbox"/>									

**Guardian Details (In case the sole Holder is a minor)**

Name (Mr./Ms.)																				
Relationship(if any)																				
Address											Pin Code									
Date of Birth (of minor)																				
	D	D	M	M	Y	Y	Y	Y												

**In Case of NRIs**

Foreign Address																				
RBI Reference No.						RBI Approval Date.														
					D	D	M	M	Y	Y	Y	Y								

**Bank Details**

Bank Sub - type	Saving Account <input type="checkbox"/>					Current Account <input type="checkbox"/>														
Bank Account No.																				
Bank Name																				
Branch Name Branch Address											Pin Code									
9 Digit Code Number of the Bank and branch appearing on the MICR cheque issued by the Bank																				

<b>Financial Details</b>	<b>P.A.N</b>										<b>IT Circle / Ward / District No.</b>
Sole / First Holder											
Second Holder											
Third Holder											
Guardian (In case of minor)											




**Additional Financial Details**

Financial Status (Annual Income)	<input type="checkbox"/> < Rs. 5Lakh	<input type="checkbox"/> Rs. 5 - 10 Lakh	<input type="checkbox"/> Rs. 10 - 15 Lakh	<input type="checkbox"/> > Rs. 15 Lakh
Nature of Business				

**Standing Instruction**





I / We authorise to receive credits automatically into my/our account.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Please attach recent passport size photographs in the space provided below :**

Sole / First Holder	Second Holder	Third Holder
<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> <div style="text-align: center;"> <p><b>(Please Sign across the Photograph)</b></p> </div> </div>	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> <div style="text-align: center;"> <p><b>(Please Sign across the Photograph)</b></p> </div> </div>	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> <div style="text-align: center;"> <p><b>(Please Sign across the Photograph)</b></p> </div> </div>
<small>1/91</small> 		

**Declaration**

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me / us and I/We have understood the same and I/We agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We also declare that the particulars given by me/us are true to the best of my / our knowledge as on the date of making such application. I/We further agree that any false / misleading information given by me or suppression of any material fact will render my account liable for termination and further action.

<b>Name (s) of holder (s)</b>	<b>Signature (s)</b>
Sole / First Holder (Mr./Ms.)	<small>2/91</small> 
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	
Guardian (in case of minor) (Mr./Ms.)	

**NOMINATION**

<input type="checkbox"/> I / We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me / us in the said beneficiary owner account shall vest in the event of my / our death.																	
<input type="checkbox"/> I / We do not wish to make nomination.																	
Name of the Nominee* (Mr./Ms.)																	
Relationship with the application (if any)																	
Address																	
	Pin Code <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>																
Date of Birth (in case of minor)	<table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">D</td> <td style="text-align: center;">D</td> <td style="text-align: center;">M</td> <td style="text-align: center;">M</td> <td style="text-align: center;">Y</td> <td style="text-align: center;">Y</td> <td style="text-align: center;">Y</td> <td style="text-align: center;">Y</td> </tr> </table> Signature of Nominee <span style="float: right;">Ⓝ</span>									D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y										
Name of Guardian (Mr./Ms.) (in case Nominee is a minor)																	
Address of Guardian																	
Signature of Guardian	Ⓞ																

Photograph of Nominee <div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <div style="border: 1px solid black; width: 80%; height: 80%; display: flex; align-items: center; justify-content: center;"> <p><b>(Please Sign across the Photograph)</b></p> </div> <div style="margin-left: 10px;">Ⓝ</div> </div>	Signature of Nominee <div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <div style="border: 1px solid black; width: 80%; height: 80%; display: flex; align-items: center; justify-content: center;"> <p><b>(Please Sign across the Photograph)</b></p> </div> <div style="margin-left: 10px;">Ⓞ</div> </div>	In case Nominee is a minor Photograph of Guardian <div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <div style="border: 1px solid black; width: 80%; height: 80%; display: flex; align-items: center; justify-content: center;"> <p><b>(Please Sign across the Photograph)</b></p> </div> <div style="margin-left: 10px;">Ⓞ</div> </div>	Guardian' Signature <div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <div style="border: 1px solid black; width: 80%; height: 80%; display: flex; align-items: center; justify-content: center;"> <p><b>(Please Sign across the Photograph)</b></p> </div> <div style="margin-left: 10px;">Ⓞ</div> </div>
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**Signature of two Witnesses**

Name	Address	Signature with date
1.		
2.		

3/91

Ⓞ

(Sole / First Holder)

Ⓞ

(Second Holder)

Ⓞ

(Third Holder)

Notes :

1. All communications will be sent at the address of the Sole / First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the language not contained in the VIII Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. As per NSDL Circular No. NSDL/PI/2004/1662 dated September 7, 2004 pursuant to SEBI Circular No. MRD/Dop/Dep/Cir-29/2004 dated August 24, 2004 a copy of any one of the following documents may be accepted as proof identity / proof of address (local/ correspondence/ foreign address as the case may be):  
**Proof of Identity :** Passport, Voter ID Card, Driving license, PAN card with photograph, Identity card/document with applicant's Photo, issued by a) Central / State Government and its Departments. b) Statutory / Regulatory Authorities, c) Public Sector Undertakings, d) Scheduled Commercial Banks, e) Public Financial Institutions, f) Colleges affiliated to Universities, g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Bank. **Proof of Address :** Ration card, Passport, Voter ID Card, Driving license, Bank passbook, verified copies of Electricity bills (not more than two months old) /Residence Telephone bills (not more than two months old) /Leave and License agreement / Agreement for sale. Self-declaration by High Court & Supreme Court judges, giving the new address in respect of their own accounts, Identity card / document with address, issued by a) Central / State Government and its Departments, b) Statutory / Regulatory Authorities, c) Public Sector Undertaking, d) Scheduled Commercial Banks, e) Public Financial Institutions, f) Colleges affiliated to universities; and g) Professional Bodies such as ICWAI, Bar Council etc., to their Members.

**We will verify the copy of the document with the original**

4. Instructions related to nomination, are as below :
  - I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
  - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
  - III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
  - IV. Nominee in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
  - V. Transfer of securities in favour of Nominee shall be valid discharge by the depository against the legal heir.
  - VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held, jointly, all joint holders will sign the cancellation form.
  - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
5. Strike off whichever is not applicable.

**In - Person Verification done by**

C Cap official Name	Place of In person Verification	Date	Signature of C Cap official	Branch Address (Seal)

**Record of In-person Verification**

**Annexure to the Application Form (Annexure J)**

Verification of original documents and In-person verification done by the officials as per Circular Number : NSDL/POLICY/2007/0016 dated 16/03/2007, NSDL/POLICY/2006/2007 dated 03/03/2006 and NSDL/PI/2004/1622 dated 07//09/2004.

<b>Client(s) Name</b>	First / Sole Holder :	.....
	Second Holder :	.....
	Third Holder :	.....
<b>Client(s) Signature in the presence of Official once again :</b>		
	First / Sole Holder :	4/91 Ⓢ .....
	Second Holder :	Ⓢ .....
	Third Holder :	Ⓢ .....
<b>In-person verification done by</b>		
Name	:	.....
Place of In-person verification	:	.....
Date of In-person verification	:	.....
Branch Address	:	.....
Signature of Staff	:	.....
<b>Verified with originals done by</b>		
Name	:	.....
Branch Address	:	..... ..... .....
Signature of NCFM Official	:	
Date	:	
Date of Submission of Application	:	
<b>DP Branch Seal :</b>		

**Additional Verification to DP comply with FIU Directive**

**Record of Additional In-person & Address Verification**  
**Annexure to the Application Form (Annexure J)**

Verification of original documents and In-person verification done by the officials as per Circular Number : NSDL/POLICY/2007/0016 dated 16/03/2007, NSDL/POLICY/2006/2007 dated 03/03/2006 and NSDL/PI/2004/1622 dated 07//09/2004.

I have physically seen the following original documents and visited the following address. The face of the person matches with the photograph.

<p><b>Client(s) Name</b></p> <p>First / Sole Holder : .....</p> <p>Second Holder : .....</p> <p>Third Holder : .....</p>	
<p><b>Client(s) Signature in the presence of C Cap Official once again :</b></p> <p>First/Sole Holder : .....</p> <p>Second Holder : .....</p> <p>Third Holder : .....</p>	<p>5/91</p> <p>© .....</p> <p>© .....</p> <p>© .....</p>
<p><b>In-person verification done by</b></p> <p>Name : .....</p> <p>Address where In person Verification Was carried : .....</p> <p>Place of In-person verification : .....</p> <p>Date of In-person verification : .....</p>	
<p><b>Physical verification of Address Matches with</b></p>	<p><input type="checkbox"/> Bank Pass book / Statement</p> <p><input type="checkbox"/> Passport</p> <p><input type="checkbox"/> Driving Licence</p> <p><input type="checkbox"/> Ration Card</p> <p><input type="checkbox"/> Election commission ID Card</p> <p><input type="checkbox"/> Others .....</p>
<p><b>Local Branch Seal</b></p>	<p>X</p> <p align="center">..... Signature of C Cap Official</p> <p>Name: .....</p> <p>Date : .....</p>



only on the basis of an order, instruction, direction or mandate duly authorised by the Client and that the Depository Participant shall maintain adequate audit trail of such authorization.

5. The Depository Participant agrees that the Client may give standing instruction with regard to the crediting of securities in his account and the Depository Participant shall act according to such instructions.
6. The Depository Participant undertakes to provide a transaction statement including statement of accounts, if any, to the Client at monthly intervals unless the Depository Participant and the Client have agreed for provision of such statements at shorter intervals. However, if there is no transaction in the account, then the Depository Participant shall provide such statement to the Client atleast once a quarter.
7. The Depository Participant shall have the right to terminate this agreement, for any reasons whatsoever, provided the Depository Participant has given a notice in writing of not less than thirty days to the Client as well as to the Depository. Similarly, the Client shall have the right to terminate this agreement and close his account held with the Depository Participant, provided no charges are payable by him to the Depository Participant. In such an event, the Client shall specify whether the balances in its account should be transferred to another account of the Client held with another Depository Participant or to rematerialise the security balances held. Based on the instructions of the Client, the Depository Participant shall initiate the procedure for transferring such security balances or rematerialise such security balance within a period of thirty days, as per the procedure laid down in the Bye Laws and Business Rules. Provided further, termination of this agreement shall not affect the rights, liabilities and obligations of either party and shall continue to bind the parties to their satisfactory completion.
8. On the failure of the Client to pay the charges as laid out in clause (1) of this agreement within a period of thirty days from the date of demand Depository Participant shall terminate this agreement and close the account of the Client by requiring it to specify whether the balances in its account be transferred to the account of the Client held with another Depository Participant or be rematerialised in the manner specified in the Bye Laws and Business Rules.
9. The Client further agrees that in the event of the Client committing a default in the payment of any of the amounts provided in clause (1) within a period of thirty days from the date of demand, without prejudice to the right of the Depository Participant to close the account of the Client, the Depository Participant may charge interest @ not more than 24% p.a. or such other rate as may be specified by the Executive Committee from time to time for the period of such default. In case the Client has failed to make the payment of any of the amounts as provided in clause (1) of this agreement, the Depository Participant shall have the right to discontinue the Depository services till such time he makes the payment along with interest, if any, after giving two days notice to the Client.
10. The Depository Participant shall have a right to provide such information related to the Client's account as may be requested by the National Securities Depository Limited from time to time.
11. The Client shall have the right to create a pledge of the securities held in the dematerialised form with the Depository Participant only in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules.
12. The Depository shall not be liable to the Client in any manner towards losses, liabilities and expenses arising from the claims of third parties and from taxes and other government charges in respect of securities credited to the Clients account.
13. The Client may exercise the right to freeze his account maintained with the Depository Participant so as to lock the securities held with the Depository Participant in accordance with the procedures prescribed in the Bye Laws and Business Rules.
14. The Client may exercise the right to defreeze his account maintained with the Depository Participant in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules.

Sole / Ist Holder	2nd Holder	3rd Holder
8/91 Signature ©.....	Signature ©.....	Signature ©.....

.....  
 K. Neeraja / P. Kokilamani  
 (for and on behalf of Coimbatore Capital Limited)

- 15..The Client shall notify the Depository Participant within, within seven days, of any change in the details set out in the application form submitted to the Depository Participant at the time of opening the account or furnished to the Depository Participant from time to time.
- 16.The Depository Participant undertakes to resolve all legitimate grievances of the Client against the Depository Participant within a period of thirty days.
- 17.The Depository Participant and the Client shall abide by the arbitration and conciliation procedure prescribed under the Bye Laws of National Securities Depository Limited and that such procedure shall be applicable to any disputes between the Depository Participant and the Client.
- 18.The Depository Participant and the Client further agree that all claims, differences and disputes, arising out of or in relation to dealings on the Depository including any transactions made subject to the Bye Laws or Business Rules of the Depository or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions have been entered into or not, shall be subject to the exclusive jurisdiction of the courts at Mumbai only.

**Schedule - A**

Account Opening Charges	: Nil
Stamp Paper Cost	: Rs. 40/-
Courier Charges	: Rs. 15/-
Transaction Charges	
Credit - Buying of Securities into a account	: Nil
Debit - Selling of Securities from a account	: Rs. 25/-per Instruction. (at the time of purchase of DIS.)
Demat/Repurchase/ Conversion of MF units charges	: Rs. 75/- per request
Pledge Creation / Confirmation / Invoking	: Rs. 100/- per Pledge entry
Remat	: 10 paise per security Subject to a minimum of Rs.250/- per request
Annual Maintenance charges (AMC)	: Rs. 175/- per year
Charges for using IDeAS	: Nil

You may order for DIS based on requirement as and when necessary. No compulsion to buy DIS at the time of account opening.

**ALL CHARGES PAYABLE UPFRONT**

The charges will be revised during the beginning of every calender year. Hence you are requested to visit our website to get the latest fee shedule.

Applicable Service tax is included in all the above cases except for stamp paper cost

All claims / Disputes pertaining to the above charges (Schedule A) shall be subject to the exclusive jurisdiction of the courts at Coimbatore only.

**IN WITNESS WHERE OF** the Client and the Depository Participant has caused these presents to be executed as of the day and year first above written.

Signed and delivered by

1st Holder Sign <sup>10/91</sup> © .....

2nd Holder Sign © .....

3rd Holder Sign © .....  
(for and on behalf of the Client)

**Witness**

Name & Signature  
Full address

Signed and delivered by

K.Neeraja / P. Kokilamani  
(for and on behalf of Coimbatore Capital Limited)

**Witness**

Name & Signature  
Full address

**Client ID:**

**AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE CLIENT FOR PROVIDING THE TRANSACTION STATEMENT THROUGH INTERNET**

This agreement made and entered into this.....day of ..... 20  
between .....  
residing at .....

Special  
Adhesive  
Stamp  
Rs. 20/-  
affixed

(hereinafter called “the Client”) and Coimbatore Capital Limited situated at Stock Exchange Building, 1st Floor, 686 Trichy Road, Coimbatore - 641 005 (hereinafter called “the Depository Participant”)

**Witnesseth**

**WHEREAS** the Client has permitted the Participant to provide the transaction statement through internet, Web based/ Email.

**NOW THEREFORE** in consideration of the Depository Participant having agreed to provide the transaction statement through internet, both Web based and/ or Email, both the parties to the agreement hereby covenant and agree as follows :

- i) The Participant shall install adequate systems to restrict the access of the the transaction statement only to the Client.
- ii) The Client shall take all the necessary steps to ensure confidentiality and secrecy of the log-in name and password.
- iii) The Client is aware that the transaction statement may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.
- iv) In case in Client opts for transaction statement through email, it shall immediately inform the Participant about change in email address, if any. The Participant shall verify and confirm with the

Client about the change. Further, the Participant shall confirm with the Client about validity of the email address atleast once in a year.

- v) The Client agrees not to receive Transaction Statement in paper form from the Participant. Provided however that, incase when the Participant is not able to provide Transaction Statement to its Clients through internet (web-based / email) due to any unforeseen problems, the Participant should ensure that the Transaction Statement reaches to the Client in physical form as per the time schedule stipulated in the Bye Laws & Business Rules of NSDL.
- vi) The Participant and the Client shall have the right to terminate this agreement after giving a notice of atleast 10 days to the other party.
- vii) The above terms and conditions are in addition to and not in violation of the terms and conditions forming a part of the “**AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE DEPOSITORY PARTICIPANT**”

Signed by the Client at the time of opening the account with the Depository.

**IN WITNESS WHERE OF** the Depository Participant and the Client has caused these presents to be executed as of the day and year first above written.

Signed and delivered by

11/91 ©  
1st Holder Sign .....

2nd Holder Sign © .....

3rd Holder Sign © .....

(for and on behalf of the Client)

**Witness**

Name & Signature  
Full address

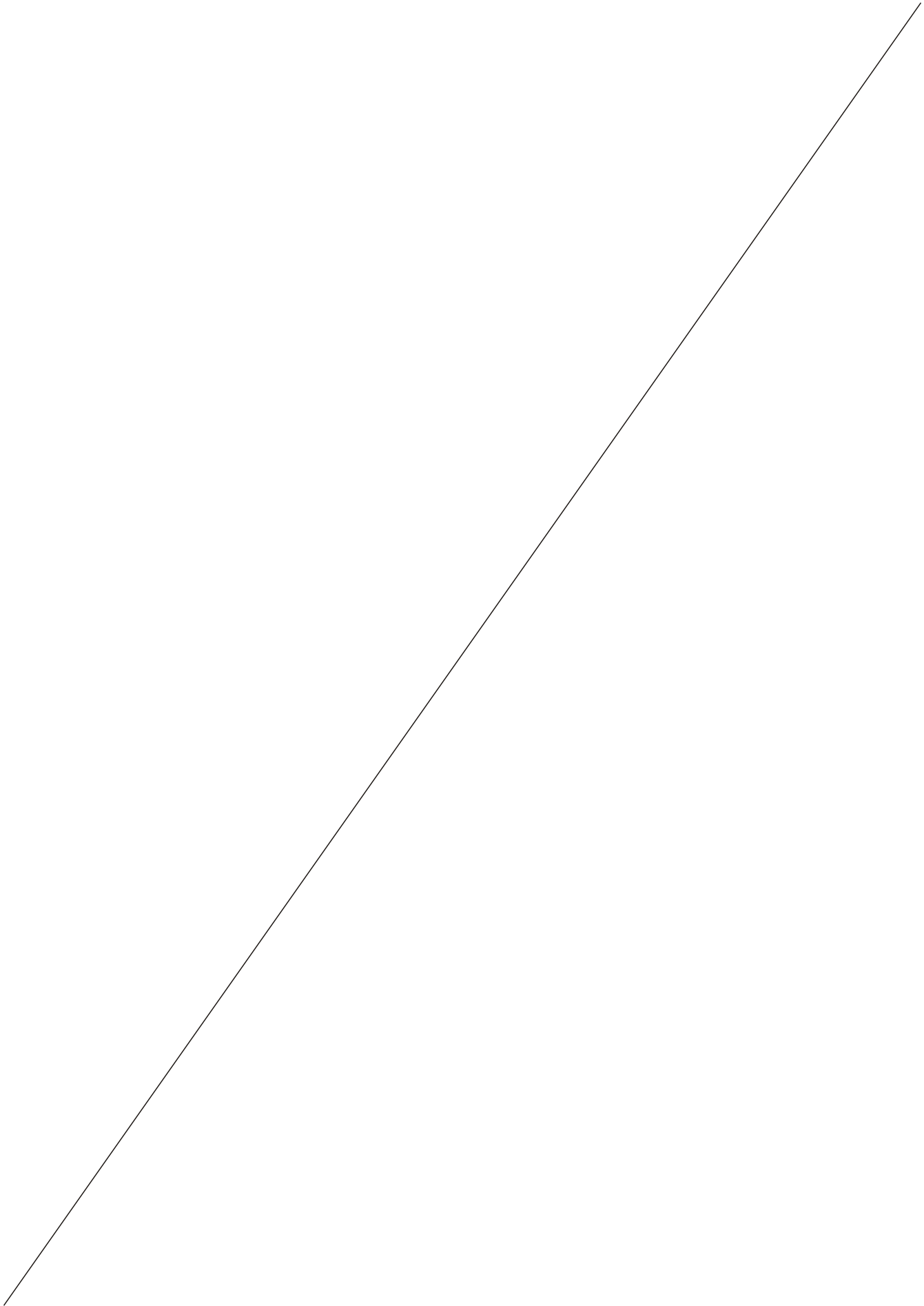
Signed and delivered by

K. Neeraja / P. Kokilamani  
(for and on behalf of Coimbatore Capital Limited)

**Witness**

Name & Signature  
Full address







only on the basis of an order, instruction, direction or mandate duly authorised by the Client and that the Depository Participant shall maintain adequate audit trail of such authorization.

5. The Depository Participant agrees that the Client may give standing instruction with regard to the crediting of securities in his account and the Depository Participant shall act according to such instructions.
6. The Depository Participant undertakes to provide a transaction statement including statement of accounts, if any, to the Client at monthly intervals unless the Depository Participant and the Client have agreed for provision of such statements at shorter intervals. However, if there is no transaction in the account, then the Depository Participant shall provide such statement to the Client atleast once a quarter.
7. The Depository Participant shall have the right to terminate this agreement, for any reasons whatsoever, provided the Depository Participant has given a notice in writing of not less than thirty days to the Client as well as to the Depository. Similarly, the Client shall have the right to terminate this agreement and close his account held with the Depository Participant, provided no charges are payable by him to the Depository Participant. In such an event, the Client shall specify whether the balances in its account should be transferred to another account of the Client held with another Depository Participant or to rematerialise the security balances held. Based on the instructions of the Client, the Depository Participant shall initiate the procedure for transferring such security balances or rematerialise such security balance within a period of thirty days, as per the procedure laid down in the Bye Laws and Business Rules. Provided further, termination of this agreement shall not affect the rights, liabilities and obligations of either party and shall continue to bind the parties to their satisfactory completion.
8. On the failure of the Client to pay the charges as laid out in clause (1) of this agreement within a period of thirty days from the date of demand Depository Participant shall terminate this agreement and close the account of the Client by requiring it to specify .
9. The Client further agrees that in the event of the Client committing a default in the payment of any of the amounts provided in clause (1) within a period of thirty days from the date of demand, without prejudice to the right of the Depository Participant to close the account of the Client, the Depository Participant may charge interest @ not more than 24% p.a. or such other rate as may be specified by the Executive Committee from time to time for the period of such default. In case the Client has failed to make the payment of any of the amounts as provided in clause (1) of this agreement, the Depository Participant shall have the right to discontinue the Depository services till such time he makes the payment along with interest, if any, after giving two days notice to the Client.
10. The Depository Participant shall have a right to provide such information related to the Client's account as may be requested by the National Securities Depository Limited from time to time.
11. The Client shall have the right to create a pledge of the securities held in the dematerialised form with the Depository Participant only in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules.
12. The Depository shall not be liable to the Client in any manner towards losses, liabilities and expenses arising from the claims of third parties and from taxes and other government charges in respect of securities credited to the Clients account.
13. The Client may exercise the right to freeze his account maintained with the Depository Participant so as to lock the securities held with the Depository Participant in accordance with the procedures prescribed in the Bye Laws and Business Rules.
14. The Client may exercise the right to defreeze his account maintained with the Depository Participant in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules.

Sole / Ist Holder 15/91 Signature ©.....	2nd Holder Signature ©.....	3rd Holder Signature ©.....
---	--------------------------------	--------------------------------

.....  
K. Neeraja / P. Kokilamani  
(for and on behalf of Coimbatore Capital Limited)

15..The Client shall notify the Depository Participant within, within seven days, of any change in the details set out in the application form submitted to the Depository Participant at the time of opening the account or furnished to the Depository Participant from time to time.

16. The Depository Participant undertakes to resolve all legitimate grievances of the Client against the Depository Participant within a period of thirty days.

17. The Depository Participant and the Client shall abide by the arbitration and conciliation procedure prescribed under the Bye Laws of National Securities Depository Limited and that such procedure shall be applicable to any disputes between the Depository Participant and the Client.

18. The Depository Participant and the Client further agree that all claims, differences and disputes, arising out of or in relation to dealings on the Depository including any transactions made subject to the Bye Laws or Business Rules of the Depository or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions have been entered into or not, shall be subject to the exclusive jurisdiction of the courts at Mumbai only.

#### Schedule - A

Account Opening Charges	: Nil
Stamp Paper Cost	: Rs. 40/-
Courier Charges	: Rs. 15/-
Transaction Charges	
Credit - Buying of Securities into a account	: Nil
Debit - Selling of Securities from a account	: Rs. 25/-per Instruction. (at the time of purchase of DIS.)
Demat/Repurchase/ Conversion of MF units charges	: Rs. 75/- per request
Pledge Creation / Confirmation / Invoking entry	: Rs. 100/- per Pledge
Remat	: 10 paise per security Subject to a minimum of Rs.250/- per request
Annual Maintenance charges (AMC)	: Rs. 175/- per year
Charges for using IDeAS	: Nil

You may order for DIS based on requirement as and when necessary. No compulsion to buy DIS at the time of account opening.

#### ALL CHARGES PAYABLE UPFRONT


The charges will be revised during the beginning of every calender year. Hence you are requested to visit our website to get the latest fee shedule.


Applicable Service tax is included in all the above cases except for stamp paper cost


All claims / Disputes pertaining to the above charges (Schedule A) shall be subject to the exclusive jurisdiction of the courts at Coimbatore only.

**IN WITNESS WHERE OF** the Client and the Depository Participant has caused these presents to be executed as of the day and year first above written.

Signed and delivered by

17/91  
1st Holder Sign 

2nd Holder Sign 

3rd Holder Sign   
(for and on behalf of the Client)

#### Witness

Name & Signature  
Full address

Signed and delivered by

K.Neeraja / P. Kokilamani  
(for and on behalf of Coimbatore Capital Limited)

#### Witness

Name & Signature  
Full address

**Client ID:**

**AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE CLIENT FOR PROVIDING THE TRANSACTION STATEMENT THROUGH INTERNET**

Special Adhesive Stamp  
Rs. 20/- affixed

This agreement made and entered into this.....day of ..... 20  
between .....  
residing at .....

(hereinafter called “the Client”) and Coimbatore Capital Limited situated at Stock Exchange Building, 1st Floor, 686 Trichy Road, Coimbatore - 641 005 (hereinafter called “the Depository Participant”)

**Witnesseth**

**WHEREAS** the Client has permitted the Participant to provide the transaction statement through internet, Web based / Email.

**NOW THEREFORE** in consideration of the Depository Participant having agreed to provide the transaction statement through internet, both Web based and/ or Email, both the parties to the agreement hereby covenant and agree as follows :

- i) The Participant shall install adequate systems to restrict the access of the the transaction statement only to the Client.
- ii) The Client shall take all the necessary steps to ensure confidentiality and secrecy of the log-in name and password.
- iii) The Client is aware that the transaction statement may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.
- iv) In case in Client opts for transaction statement through email, it shall immediately inform the Participant about change in email address, if any. The Participant shall verify and confirm with the

Client about the change. Further, the Participant shall confirm with the Client about validity of the email address atleast once in a year.

- v) The Client agrees not to receive Transaction Statement in paper form from the Participant. Provided however that, incase when the Participant is not able to provide Transaction Statement to its Clients through internet (web-based / email) due to any unforeseen problems, the Participant should ensure that the Transaction Statement reaches to the Client in physical form as per the time schedule stipulated in the Bye Laws & Business Rules of NSDL.
- vi) The Participant and the Client shall have the right to terminate this agreement after giving a notice of atleast 10 days to the other party.
- vii) The above terms and conditions are in addition to and not in violation of the terms and conditions forming a part of the “**AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE DEPOSITORY PARTICIPANT**”

Signed by the Client at the time of opening the account with the Depository.

**IN WITNESS WHERE OF** the Depository Participant and the Client has caused these presents to be executed as of the day and year first above written.

Signed and delivered by

18/91 ©  
1st Holder Sign .....

©  
2nd Holder Sign .....

©  
3rd Holder Sign .....

(for and on behalf of the Client)

**Witness**

Name & Signature  
Full address

Signed and delivered by

K. Neeraja / P. Kokilamani  
(for and on behalf of Coimbatore Capital Limited)

**Witness**

Name & Signature  
Full address

©

©

©

19/91

For single holder

Special Adhesive Stamp Rs. 100/- affixed

20/91



CLIENT

THIS POWER OF ATTORNEY executed on this the \_\_\_\_\_ day of \_\_\_\_\_ 201
(Date) (Month)

By \_\_\_\_\_, son of/daughter of/wife of \_\_\_\_\_
aged \_\_\_\_\_ years, residing at \_\_\_\_\_

having Depository Beneficial Account No. IN300175- \_\_\_\_\_ with the Depository Participant division
of Coimbatore Capital Limited (hereinafter referred to as the CLIENT which expression shall include where the
context so requires his / her / legal heirs , successors and assigns )

UNTO AND IN FAVOUR OF

M/s. Coimbatore Capital Limited , a Public Company incorporated under the Companies Act 1956, having its
Registered office at Stock Exchange Building, 686, Trichy Road , Coimbatore 641 005, carrying on business as a
stock Broker in NSEIL (SEBI Registration Numbers INB 230752939 in Capital Market Segment and
INF 230752939 in Futures and Options Segment) and as a Depository Participant in NSDL (SEBI Registration
Number IN- DP- NSDL 19-97 ) (hereinafter referred to as C Cap, which expression shall include where the context
so requires its successors and assigns )

WHEREAS

- A. CLIENT wishes to avail internet based/ non internet based trading services through CCap and has opened
a Depository Beneficiary Account No IN300175..... with C Cap for
holding his securities in dematerialised form (hereinafter referred to as Client's DP Account).
B. In respect of all trading effected by the CLIENT through C Cap , C Cap is required to transfer / take
delivery of securities in the course of such buying and selling , provide margins / collaterals and settle
funds and securities .
C. To enable C Cap to carry on activities related to CLIENT'S trading effected through C Cap, CLIENT
has come forward to execute this Power of Attorney in favour of C Cap.

NOW THIS POWER OF ATTORNEY WITNESSES AS FOLLOWS

- A. THE CLIENT hereby undertakes and agrees
1. to make available sufficient securities in CLIENT's DP Account for meeting delivery
obligations in respect of the sale transactions of the CLIENT and for transfer to the C Cap's
Margin / Collateral account to meet the margin requirements specified by SEBI
2. To be bound by "No Delivery" decision taken by C Cap in respect of securities not made available
in the CLIENT's DP Account before 6.00 P.M. on a working day prior to the due date for delivery.
3. To deliver to C Cap using Delivery instruction slip, all securities credited to the CLIENT's DP
Account after 6.00 P.M. on the day before the

Power of Attorney holders(s)
For Coimbatore Capital Limited

- i) \_\_\_\_\_
ii) \_\_\_\_\_
iii) \_\_\_\_\_
iv) \_\_\_\_\_

21/91



CLIENT

CLIENT

CLIENT

22/91

settlement day to enable C Cap to meet the delivery obligations of securities in respect of sale transactions of the CLIENT

- 4. To be bound by the decision of C Cap in respect of fixation of the DP Charges payable to C Cap for transfer of securities under the Power of Attorney.

B. The CLIENT here by appoints C Cap, to do or execute in the name and on behalf of the CLIENT, the following acts, deeds and things as the Power of Attorney (PoA) of the CLIENT

- 1. In respect of trades executed by the CLIENT through C Cap

To Transfer securities held in CLIENT's Account No. IN 300175..... to C Cap's Pool account DP Id: IN 300175, CMBP Id: IN504316.

To transfer securities held in CLIENT'S Account to C Cap's Client Margin account towards CLIENT's Stock Exchange related margin / delivery obligations

To pledge securities in favour of C Cap for the purpose of meeting the margin requirements of the CLIENT

To sign, deliver and / or acknowledge all instructions, all deeds, depository forms, instruments, slips receipts, documents and other writings as may be necessary or advisable for effecting the smooth transfer of securities and any instruments, slips as may be necessary for rectifying any erroneous transfers.

- 2. To return to the CLIENT, the securities, that are received by it erroneously
- 3. To debit the DP Charges in respect of the transfers to Client's Capital Market Trading Account maintained with C Caps Broking Division.
- 4. To send consolidated summary of CLIENT's scrip wise buy and sell positions taken with average rates to the CLIENT by way of SMS/ Email on a daily basis to mobile number ..... and to email id: .....

- 5. To send such other documents as may required to be disseminated by SEBI from time to time.
- 6. Generally to do all acts and things and to execute all writings, deeds or assurances as may be necessary to effectuate the aforesaid transactions and purposes.
- 7. The client understands that the present PoA is revocable without notice. However, such a revocation shall be valid only on the receipt by C Cap the letter of revocation in writing duly notarised sent by Registered Post or delivered in person at the Head Office of C Cap and after all securities obligations for the trades done till that date with C Cap have been met.
- 8. Client retains the facility to use Delivery Instruction Slip for operating his DP account referred to above. However such Delivery Instruction Slips may be given effect to only after all securities obligations for the trades done till that date with C Cap have been met.
- 9. CLIENT hereby agrees that all acts, deeds and things lawfully done by the Attorney by virtue of this Power of Attorney shall be construed as Acts, deeds and things done by the CLIENT and the CLIENT undertake to ratify and confirm whatever the said Attorney shall lawfully do or cause to be done by virtue of the Power hereby given.

IN WITNESS WHEREOF THE CLIENT has executed this UNDERTAKING & POWER OF ATTORNEY on the day, month and year first above written.

24/91

CLIENT

Power of Attorney holders(s)

For Coimbatore Capital Limited

- i) .....
- ii) .....
- iii) .....
- iv) .....

Notorial fee stamps

Office seal & signature of Notary

CLIENT

CLIENT

## **Client Registration Form**

## Coimbatore Capital Limited

Stock Exchange Building, 686, Trichy Road, Coimbatore 641 005.  
 Client Registration Department: 0422 232 02 02 06 Extn No.148 / 149 Fax: 0422- 232 02 11  
 Website: www.coimbatorecapital.com ; Email: clientregn@coimbatorecapital.net

### Instructions to Applicants for filling the Client Registration Form for Trading Account

*Please read the following instructions and also the Client Registration Form (CRF) carefully and then start filling the CRF. In case of doubt in filling the CRF, please contact the nearest branch or Client Registration department.*

1. Do not fold the Client Registration Form (CRF).
2. CRF has two Dockets viz. **Docket A** Mandatory documents / enclosures as required by SEBI / NSE and **Docket B** Voluntary documents / enclosures required for smooth functioning of business / special service of C Cap .
3. Use black pen to fill all the columns and signature.
4. Use only capital letters.
5. Name of the applicant in the application form should be exactly as in the PAN card of the applicant.
6. Please sign in all the “©” marked places in the CRF and also sign in all proof of documents submitted. Sign the corrections if any made in the application.
7. Introduction should be obtained from the persons listed in CRF.
8. Ensure all the columns are duly filled in. Incomplete application will be returned.
9. Please furnish the details of Bank account viz. Bank Name, Branch address & phone number, Account type, 9 digit MICR Number, date on which the account was opened.
10. In Docket B of CRF, the signature of client has to be attested by Bank Manager where the applicant maintains account or by a Notary public. The attesting authority has to sign, mention their designation, code number and affix address seal.
11. Non Resident Indian (NRI) clients should furnish a copy of RBI's approval letter.
12. If the Applicant wish to trade through their family members or any other person, then the applicant has to give proper authorization to such family member / other person by executing Specific Power of Attorney in the format available with the nearest branch of our Company on Rs.100 non-judicial stamp paper and the same should be notarized. The original of this document has to be given to branch for being forwarded to H.O. In addition to this, the Applicant has to fill and sign the Authorised Representative form available with branch concerned.
13. If the Applicant wants to avail Internet/Mobile Trading facility, then he / she have to execute the respective Agreement attached separately with CRF. Further, the Applicant should have Demat account with our Company and executed Power of Attorney in favour of our Company to transfer the shares from Applicant's Demat account to our Pool Account to meet the applicant's settlement obligations. Also, the Applicant should communicate his / her email-id to which the user name and password will be communicated.
14. Proofs duly signed (self attested) by the client to be submitted to process the application.

**CRF which are complete in all respects will be registered and incomplete CRF will be returned to branches concerned for rectification of discrepancies.**

**List of documents / proof to be submitted by Applicant for opening Trading Account**

*The proof submitted must be valid as on the date of the submission of application. Utility bills (such as Electricity bills / Telephone bills etc) submitted for address proof should be latest bills and should not be more than two months old. All proof of documents must be self attested by the applicant.*

1. Three (3) recent passport size photograph of Applicant. In case the applicant wish to do transactions through his/her Authorized representative as mentioned in point No.12 of the Instruction sheet, also send recent passport size of photograph, address proof of such person through whom, the applicant is going to trade.
2. **Address proof:** Furnish copy of any of the following documents:  
  
Passport (Page 1,2,3 & 4)/ Driving license (front & back side) / Voter Id (front & back side)/ Ration card (1<sup>st</sup> and last page) / Bank pass book or latest Bank statement (bearing bank & client details) / BSNL Land line Telephone bill / Rent agreement / Flat maintenance bill / Electricity bill / Insurance policy/ Identity Card issued by Central / State Governments/ Statutory Authorities.
3. **Identity proof:** Passport / Voter id/ Driving licence / photo identity card issued by employer / Applicant's Ration card with his / her photograph.
4. **Bank Account proof:** First page of Bank pass book and latest 3 months transaction statement and original cancelled cheque leaf.
5. **Copy of PAN card**
6. **DP Account Proof :** Client Master list / recent holding statement issued by DP (in case of other than Coimbatore Capital Limited DP).

Application No.

## Coimbatore Capital Limited

All columns are to be filled in by the client and relevant supporting documents need to be attached by the client. If any question is not applicable to you, please write 'NA' in the space provided. Any correction or overwriting should also be authenticated by the client signature besides such correction. White ink not allowed.

All the proofs should be in the name of the client with the spelling matching exactly with the application. Clients should produce the originals of the supporting documents for verification at the time of submitting the application.

### Docket A

#### Mandatory Documents / Enclosures

*(Documents required as per SEBI Circular No. SEBI/MIRSD/DPS-1/CIR-31/2004 dated August 24, 2004, MIRSD/SE/CIR-19/2009 dated December 03, 2009 & NSE Circular No. NSE/INSP/2008/73 dated September 18, 2008, NSE/INSP/2010/91 dated February 03, 2010)*

Sl. No	Document Description	Page / Ref No(s)	Requirements to be checked / Details of the document	Enclosed *
1	Know your Client Form	21-22	Latest Passport size photograph of the client pasted at the space provided and duly signed across. No column should be left blank.	
2	Record of In-person Verification	23	Confirmation for Client's address and original documents verification	
3	Member Client Agreement	24 -27	Check for date of special adhesive stamp (i.e., the agreement date should be within 6 months of franking date).	
4	Combined Risk Disclosure Document	28 - 33	Both in the application and Client Copy to be signed.	
5	Disclosure of details about Proprietary Trading	33	Both in the application and Client Copy to be signed.	
6	Policies and Procedures	34-38	General Policies and Procedures followed by Coimbatore Capital Ltd. Carefully read before executing the application. [an inclusive list (not exhaustive)]	
7	Signatures	20-38	Full signature of the Client in the places marked © and in all proofs.	
8	Enclosures	For the details provided in page 21-23	Clear photocopy of the proofs mentioned below in the client's name showing relevant details such as Number, Date of Issue, Place of Issue, Date of Validity and Photograph. Proofs should not cross its expiry / validity date, if any. All enclosures should be self attested by the Client.	
8a	PAN card	❶	Client name in application should be exactly as spelt in PAN Card.	
8b	Proof of Identity	❶	Passport / Voter ID / Driving License / MAPIN Card/ Photo Identity card issued by Employer registered under MAPIN.	
8c	Proof of Address	❷	Passport (6 pages) / Driving Licence (front & back) / Voter ID (front & back) / Ration Card (1st and last page) / Bank Pass Book or Latest Bank Statement (bearing bank & client details) / Telephone Bill (mobile bill not allowed) / Rent Agreement / Flat Maintenance Bill / Electricity Bill / Insurance Policy / Certificate issued by employer registered under MAPIN.	

Sl. No	Document Description	Page / Ref No(s)	Requirements to be checked / Details of the document	*
8d	Bank A/c Proof	③	Bank Pass Book's first page and latest 6 months transaction pages / Bank statement showing latest 6 months transaction. Cancelled original cheque leaf for MICR verification.	*
8e	Demat account proof	④	Client Master / Latest holding statement showing DP-ID, Client ID with name and IDs as in application form (Delivery Instruction Slip not accepted).	*
8f	Evidence of Financial Details	⑤	ITR Acknowledgement / Annual Accounts / Form 16 in case of salary income / Net worth certificate / Salary Slip / Bank account statement for last 6 months / demat account holding statement / Any other relevant documents substantiating ownership of assets / self declaration along with relevant supporting. <i>(Financial details should be updated every year.)</i>	*
8g	Introducer's Proof of Address	⑥	Any one listed in item 8c.	*
	Introducer's Proof of Identity	⑦	PAN Card / any one listed in item 8b.	*

\*To be ticked by the Client and checked by C Cap receiving Official. All the proofs to be verified with original by the C Cap staff.

25/91



X.....  
Signature of the employee who received  
the application with name and date



**Occupation**

Occupation	<input type="checkbox"/> Employed <input type="checkbox"/> Self Employed <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> House Wife <input type="checkbox"/> Others				
Name of Employer (If employed)	Designation :				
Name of Establishment (If self employed/business/professional/others)					
Office Address					
	City	Pin Code			
	State	Country			
	Phone No. (Office)	Fax No.			

**Information about financial details, investment/trading experience and trading preference of constituent**

<u>Financial Details</u> ⑤ Income range (per annum)	<input type="checkbox"/> < 1 Lakh <input type="checkbox"/> 1 - 5 Lacs <input type="checkbox"/> 5 - 10 Lacs <input type="checkbox"/> 10 - 25 Lacs <input type="checkbox"/> > 25 Lacs		
Investment / Trading Experience	1) No prior experience 2) ..... years in stock 3) ..... years in derivatives 4) ..... years in any other investment related field		
<u>Trading Preference</u> Market segments of National Stock Exchange of India Limited (NSE) you wish to trade	<input type="checkbox"/> Capital Market Segment <small>27a/91</small> Ⓢ	<input type="checkbox"/> Futures & Options Segment <small>27b/91</small> Ⓢ	<input type="checkbox"/> Currency Derivatives Segment <small>27c/91</small> Ⓢ
	<i>(Client Signature required against each of the opted segments)</i>		
Whether registered with any other broker member (if registered with multiple members, provide details of all)	<input type="checkbox"/> Yes Name of the Broker ..... <input type="checkbox"/> No Exchange ..... Client Code .....		
Details of any action taken by SEBI / Stock Exchange / any other authority for violation of securities laws / other economic offences / any financial sector regulator during last 3 years	(If yes, attach relevant documents)		

**References : Details of Introducer**

Introduced by	<input type="checkbox"/> Another client <input type="checkbox"/> Director or employee of C Cap <input type="checkbox"/> Any other person - specify .....	
Name		
Address ⑥		
PAN / Any other identity ⑦		
Introducers's Signature	Ⓢ	
Name & designation of employee who interviewed the client		
	Name	Designation
Signature of the employee who interviewed the client	Ⓢ	

**Declaration**

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

Place: ..... Signature: <sup>28/91</sup> Ⓢ .....

Date : ..... Name : .....

**RECORD OF IN-PERSON VERIFICATION**

**Annexure to the KYC Form**

Verification of original documents and In-person verification done by the officials of Coimbatore Capital Limited as per NSE Circular Number : NSE / INSP / 2008 / 68 dated 04-07-2008.

I have physically seen the following original documents and visited the following address. The face of the person matches with the photograph furnished.

<b>Client(s) Name</b>	
<b>Client(s) Signature in the presence of the Branch Staff</b>  Date	29/91 Ⓢ ..... .....
<b>In-person verification done by</b>  Name of the Branch Staff  Place of In-person verification  Date of In-person verification  Signature of the Branch Staff	..... ..... ..... Ⓢ .....
<b>Physical verification of Client's address matches with</b>	<input type="checkbox"/> Bank Pass book / Statement <input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> Ration Card <input type="checkbox"/> Voter ID <input type="checkbox"/> Others .....
<b>Verification of copy of documents with original documents done by</b>  Name of the Branch Staff  Signature of the Branch Staff  Date of verification	..... Ⓢ .....
<b>C Cap Branch Address Seal</b>	Ⓢ ..... Signature of C Cap Branch Incharge  Name: .....  Date : .....

**MEMBER AND CLIENT AGREEMENT**

**(Mandatory clauses stipulated by SEBI / NSE)**

Special  
Adhesive  
Stamp  
Rs. 20/-  
affixed

This agreement is made at ..... this ..... day of .....

By and between : 30/91 © .....

1. Coimbatore Capital Limited, a company incorporated under provisions of the Companies Act 1956, having its registered office at Stock Exchange Building, I Floor, 686, Trichy Road, Coimbatore - 641 005 and is registered as Trading Member of Capital Market Segment, Futures & Options Segment and Currency Derivatives Segment of the National Stock Exchange of India Limited (NSE) with Trading Member ID:07529, and has registered with the Securities and Exchange Board of India (SEBI) as a Broker with registration no. INB 230752939 (for Capital Market Segment), INF 230752939 (for Futures & Options Segment) and INE 230752939 (for Currency Derivatives Segment) for NSE hereinafter referred to as "C Cap" which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be of the one part;

2. Mr / Ms.....

S/o / W/o / D/o ..... an individual residing at

..... (hereinafter called "the client")

which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be of the other part;

**WITNESSTH:**

Whereas Coimbatore Capital Limited (hereinafter referred as C Cap) is registered as the stock broker of the National Stock Exchange (hereinafter referred as NSE) with SEBI registration number INB 230752939 in the Capital Market (CM) Segment; SEBI registration number INF 230752939 in the Futures & Options (F&O) Segment and SEBI registration number INE 230752939 in the Currency Derivatives (CD) Segment.

Whereas the Client is desirous of investing/trading in those securities/ F&O contracts / currency derivatives contracts other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time.

Whereas the Client has satisfied itself of the capacity of C Cap to deal in securities and / or F&O contracts / currency derivatives contracts and wishes to execute its orders through C Cap and the Client shall from time to time continue to satisfy itself of such capability of C Cap before executing orders through C Cap.

Whereas C Cap has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the Client and investment / trading objectives relevant to the services to be provided; and

Whereas C Cap has taken steps and shall take steps to make the Client aware of the precise nature of C Cap's liability for business to be conducted, including any limitations, the liability and the capacity in which C Cap acts.

For Coimbatore Capital Limited

Authorised Signatory

Whereas C Cap and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

**Mandatory Clauses stipulated by SEBI/NSE**

1. The client agrees to immediately notify the trading member in writing if there is any change in the information in the 'client registration form' provided by the client to the trading member at the time of opening of the account or at any time thereafter.
2. The trading member declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that :
  - a. He has read and understood the risks involved in trading on a stock exchange.
  - b. He shall be wholly responsible for all his decisions and trades.
  - c. The failure of the Client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segment.
  - d. He is liable to pay applicable initial margins, with holding margins, special margins or such other margins as are considered necessary by the trading member or the Exchange or as may be directed by SEBI from time to time as applicable to the segment. The trading member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House / Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
  - e. Payment of margins by the Client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate / require.
3. The Client agrees to pay to the trading member brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that trading member renders to the Client. The trading member agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Regulations and Bye-laws of the relevant Stock Exchange / SEBI.
4. The Client agrees to abide by the exposure limits, if any, set by the trading member or by the Exchange or Clearing Corporation or SEBI from time to time.
5. Without prejudice to the trading member's other rights (including the right to refer a matter to arbitration), the trading member shall be entitled to liquidate / close out all or any of the Client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the Client's liabilities / obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
6. The trading member agrees that the money / securities deposited by the Client shall be kept in a separate account, distinct from its own account or account of any other client and shall not be used by the trading member for himself / itself or for any other client or for any purpose other than the purposes mentioned in SEBI rules and Regulations / Circulars / Guidelines / Exchange's Rules / Regulations / Bye-laws and Circulars.
7. The Client agrees to immediately furnish information to the trading member in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
8. The trading member agrees to inform the Client and keep him apprised about trading / settlement cycles, delivery / payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules / procedures of the stock exchange.
9. In the event of death or insolvency of the Client or his / her otherwise becoming incapable of receiving and paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities, the trading member may

For Coimbatore Capital Limited

- close out the transaction of the Client and claim losses, if any, against the estate of the client. The Client or his successors, heirs and assigns shall be entitled to any surplus which may result therefrom.
10. The trading member agrees that it shall co-operate in redressing grievances of the Client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the Client.
  11. The trading member shall continue to be responsible for replacing bad deliveries of the Client in accordance with applicable “Good & bad delivery norms” even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the Client.
  12. The trading member shall ensure due protection to the Client regarding Client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the Client with whom and for whom it may have had transactions in securities.
  13. The Client and the trading member agree to refer any claims and / or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
  14. The trading member hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the Client and that he shall be liable to implement the arbitration awards made in such proceedings.
  15. Information about default in payment / delivery and related aspects by a Client shall be brought to the notice of the relevant Stock Exchange(s). In case where defaulting client is a corporate entity / partnership / proprietary firm or any other artificial legal entity, then the name(s) of director(s) / promoter(s) / partner(s) / proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).
  16. The trading member and the Client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
  17. The trading member and the Client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
  18. The trading member and the Client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.
  19. The instructions issued by an authorized representative, if any, of the Client shall be binding on the Client in accordance with the letter authorizing the said representative to deal on behalf of the said Client.
  20. Where the Exchange cancels trade(s) suo-moto all such trades including the trade/s done on behalf of the Client shall ipso facto stand cancelled.
  21. This agreement shall forthwith terminate; if the trading member for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the trading member's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
  22. The trading member and the Client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in / be binding on the respective parties or his respective heirs, executors, administrators, legal representatives or successors, as the case may be.
  23. In addition to the specific rights set out in this Agreement, the trading member and the Client shall be entitled to exercise any other rights which the trading member or the Client may have under the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
  24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.
  25. The provisions of this agreement shall always be subject to Government notifications, any Rules,

For Coimbatore Capital Limited

Regulations, Guidelines and Circulars issued by SEBI and Rules, Regulations and Bye-laws of the relevant Stock Exchange that may be in force from time to time.

26. The trading 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 / authority except as required under any law / regulatory requirements; Provided however that the trading member may so disclose information about his Client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement.

Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and Regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

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

SIGNED for and on behalf of  
**C Cap : For Coimbatore Capital Limited**  
 By : .....  
 Signature : .....  
 Title : **Authorised Signatory**  
 Witness :  
 1. Signature : .....  
 Name : .....  
 Address : .....  
 .....  
 .....  
 .....  
 2. Signature : .....  
 Name : .....  
 Address : .....  
 .....  
 .....  
 .....

SIGNED for and on behalf of  
 The Client : .....  
 By : .....  
 Signature : <sup>37/91</sup> © .....  
 Title : .....  
 Witness :  
 1. Signature : .....  
 Name : .....  
 Address : .....  
 .....  
 .....  
 .....  
 2. Signature : .....  
 Name : .....  
 Address : .....  
 .....  
 .....  
 .....

Note: All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

Coimbatore Capital Limited Client Code :  CM  F&O  CD .....

SEBI Reg. No. INB 230752939 /  
INF 230752939 / INE 230752939

Name of the Client : .....

**COMBINED RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET,  
FUTURES & OPTIONS AND CURRENCY DERIVATIVES SEGMENTS**

(To be given by the trading member to the client)

This document is issued by the member of the National Stock Exchange of India (NSE) which has been formulated by the Exchange in coordination with the Securities and Exchange Board of India (hereinafter referred to as “SEBI”) and contains important information on trading in Equities / F&O / Currency Derivatives Segments of NSE. All prospective constituents should read this document before trading in Equities / F&O / Currency Derivatives Segments of the Exchange.

NSE /SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor has NSE /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, F&O contracts, Currency derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on NSE and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE, its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a currency derivative contract being traded on NSE.

It must be clearly understood by you that your dealings on NSE through a member shall be subject to your fulfilling certain formalities set out by the member, which may inter alia include your filling the know your client form, client registration form, execution of an agreement, etc., and are subject to the Rules, Byelaws and Regulations of NSE and its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE or its Clearing Corporation and in force from time to time.

NSE does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any trading member of NSE and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

**1. BASIC RISKS**

**1.1 Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that a security / F&O contract / currency derivatives contract undergoes when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security / F&O contract / currency derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / F&O contracts / currency derivatives contracts than in active securities / F&O contracts / currency derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

## 1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / F&O contracts / currency derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / F&O contracts / currency derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / F&O contracts / currency derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / F&O contracts / currency derivatives contracts as compared to active securities / F&O contracts / currency derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

**1.2.1** Buying or selling securities / F&O contracts / currency derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / F&O contracts / currency derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / F&O contract / currency derivatives contract.

## 1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / F&O contract / currency derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / F&O contracts / currency derivatives contracts. This in turn will hamper better price formation.

## 1.4 Risk-reducing orders:

The placing of orders (e.g., “stop loss” orders, or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

**1.4.1** A “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of

outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / F&O contract / currency derivatives contract.

**1.4.2** A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed “away” from the current price of a stock / F&O contract / currency derivatives contract, and such order gets activated if and when the security / F&O contract / currency derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / F&O contract / currency derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / F&O contract / currency derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

## 1.5 Risk of News Announcements:

News announcements that may impact the price of stock / F&O contract / currency derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

## 1.6 Risk of Rumours:

Rumours about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumours.

## 1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

**1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / F&O contract / currency derivatives contract due to any action on account of unusual trading activity or security / F&O contract / currency derivatives contract hitting circuit filters or for any other reason.

### 1.8 System/Network Congestion:

Trading on NSE is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

## 2. AS FAR AS FUTURES AND OPTIONS SEGMENT AND CURRENCY DERIVATIVES SEGMENTS ARE CONCERNED, PLEASE NOTE AND GET YOURSELF ACQUAINTED WITH THE FOLLOWING ADDITIONAL FEATURES:-

### 2.1 Effect of “Leverage” or “Gearing”

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are ‘leveraged’ or ‘geared’. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one’s circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involves daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index /

F&O contract / currency derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the broker/member may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of F&O contracts/ currency derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

### 2.2 Currency specific risks

1. The profit or loss in transactions in foreign currency denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no

assurance can be given that an advisor’s advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

**2.3 Risk of Option holders**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchange may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

**2.4 Risks of Option Writers**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple ‘long’ or ‘short’ position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in

itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

**3. GENERAL**

**3.1 Commission and other charges**

Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

**3.2 Deposited cash and property**

You should familiarise yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which has been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the member, the same shall be subject to arbitration as per the byelaws/regulations of the Exchange.

**3.3** For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.

**3.4** The term ‘constituent’ shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of currency derivatives contracts through the mechanism provided by NSE.

**3.5** The term ‘member’ shall mean and include a trading member, a broker or a stock broker, who has been admitted as such by NSE and who holds a registration certificate from SEBI.

**I hereby acknowledge that I have received and understood this risk disclosure statement and Annexure - 1 containing my rights and obligations.**

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Client Signature : © .....

Date 

D	D	M	M	Y	Y	Y	Y

## ANNEXURE - 1

### INVESTORS' RIGHTS AND OBLIGATIONS

- 1.1** You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the Cash Market / F&O market / Currency Derivatives market or the broking firm's insolvency or bankruptcy.
- 1.1.1** Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.
- 1.1.2** Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE and the scheme of the Investors' Protection Fund in force from time to time.
- 1.1.3** Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE or its Clearing Corporation.
- 1.2** Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.
- 1.3** You should exercise due diligence and comply with the following requirements of the NSE and/or SEBI:
- 1.3.1** Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE and whether they are enabled to trade may be verified from NSE website ([www.nseindia.com](http://www.nseindia.com)).
- 1.3.2** Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.
- 1.3.3** Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving License or Voters Id or Ration Card, bank account and depository account, or any such details made mandatory by NSE/ SEBI at any time, as is available with the investor.
- 1.3.4** Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE or its Clearing Corporation from time to time, because this may be useful as a proof of your dealing arrangements with the member.
- 1.3.5** Give any order for buy or sell of a security / derivatives contract in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.
- 1.3.6** Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order number, trade number, trade time, trade price, trade quantity, details of the currency derivatives contract, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/ sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE, without delaying.
- 1.3.7** Facility of Trade Verification is available on NSE website ([www.nseindia.com](http://www.nseindia.com)), where details of trade as mentioned in the contract note may be verified from the trade date up to five trading days. Where trade details on the website, do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of NSE.
- 1.3.8** Ensure that payment of funds against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE or its Clearing Corporation. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member.
- 1.3.9** In case pay-out of funds is not received on the next working day after date of pay-out announced by NSE or its Clearing Corporation, please follow-up with the concerned member for its receipt. In case pay-out is not received as above from the member within five working days, ensure that

you lodge a complaint immediately with the Investors' Grievance Cell of NSE.

- 1.3.10** Every member is required to send a complete 'Statement of Accounts', for both settlements and margins, to each of its constituents, at such periodicity as may be prescribed from time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE, without delaying.
- 1.3.11** In case of a complaint against a member, you should address the complaint to the Office as may be specified by NSE from time to time.
- 1.4** In case where a member surrenders his membership, NSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE, ensure that you lodge a claim with NSE / Clearing Corporation within the stipulated period and with the supporting documents.
- 1.5** In case where a member is expelled from trading membership or declared a defaulter, NSE gives a public notice inviting claims, if any, from


investors. In case of a claim, relating to "transactions executed on the trading system" of NSE, ensure that you lodge a claim with NSE within the stipulated period and with the supporting documents.

- 1.6** Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye-laws and the scheme under the Investors' Protection Fund (IPF) may be payable as prescribed by SEBI.

**Notes:**

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE for the purpose of buying and / or selling of securities / F&O contracts / currency derivatives contracts through the mechanism provided by NSE.
2. The term 'member' shall mean and include a trading member or a broker or a stock broker, who has been admitted as such by NSE and who holds a registration certificate from SEBI.
3. The term 'contract' refers to a F&O / currency derivatives contract and the term 'underlying' refers to the underlying index / stock / currency of such contract.

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Client Signature :  .....

Date

D	D	M	M	Y	Y	Y	Y

**DISCLOSURE OF DETAILS ABOUT PROPRIETARY TRADING**

To

Date : .....

Dear Sir,

Ref : SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated November 19, 2003 and NSE Circular No. NSE/INVG/PRE/2003/16 dated November 25, 2003

With a view to increase the transparency in the dealings between the trading member and their clients as required by the above-mentioned circulars of SEBI & NSE, we hereby declare that we do client based business only and no proprietary trading is being done by us.

Kindly acknowledge the receipt of this communication.

Yours truly,

For Coimbatore Capital Limited

Received this communication from Coimbatore Capital Limited in connection with SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated November 19, 2003 and NSE Circular No. NSE/INVG/PRE/2003/16 (Download No. NSE/INVG/2003/4590) dated November 25, 2003.

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Date :

Authorised Signatory

**Coimbatore Capital Limited** Client Code :  CM  F&O  CD .....

SEBI Reg. No. INB 230752939 /  
INF 230752939 / INE 230752939

Name of the Client : .....

## Policies and Procedures

Addendum to the Member Client Agreement executed by the Client at the time of opening of account. This document is forming part of the Mandatory Documents in accordance with the Securities and Exchange Board of India (SEBI) Circular MIRSD/SE/Cir-19/2009 dated 03-12-2009

Coimbatore Capital Limited (CCap) as a SEBI registered stock broker is mandated to follow the rules, regulations and the circulars of National Stock Exchange of India (NSE) and Securities and Exchange Board of India issued from time to time and operates through well defined procedures and policies.

The following policies have been mandated by SEBI to be made available to the clients. It should not be construed that these are the only policies followed by CCap.

### **A. Illiquid Securities / Penny Stocks :**

- 1 CCap does not encourage trades in penny stock / illiquid securities.
- 2 Penny stocks are the securities which have a very low value and may or may not be illiquid. Most times there would be very few buyers /sellers for such securities. NSE releases a list of such securities and they are termed as illiquid securities. CCap retains the right to term a particular security as illiquid/penny stock based on the parameters it deems fit. These parameters may include, the past volume of the security, volatility in the security among others, whether trading in a particular security falls within the purview of fraudulent trades or trades deemed to be fraudulent as per the Rules, Regulations, Bye-Laws of NSE and Regulations of SEBI.
- 3 CCap reserves the right to facilitate clients for placing orders with regard to the penny stocks or illiquid securities as described above. CCap is not under any obligation to accept orders which are in the nature of penny stocks/ illiquid securities.
- 4 CCap may permit trades in a penny or illiquid security subject to certain conditions, such conditions may include:
  - Submission of a declaration by the client stating the reasons for entering into the said transaction

and the client has abided by all the relevant regulations.

- In case of a buy transaction the client may be asked to deposit the full value of the security which the client intends to purchase, in case of sale transaction, the security should necessarily be transferred to CCap's margin account prior to placing the sale order.
  - Assessment of the past trading pattern or records of the client prior to giving permission
  - Conducting in person verification of the said client to establish the genuineness of the intended trade.
- 5 CCap reserves the right to refuse to place order whether or not the client fulfills the aforementioned conditions.

### **B. Exposure Limits and Margin**

- 1 Margin is collected upfront from the clients i.e prior to executing any trade. Based on the margin available with CCap, exposure is given to the client. The applicable margin may vary and the client may be asked to replenish the margin by depositing additional funds or securities.
- 2 Client is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Exchange.
- 3 Further CCap at it's discretion may collect additional margin or reduce the margin whether or not required by the Exchange.
- 4 Exposure is allowed to the clients based on the margin available in form of funds or approved securities valued after deducting an appropriate haircut.
- 5 Clients have to maintain sufficient balance with CCap pretrade depending on the channel through which they trade. CCap may levy additional margins or relax the margins imposed based on factors such as, client level position, volatility in a particular security or the market in general.
- 6 CCap at its sole discretion will accept any one or combination of the following margin deposit viz

Cash, Securities & Bank Guarantee (as per the format specified by NSE from time-to-time) from its clients.

- 7 CCap will accept funds or and securities (at its discretion) towards margin only from the respective Client's account.
- 8 CCap will deposit the collaterals accepted from the clients towards margin with NSE towards additional base capital only with the written consent of the respective Client.
- 9 Though it shall be CCap's endeavor to ensure that a proper notice is sent to the clients, this may not always be possible taking into consideration the market scenario.
- 10 Exposure allowed to clients may vary, based on the client's past trading performance, quality of collateral, market circumstances/dynamics and other related factors.
- 11 Clients may trade themselves through the internet/mobile network or may trade through the branch. For clients who trade through the internet/mobile network, the exposure limit may be ascertained by them on the respective trading portal (such as nowonline) of CCap. Clients executing trades through branches may check their exposure with the respective Branch.
- 12 CCap shall not be responsible for any variation, reduction or imposition or the Client's inability to route any order through any of the CCap's trading terminal or website on account of any such variation, reduction or imposition of limits.
- 13 CCap may at any time, at its sole discretion and without prior notice, prohibit or restrict the Clients ability to place orders or trade in securities based on certain risk parameters and/or regulatory compliance/any other reason which it may deem appropriate. In such circumstances CCap will not be responsible for the loss, if any on account of such refusal or delay in executing the orders due to the time taken in doing such review.
- 14 CCap may square off positions in securities without notice to the Client when the market is volatile in its opinion and/or there is a sudden spurt in the price of the security that may result in huge loss/margin liability to the Client.

### C. Brokerage

- 1 The brokerage applicable shall be as agreed upon from time to time.
- 2 In addition to the brokerage applicable the client agrees to pay to CCap, exchange related charges, statutory levies and any other charges (including but

not limited to security handling charges on settlement) as are prevailing and vary from time to time and as they apply to the client's account, transactions and to the services that CCap renders to the client.

- 3 CCap does not charge brokerage more than the maximum brokerage permissible as per the rules and regulations and bye laws of the Exchanges/SEBI. However the minimum brokerage, if any, as stipulated by the exchanges will be levied.
- 4 The brokerage shall be charged as a percentage of the value of the trade or as a flat fee or otherwise, together with the statutory levies as may be applicable from time to time on the same. In addition to the brokerage the following charges will also be levied (as agreed by the client)

Schedule of charges:

- a. SEBI turnover fees as applicable
- b. Exchange Transaction charges as applicable
- c. Securities Transaction Tax (STT)\* (STT rates may vary with regard to trades done on delivery basis, non delivery basis and trades done in the derivative segment).
- d. Service tax \*
- e. Education Cess and higher Education Cess \*
- f. CCap shall debit the DP charges to the trading account of the Client if the client had executed Power-of-Attorney for his DP account.
- g. Bank charges or any other charges levied by the exchange or any other authority for any violation done by the client.
- h. In case the brokerage levied as a percentage on the value of the shares/ contract is less than the minimum brokerage payable per share/contract. the client will be charged such minimum brokerage per share instead of the percentage as approved by the Exchange.

\* *These are government levies and are subject to change from time to time and will be charged in addition to the brokerage as applicable.*

All the above charges would be subject to change from time to time. Such changes and any other levies by SEBI / Exchange / CCap shall be displayed on the website or such other URL used by CCap for displaying changes from time to time.

- 5 CCap at its sole discretion and also depending upon the volume of trading and clearance of dues by the client, may alter the rate of brokerage from time to time.

### D. Delayed Payment - Effects/Charges and Penalties

- 1 Delayed payment charges are levied to the clients for

non-payment or delay in payment of their funds obligation in time which may be due on account of Settlement obligation, charges, margins or any other sum due to CCap.

- 2 Clients are required to pay margin before placing order. Clients are allowed to place margin in the form of funds or securities. Exposure is given to the client based on the securities funds deposited by the client towards margin. Appropriate haircut is applied on such securities. Clients have to make the full payment for the purchase on the settlement day.
- 3 In case of a debit balance in the client's account, the same shall be liable for delayed payment charges. The calculation of these charges is an automated process. Maximum 2% per month will be charged as delayed payment charges. The Client hereby authorizes the Member to debit the delayed payment charges to the ledger account of the client.
- 4 In case of any penalty / charges /fees / taxes etc. of whatever nature, is levied on CCap by NSE/SEBI or by any regulatory authority on account of trades or orders placed by the clients, such penalty /charges /fees / taxes etc. shall be debited to the client's account.

**E. Right to sell client's securities or close client's positions or pending orders, without giving notice to the client on account of non-payment of client's dues or any other reasons**

- 1 For Mark To Market (MTM) shortfall the MTM position of the Client would be monitored by the Risk Management department at Head Office (HO). If the Client's MTM loss reaches 50% of the margin, the Risk Management Department would intimate the concerned branch office and Relationship department, about the amount of shortfall.

CCap will inform the clients through the Branch Heads/Executives or the concerned Relationship Manager to deposit additional margin over phone to the extent feasible or in other feasible mode. If the client does not fulfill the margin requirement, and the MTM loss reaches 70% of the initial margin requirement, the position will be squared-off by the Risk Management department. Further, all pending orders of the client will also be cancelled by CCap. Exceptions at the discretion of the CCap will be allowed.

In exceptional circumstances, i.e., on the days of very high volatility, the Risk Management department may liquidate the open position without intimating the Client. In such cases, the client will be informed subsequently.

- 2 For Intra-Day trades :  
Risk Management department will start squaring off all the margin position from 3:00 p.m or if the Client reaches the blow out percentage of 70% of the initial margin whichever is earlier.  
On reaching the above said time limit or margin shortage Clients with large open positions will be squared off first. Before squaring off the Clients' position., all the pending orders of the Clients will be cancelled by CCap. No fresh purchase positions will be allowed to the Client and all open position of the said Client will be squared off.  
CCap reserves the right to exempt certain clients from policy/rule no. E (1) & (2) as it may deem fit.
- 3 CCap without prejudice to its other rights (including the right to refer the matter to arbitration proceedings of NSE), shall be entitled to liquidate/close out all or any of the client's position without giving notice to the client for non-payment of margins or other obligations including the pay-in, outstanding debts etc. and adjust the proceeds of such liquidation/close out, against the client's liabilities/obligations in accordance with the Member Client Agreement.
- 4 The client agrees to pay for the securities purchased through CCap before the funds pay-in date to enable CCap to make the requisite pay-in to the exchange. In case the client fails to make the payment, CCap may liquidate the securities in the client's account in order to ensure that the credit is received to set off the dues for the securities purchased. This sale of securities will be done on or before the 5th day from the settlement day.
- 5 The client also agrees to maintain adequate margin for the positions taken in any segment. However in case the credit available is lower than the minimum margin required, the client's positions would be liquidated in a manner that there is no shortfall of margin.
- 6 CCap shall endeavor to ensure that adequate prior information is given to the client for such liquidation. It shall inform the client through the mobile number and or email id (if any) updated with CCap. For clients to whom a login and password is given to access their account on the website of CCap, or such other URL that may be provided by CCap from time to time, where they are required to login and check the limit statement uploaded therein. It shall be the clients' responsibility to ensure that adequate credit balance is available in the account.
- 7 The above guidelines may be changed at the discretion of CCap in line with the market conditions. In case where the market is volatile and

sudden spurt in the price of a security or increase in price and/or volume, volatility CCap may square off position without any notice due to the paucity of time and other such circumstances.

- 8 Whenever CCap endeavors that the positions are to be liquidated, it shall not be responsible for any liabilities in case the same cannot be liquidated. The priority of the positions to be squared off, i.e. which positions to be squared off first, would be at the discretion of CCap.
- 9 CCap may follow the following priority for squaring-off positions :-
  - a) Securities attracting higher margins (cash/futures) from NSE will be squared off first.
  - b) Futures position will be squared off
  - c) Option sale position will be squared off
  - d) In case where there is a position in cash and derivative segment, futures positions would be squared off first then cash positions would be squared off and options long positions will be squared off/exercised in case shortfall still exist.
- 10 The Client shall bear the loss arising out of the closeout/square-off for the reasons stated above and shall be liable for the penalties/charges levied by the exchange.

**F. Shortages in obligations arising out of internal netting of trades**

Internal short deliveries are not covered by the auction conducted by NSE. CCap will close-out internal shortages as follows:

1. The client may not receive the securities bought on T+2 in case there is an internal shortage situation within CCap, i.e. the buyer and seller are both CCap clients and the seller defaults in delivery due to which the buyer may not receive the shares.
2. Internal shortages are closed-out as follows:  
At the highest price prevailing in the NSE from the first day of the relevant trading period till the day of pay out (or) 10 % above the official closing price on the pay-out day whichever is higher.

**G. Temporarily suspending or closing a Client's account at the Client's request**

- 1 Upon receipt of request from the client in writing, the client account will be suspended temporarily and same can be activated only on the written request of the client.
- 2 During the period in which client account is suspended, market transaction in the client account will not be permitted. However delivery of securities

to the client and payment of ledger balance can be effected.

- 3 Upon receipt of the request from the client in writing, the client account will be closed provided the client's ledger balance is Nil (no credit/debit balance). If the client wants to reopen the account the client should give a letter and complete the KYC requirements again. Reactivation request through e-mail will not be accepted by CCap.
- 4 The request for suspending/ closing the Client's account will only be accepted if the same is provided in the form prescribed by CCap. Such requests need to be routed through the corresponding branch to which the client is attached. No request for closure by e-mail would be accepted. On receipt of the account closure request form, if the same is in order, the account would be closed within 2 working days after the settlement of dues.

**H. Conditions under which a client may not be allowed to take further position or the broker may close existing position of a client /temporarily suspending or close a client's account and deregistering a client.**

1. Notwithstanding anything to the contrary stated in the agreement, CCap shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:
  - a) In the event where overall position in any scrip or derivative contract has reached the limit prescribed by regulators or exchange.
  - b) If the action of the client is 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.
  - c) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with CCap;
  - d) If there is reasonable apprehension that the Client is unable to pay his/her/its debts or the Client has admitted its inability to pay his/her/its debts, as they become payable;
  - e) If the Client has made any material misinterpretation of facts, including (without limitation) in relation to his financial position;
  - f) If the client fails to update CCap of his/her/its financial status by providing networth certificate/copy of IT returns /Balance Sheets and other financial statements/documents including failure to provide a fresh KYC form at the request of CCap.

- g) CCap has the right to stop or block the client from trade in case where there is a debit balance in his/her/its account.
- h) CCap retains the right to stop or block the client to take position in certain specified securities based on the risk management system of CCap.
- i) In case where CCap is apprehensive the client to be an entity debarred by any regulatory authority, it retains the right to stop trading activities for such client(s).
- j) In case where CCap perceives risk with regard to any regulatory action or with regard to delay or non-payment of margin or any other obligation, CCap may temporarily block or suspend the trades of such clients.
- k) In case where suspicious transactions are observed, including but not limited to off market transactions/cash transactions etc.,
- l) In case where the clients are not reachable at their contact details mentioned in the client registration form or any subsequent change of address filed by the client.
- m) In case where unprofessional, or unruly behavior of the client is observed.
- n) In case of any ongoing dispute with the client, CCap may not permit the client to take further positions and may even close out his open positions.
- o) If the Client is in breach of any terms, conditions or covenant of the Member-Client Agreement entered with CCap;
- p) Further in case of clients breaching the risk parameters mentioned in point (E) above, CCap may close the clients' positions and/or cancel all pending orders without any intimation.

In the event of death or insolvency of the client, winding up or liquidation or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, the CCap may close out the transaction of the client and the client or his legal representative would be liable for any losses, costs and be entitled to any surplus which may result there from.

**I. Failure of Trading System**

- 1 Trading systems are connected through VSAT/Leased lines/ ISDN and VPN/INTERNET.
- 2 As there is a possibility of communication failure or system problem or delayed response, trading halt or any break down in the back office/ front end system, or any other problem due to which the client could not access the trading system/network which may

result in delay in processing or not processing buy/sell orders either in part or in full which may be beyond the control of CCap, the client shall be liable and responsible for the obligation if any arising out of the transactions.

**J. Inactive Client**

- 1 A Client who did not transact for a period of six months will be classified as inactive client by CCap.
- 2 CCap at its sole discretion may place restriction on the trading or deactivate the trading facility.
- 3 Within six months period from the date of such classification, if the client wants to resume transaction in his/her/its account a written request need to be made to CCap.
- 4 After inactive for twelve months period the client has to give a fresh set of KYC form to resume transaction.

**K. Client Acceptance of Policies and Procedures stated hereinabove**

- 1 I/We have fully understood the above mandatory clauses 'A to J' forming part of the mandatory clauses of the Member Client Agreement do hereby sign the same and agree not to call into or question the validity, enforceability and applicability of any provision/clauses of this document on any circumstances what so ever.
- 2 These Policies and Procedures may be amended / changed unilaterally by CCap provided the change is informed to me / us through any one or more mode of communication. I/we agree not to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever.
- 3 These Policies and Procedures shall be read as part and parcel of the mandatory clauses of the Member Client Agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and CCap before any court of law / judiciary / adjudicating authority including arbitrator / mediator etc.

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Client Signature : © .....

Client Code : .....

Date : .....

Place : .....

## Docket B

### Voluntary Documents / Enclosures / Requirements

*This is voluntary, however, the same is required to be executed by the client for the smooth functioning of the business / to avail special service of C Cap.*

Sl. No	Document Description	Page / Ref No(s)	Requirements to be checked / Details of the Document	Enclosed*
1	Additional details of the Client	41	Two passport size recent photographs of the Client signed across by the Client.	
2	Address for correspondence	41	If differs from residence address - copy of any one of the documents listed in Item No. 8c of Docket A	
3	Additional details of introducer	41	Details of the same introducer in page 22	
4	Attestation for Client's Signature	42	Either by a Notary Public in the place where the Client resides or Bank Manager of the Bank where the Client holds the account which is given for trading account. The attesting authority has to sign, mention their designation, code number and affix address seal.	
5	Member and Client Agreement	43-49	Check for date of special adhesive stamp (i.e., The agreement date should be within 6 months of franking date)	
6	Options Account	51-52	Witness for Client signature required	
7	Dematerialised Shares Credit Authorisation	53	DP ID and Client ID which is written first / provided as default in Page 18	
8	Undertaking by Client towards stamping of contract	53		
9	Running Account Authorisation	54	Request for maintenance of Running Account - <i>To be renewed every year.</i>	
10	Inter Segment Transfer of Funds - Standing Instruction	54		
11	Intimation of Email ID for electronic delivery	55	Authorisation for receiving Electronic Contract Notes & other documents through Email. Active E-mail ID of the Client should be filled.	
12	Declaration for Mobile Number	55		
13	Client Defaulter Declaration	56		
14	Declaration regarding voluntary requirements	56		
15	Signatures	40-61	Full signature of the Client in the places marked © and in all proofs	
<b>16 If the client want to avail the Mobile Trading facility</b>				
16a	Member - Client Agreement for Securities Trading using Wireless Technology (STWT)	59-61	A separate agreement in this Client Registration Form to be executed to this effect with a consent letter **	

Sl. No	Document Description	Requirements to be checked	Enclosed*
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**17 If the client want to avail the internet trading facility**

17a	Member - Client Agreement for Internet Based Trading (IBT)	57-58	A separate agreement in this Client Registration Form to be executed to this effect with a consent letter**	
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**18 If the client want to authorise another person for his trading operations**

18a	Authorised Representative Form	To be submitted along with Special Power of Attorney with Passport size photo of the client and the authorised person pasted and cross signed. Identity Proof and Address Proof for the authorised person also to be submitted.	
18b	Special Power of Attorney	Special Power of Attorney executed on Rs. 100 non-judicial stamp paper as per the format provided by C Cap to be submitted along with the application.	

\* To be ticked by the Client and checked by C Cap receiving Official.  
All the proofs to be verified with original by the C Cap staff.

\*\* Consent letter should be in the format as provided by C Cap.

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X .....  
Signature of the employee who received  
the application with name and date



**Details of the known person (s) of the Client’s relative(s) / friend(s)**  
(having trading account with Coimbatore Capital Limited)

Sl. No.	Name of the Person	Relationship	Trading Code			Demat Account Number with C Cap
			CM	F & O	CD	

**DECLARATION**

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

Place : \_\_\_\_\_ 52/91  
 Signature : © .....  
 Date : \_\_\_\_\_ Name : .....

**Attested**  
*(The Signature is to be attested by  
 your Bank Manager or a Notary Public)*

Witness  
 Signature: .....  
 Name : .....  
 Address : .....  
 .....  
 .....

**MEMBER AND CLIENT AGREEMENT**

**(Voluntary clauses at the discretion of Coimbatore Capital Limited and Client)**

Special  
Adhesive  
Stamp  
Rs. 20/-  
affixed

This agreement is made at ..... this ..... day of .....

By and between : 53/91 © .....

1. Coimbatore Capital Limited, a company incorporated under provisions of the Companies Act 1956, having its registered office at Stock Exchange Building, I Floor, 686, Trichy Road, Coimbatore - 641 005 and is registered as Trading Member of Capital Market Segment, Futures & Options Segment and Currency Derivatives Segment of the National Stock Exchange of India Limited (NSE) with Trading Member ID:07529, and has registered with the Securities and Exchange Board of India (SEBI) as a Broker with registration no. INB 230752939 (for Capital Market Segment) INF 230752939 (for Futures & Options Segment) and INE 230752939 (for Currency Derivatives Segment) for NSE hereinafter referred to as "C Cap" which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be of the one part;

2. Mr / Ms.....  
S/o / W/o / D/o ..... an individual residing at

..... (hereinafter called "the client")

which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives / its successors, as the case may be of the other part;

**WITNESSTH :**

Whereas Coimbatore Capital Limited (hereinafter referred as C Cap) is registered as the stock broker of the National Stock Exchange (hereinafter referred as NSE) with SEBI registration number INB 230752939 in the Capital Market (CM) Segment; SEBI registration number INF 230752939 in the Futures and Options (F&O) Segment and SEBI registration number INE 230752939 in the Currency Derivatives (CD) Segment.

Whereas the Client is desirous of investing/trading in those securities/contracts / futures / options / currency derivatives and other instruments admitted to dealings on the NSE as defined in the Rules, Bye-Laws and Regulations of NSE and circulars issued thereunder from time to time;

Whereas the Client has satisfied himself of the capacity of C Cap to deal in securities and/or deal in derivatives contracts in Capital Market Segment and Futures & Options Segment of NSE and consequently wishes to execute his order through C Cap and the Client shall from time to time continue to satisfy himself of such capacity of C Cap before executing any of his orders through C Cap.

Whereas C Cap has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the Client and investment objectives relevant to the services to be provided; and

Whereas C Cap has taken steps to make the Client aware of the precise nature of the C Cap's liability for business to be conducted, including any limitations, the liability and the capacity in which C Cap acts.

For Coimbatore Capital Limited

55/91 © .....

Authorised Signatory

Whereas C Cap and the Client agree to be bound by all the Rules, Bye-laws and Regulations of National Stock Exchange of India (NSE) and circulars issued thereunder and Rules and Regulations of Securities and Exchange Board of India (SEBI) and relevant Notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the Parties thereto have agreed to the following terms and conditions.

**Voluntary clauses at the discretion of Coimbatore Capital Limited and Client**

In addition to the mandatory clauses in Member and Client Agreement of docket ‘A’ and in terms of the NSE circular No. NSE/INSP/2006/52 dated 5th July 2006, and NSE circular No. NSE/INSP/11324 dated 18th September 2008, it is hereby further mutually agreed by both parties that the clauses in Member and Client Agreement of docket ‘B’ as additional clauses for the smooth conduct of business.

**1. Terms of Agreement**

**Client Registration Form**

- 1.1 The Client shall execute a power of attorney for the operation of his Depository Account authorising C Cap to enable the transfer of relevant securities to the account of C Cap directly for settlement of his transactions, and/or as margin for his transaction and/or collateral for its dues to C Cap through the issue of necessary delivery instructions duly signed on behalf of the Client.
- 1.2 The Client shall provide, if required, to C Cap, a power of attorney authorising C Cap to debit / credit / block depository accounts to the extent of the transaction conducted by the said Client, through C Cap.

**Trading & Settlement System**

- 1.3 The Client agrees to keep himself apprised of the trading and settlement cycles, and changes in them through the websites of NSE/C Cap and the notices at the offices of C Cap and comply with them.
- 1.4 C Cap shall directly credit the demat account of the Client with the designated depository participant the purchases of the securities by the client within forty eight hours of the receipt of the securities from the Exchange on the pay-out day.

- 1.5 However, if any sum is due from the Client, C Cap may withhold the release of securities to the said demat account of the Client.
- 1.6 Any sale delivery not already made to C Cap must be made at least twenty four hours prior to the pay-in time in respect of the settlement in which such sale is made. Losses, if any, that may accrue in the event of a default in completing the delivery to the Exchange by the C Cap resultant of a delay in the delivery by the Client, shall be borne solely and completely by the Client. Losses for the purposes of this Clause shall include auction debits, and close-out premiums/ penalties, if any, incurred or arising as a result of non-delivery of securities on the settlement day of the Exchange.

**Client Deposits**

- 1.7 The Client agrees to deposit with C Cap the monies, securities or other assets, which are required to open and/or maintain the Client’s Account.

**Brokerage**

- 1.8 The Client agrees and authorises C Cap to pay commission / brokerage to the Sub-broker / Authorised Person / Remisier connected with Client by debiting his account.

**Transactions**

- 1.9 The Client confirms that all the transactions are done on his own behalf. The Client further agrees he shall not act as an intermediary.
- 1.10 The Client agrees and authorises C Cap to disclose details of Client’s transactions to NSE/NSCCL and others as may be statutorily required.
- 1.11 All orders for the purchase or sale of securities and other assets will be authorised by the Client and executed with the understanding that an actual purchase or sale is intended and that it is the Client’s intention and obligation in every case to receive and pay for profits or losses respectively on the Settlement. C Cap is the Client’s Agent to complete all such transactions and is authorized to make advances and expend monies as are required.

**Orders, Contract Notes and Statement of Accounts**

- 1.12 The Client requests that his telephone or oral orders in person for transactions may be accepted.

For Coimbatore Capital Limited

- 1.13 C Cap shall issue contract notes within twenty four hours of the execution of the trade. Such contract note shall be dispatched by C Cap by courier or through any other mode specified, to the address mentioned in this agreement or at any other address expressly informed to the C Cap by the client.
- 1.14 The Client has specifically requested and C Cap has agreed that all the Client orders will be placed on the Trading System only, and none of the Client's orders will be executed by C Cap with itself as Principal. Accordingly all the Contracts between Client and C Cap will only be in Form A (Contract Note issued by Members Acting for Constituents as Brokers and Agents) and not in Form B (Contract Note issued by Members Dealing with Constituent as Principals).
- 1.15 C Cap affirms that the contracts which have the relevant number of Client's orders and trades (Order Number & Trade Number generated by Trading System) will only be the valid contracts.
- 1.16 The Client agrees that he will sign, affix necessary stamps in accordance with The Indian Stamp Act, 1899 (Central Act 2/1899) and acknowledge the contract notes issued by C Cap for all transactions done by him.
- 1.17 The Client agrees that all purchase or sale of securities instructed by him to C Cap through telephone will be deemed to have been confirmed by the Client by signing the Contract Note.
- 1.18 The Client agrees that his signing the Contract Note issued by C Cap validates all the transactions contained in the said Contract Note and he will not repudiate any of the transactions in the Contract Note, on the premise that C Cap is not able to produce written orders from the Client for the said transactions.
- 1.19 The Client agrees that he will not repudiate any Financial/Securities/Margin obligations, as determined and conveyed to him or demanded from him by C Cap, on the premise that C Cap is not able to produce his written instructions/ confirmations of the orders or contract note which resulted in such obligations.
- 1.20 C Cap agrees to provide the Client a statement of the entries in his account, periodically, on request from Client, or make it available through internet/e-mail.
- 1.21 The Client understands that the Contract Note

and the Statement of Accounts issued by an authorised signatory of C Cap alone shall be binding on C Cap.

- 1.22 The Client agrees that he will continuously monitor the entries in his account with C Cap, and inform C Cap promptly of any entries which are not to his transactions; he will not repudiate any of his obligations to C Cap on the basis that he was not aware of these transactions, or the statement of his accounts was not furnished to him, or they were not confirmed by him in writing.

#### **Margins**

- 1.23 The Client agrees to promptly satisfy all margin and maintenance calls.
- 1.24 The Client understands that C Cap may, in its sole discretion, prohibit or restrict trading by the Client in any one or all market segments and/or in any security.
- 1.25 The Client clearly understands that, notwithstanding a general policy of giving Clients notice of a margin deficiency, C Cap is not obligated to request additional margin from the Client in the event the Client's Account falls below minimum maintenance requirements. More importantly, there may be circumstances where C Cap will liquidate securities and/or other assets of the Client available with C Cap with or without notice to the Client to ensure that minimum margin maintenance requirements are satisfied.
- 1.26 The Client hereby authorises C Cap (without prejudice to C Cap's other rights - including the right to refer a matter to Arbitration) at its discretion to buy, sell or close out any part or all of the contracts / positions held in the Client's account with C Cap to meet the margin requirements or for reducing the margins payable to NSE/ NSCCL. Any and all losses and financial charges on account of such liquidation / closing-out shall be charged to and borne by the Client.

#### **Liquidations and Covering Positions**

- 1.27 C Cap shall have the right in accordance with its general policies regarding Settlement Obligations and Margin requirements to require additional collateral or the liquidations of any securities and other assets whenever in C Cap's discretion it considers it necessary for its protection including in the event of but not limited to, the failure of the Client to promptly

For Coimbatore Capital Limited

meet any call for additional margin or collateral; the filing of a petition in bankruptcy by or against the Client; a petition for the appointment of a receiver is filed by or against the Client; an attachment is ordered against any of the Client Accounts or an Account in which the Client has an interest; or the occurrence of any event which in the opinion of C Cap, would impair the Client's ability to fulfill his Financial/Securities/Margin obligations to C Cap or of the Client's death.

- 1.28 In any such event C Cap is authorised to sell any and all securities and other assets in any of the Client Accounts whether carried individually or jointly with others, to buy all securities or other assets which may be short in such Client Account(s), to cancel any open orders and to close any or all outstanding contracts/positions, all without demand for margin or additional margin, or notice of sale or purchase, or other notice or advertisement each of which is hereby expressly waived by the Client.
- 1.29 Any such sales or purchases may be made at C Cap's discretion on NSE or at public auction or private sale, and C Cap may be the purchaser or seller for its own account in it. It is understood a prior demand, or call, or prior notice of the time and place of such sale or purchase shall not be considered a waiver of C Cap's rights to sell or buy without demand or notice as herein provided.

**Ceiling on number of Contracts**

- 1.30 The Client agrees that the Client will not, acting alone or in concert with others, directly or indirectly, hold and control contracts in securities in excess of the number permitted from time to time by NSE.
- 1.31 The Client agrees that he will not acting alone or in concert with other directly or indirectly place orders or hold positions or exercise positions which aim at and/or result in any manipulations, distortion or cornering in the prices of securities / futures/ options/ currency derivatives.

**Financial Obligations and Confirmations and Statements**

- 1.32 The Client agrees to keep track of his Financial Obligations to C Cap. The Client will make necessary arrangement for settling his Financial Obligations by the due date for each transaction. The due date for all such payments will be one business day before the Settlement Date/due date for payment to NSCCL.

- 1.33 The Client agrees to make all his remittances to C Cap only by an Account payee crossed cheque/pay-order/bank demand draft or an instruction for transfer of funds to bank directly to C Cap's account, or an instruction to C Cap to transfer the credit balances in any other account of him with C Cap. The Client confirms that C Cap is not responsible for any remittance made otherwise, and in particular cash payments to any employee of C Cap.
- 1.34 C Cap shall release funds of a settlement pay-out to the Client (i.e. payment relating to transactions, where it is due, less taxes, fees, charges and brokerage), less any amounts due to C Cap from the Client relating to all trading days, upto and including the due date. The due date for all such payments will be pay-out day plus one day after the Settlement Date.
- 1.35 Confirmations of transactions through contract notes and statements of accounts for the Client's Account(s) shall be binding upon the Client if the Client does not object, in writing, in case of Contract notes within twelve hours of receipt of Contract notes and in case of Statement of Accounts within thirty days of receipt by the Client. Notice or other communications including margin and maintenance calls delivered or mailed to the address given below shall, until C Cap has received notice in writing of a different address, be deemed to have been personally delivered to the Client whether actually received or not.

**Satisfaction of Indebtedness**

- 1.36 The Client agrees to pay to C Cap, upon demand, his Financial Obligations, any indebtedness, and debit balance remaining when the Client Account is closed, either partially or totally. Client Account may not be closed without C Cap first receiving all securities and other assets for which the Account is short, all funds to pay in full for all securities and other assets in which the Client Account is long, all open short/long positions the Client Account has are closed and the funds for all losses are received.

**Interest**

- 1.37 Debit balances of the Client in the Client's Account shall be charged with interest at the discretion of C Cap, at the interest rate not less than 24 % per annum.

**Lien**

- 1.38 The Client agrees that all monies, securities or other assets, which C Cap may hold on Client's

For Coimbatore Capital Limited

account, or in any other account in which Client has an interest shall be held subject to a general lien for the discharge of Client's Financial Obligations and any indebtedness to C Cap under this Agreement.

- 1.39 All Securities and/or other assets in any Account in which the Client has an interest or which at any time are in the possession or under the control of C Cap, shall be subject to a lien for the discharge of any and all indebtedness or any other obligation that the Client may have to C Cap.
- 1.40 In enforcing its lien, C Cap at its sole discretion may determine which Securities and/or other assets are to be sold or which contracts are to be closed or which contracts are to be enforced, and such sale of Assets / Closure of contracts by C Cap shall not require prior notice to the Client.

**Pledge of Securities and Other Assets**

- 1.41 Within the limitations imposed by applicable laws, rules and regulations, all securities and other assets of the Client may be pledged and repledged and hypothecated and rehypothecated by C Cap from time to time, without notice to the Client, either separately or in common with such other securities and other assets of other Clients of C Cap, for any amount due to C Cap in the Client(s) Account(s). C Cap may do so without retaining in its possession or under its control for delivery of a like amount of similar securities or other assets.

**Prohibition from investment advice**

- 1.42 The Client also acknowledges that C Cap's employees and Sub-brokers/authorised persons/Remisiers, are not authorized to give any investment advice and that the Client will not solicit or rely upon any such advice from C Cap or any of its employees or its Sub-brokers / Authorised Persons / Remisiers and further will make no claim on C Cap on the basis of acting on any such advice given to him.
- 1.43 The Client agrees that C Cap and its officers, directors, employees, sub-brokers, authorised persons, remisiers and agents will have no liability with respect to transactions in or for the Client's Account and the Client's investment decisions.
- 1.44 The Client agrees that any information or recommendations provided by any services of C Cap ancillary, in addition to, or as part of the

service must not be construed as investment advice given to the Client.

- 1.45 The Client agrees that the Client shall be wholly responsible for all his investment decisions and trades.

**2. Applicable Rules and Regulations**

- 2.1 This Agreement shall be governed by and construed in all respects in accordance with the laws of the Republic of India.
- 2.2 All transactions in the Client's Account with C Cap shall be subject to the constitution, rules, registrations, customs and usages of NSE and NSCCL. Also, where applicable, the transactions shall be subject to the provisions of (1) the Securities Contract (Regulation) Act of 1956, as amended, (2) the provisions and the Rules and Regulations made under the Securities and Exchange Board of India Act, 1992 and (3) SEBI (Ombudsman) Regulations, 2004 as amended.

**3. Agreement Contains Entire Understanding/ Assignment**

- 3.1. This Agreement contains the entire understanding between the Client and C Cap concerning the subject matter of this Agreement. Client may not assign the rights and obligations hereunder without first obtaining the prior written consent of C Cap.

**4. Severability**

If any provision of this Agreement is held to be invalid, void or unenforceable by reason of any law, rule, administrative order or judicial decision, or any change in the SEBI/NSE regulations, that determination shall not affect the validity of the remaining provisions of this Agreement.

**5. Waiver**

Except as specifically permitted in this Agreement, no provision of this Agreement can be, nor be deemed to be, waived, altered, modified or amended unless such is agreed to in a writing signed by C Cap.

**6. Furnishing of Information and Documentation**

- 6.1 The Client agrees to complete any further documentation as may be required by NSE, NSCCL, SEBI and other regulatory authorities or under the C Cap policies from time to time.

For Coimbatore Capital Limited

- 6.2 The Client agrees to furnish the details of changes if any, in the information furnished in the Know Your Client (KYC) form, such as change in (a) address (permanent / temporary / employment address), (b) Bank account, (c) email - id, (d) telephone / mobile numbers etc, with necessary proof, to C Cap as and when such changes occur on an ongoing basis.
- 6.3 The Client also agrees to furnish the financial details as prescribed in the KYC form every year without fail on or before 31st July of every year for the purpose of monitoring trading activity of the client in pursuance of NSE Circular No. NSE/INVG/2006/31 dated 03.03.2006.

**7. Extraordinary Events**

- 7.1. C Cap and/or its agents will not be liable for losses caused directly or indirectly by government restriction, SEBI/NSE regulations, NSE/NSCCL rulings, suspension of/from trading, any difficulty in accessing the facilities of C Cap by the Client, computer, communication or telephone failure, war, earthquakes flood, accident, power failure, equipment or software malfunction, strikes, failure of any of other service providers such as banks, courier etc., or any other conditions beyond C Cap’s control.

**8. Indemnities**

- 8.1. The Client agrees that C Cap will not be liable for any incidental, consequential, special or indirect damages including but not limited to lost profits, trading losses, or damages that result from inconvenience, delay or loss in the use of the service even if C Cap has been advised of the possibility of such damages.
- 8.2 The Client agrees that the C Cap shall not be liable or responsible for non-execution of orders placed in the Trading System due to the failure of any system or communication link or due to any other reason whatsoever.
- 8.3 The Client agrees to indemnify and hold C Cap harmless from and against any and all claims, losses, liability, costs, expenses arising out of the Client’s violation of this Agreement or any third party’s rights arising out of the services.
- 8.4 The Client agrees to fully indemnify C Cap for any loss arising from execution of incorrect/ambiguous/fraudulent instructions provided by the Client and/or his authorised representative(s).

**9. Termination of Accounts**

- 9.1 The Client agrees that C Cap may suspend its service in whole or in part, at any time without prior notice if the Client does not comply with any of the terms and conditions of this Agreement.
- 9.2 C Cap shall not be bound to release the margin deposit requirement until all outstanding trades on termination of this Agreement has been fully squared off or settled.

**10. Notices**

- 10.1 Any notice to be given by any party to this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by prepaid registered post or courier to the addressee at the address given in

To C Cap at  
 Name of the person concerned: ..... D. Ramesh  
 Coimbatore Capital Limited  
 Address : .....  
 Stock Exchange Building, 1st Floor  
 .....  
 686, Trichy Road, Coimbatore - 641 005  
 .....

To the Client at :  
 Name of the person concerned: .....  
 Address : .....  
 .....  
 .....  
 .....

or at such other address for the purposes of this Agreement.

- 10.2 Any notice served by prepaid registered post or courier shall be deemed served 24 (twenty four) hours after posting to an address in Coimbatore or 2 (two) days after posting to an address outside Coimbatore. In proving a service of any notice, it will be sufficient to prove in the case of a letter that such letter was properly stamped, addressed and placed in the post or delivered or left at the current address if delivered personally to the addressee given above or subsequently notified for the purposes of this Agreement.

**11. Capacity to Contract, Client Affiliation**

- 11.1 By signing this agreement, the Client represents that he or she is of legal age, and that he or she is

For Coimbatore Capital Limited

not an employee of NSE, or of any corporation of which NSE owns a controlling interest, or of a member of NSE, or an employee of a member firm or individual member registered on NSE, and that the Client will promptly notify C Cap in writing if the Client is now or becomes so employed. The Client also represents that no one except the Client has an interest in the Account or Accounts of the Client with C Cap.

**12. Jurisdiction**

12.1 In respect of any disputes as between C Cap and Client to which NSE is not a party, the Courts of Coimbatore, India shall be the Court of Competent Jurisdiction to the exclusion of all other courts.

In WITNESS WHEREOF, the parties to agreement have caused these presents to be executed as of the day and year first above written.

SIGNED for and on behalf of  
C Cap : ..... For Coimbatore Capital Limited

By : .....

Signature : .....

Title : ..... Authorised Signatory

Witness :

1. Signature : .....

Name : .....

Address : .....

.....

.....

.....

2. Signature : .....

Name : .....

Address : .....

.....

.....

.....

SIGNED for and on behalf of  
The Client : .....

By : .....

Signature : <sup>64/91</sup> © .....

Title : .....

Witness :

1. Signature : .....

Name : .....

Address : .....

.....

.....

.....

2. Signature : .....

Name : .....

Address : .....

.....

.....

.....

Note: All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

**DEFINITIONS COMMON TO MEMBER & CLIENT AGREEMENT OF DOCKET A & B**

1. “Available Funds” means the sum of credit balances in the Client Account, plus funds receivable from Settled Transactions (hereinafter defined), minus the net effect of unsettled transactions, minus all margin amounts due to C Cap and any uncleared deposits of cheques/ Demand Drafts made by the client.
2. “Business Day” means any day on which trading in NSE’s trading is operational.
3. “Client Account” means Client’s Account in the name of the Client on C Cap records and shall include the bank account and/or a depository account(s) in which the cash or Securities of the Client are deposited.
4. “Client Registration Form” means the application submitted by the Client to C Cap to open a Trading Account for Client’s transactions.
5. “Client Agreement” means this agreement between C Cap and the Client for the trading account, as amended from time to time.
6. “Client’s Transactions” means any purchase, sale, purchase and sale, sale and purchase, exercise and assignment of securities and consequent actions on purchase or sale until the transactions are settled.
7. “Financial Obligations to C Cap” means, any amount payable by the Client to C Cap which includes, but not limited to, any funds pay-in due for purchase of securities, the loss incurred by the Client in trading in securities, the margin payable to C Cap, charge/fee/ penalty/liability/statutory dues payable to SEBI/NSE/NSDL/Government of India/State Government and interest payable by the Client in case of partial fulfillment/delayed fulfillment/failure in fulfillment of his obligations by the Client. The amount payable is that the amounts that are claimed by C Cap as payable to C Cap by the Client, whether or not the client agrees to such claims.
8. Capital Market Segment, Futures & Options Segment, Retail Debt Market Segment, Currency Derivatives Segment and any other segments are as defined by NSE regulations
9. “Trading System” includes National Exchange for Automated Trading (NEAT) System of the NSE and any other Computer-to-Computer Link (CTCL) software facility used by C Cap to access the NEAT Trading System.
- 10 “Securities and/or Other Assets” means, but is not limited to, Cash, Credit balances, Shares, Stock, Bonds, Contracts on Futures & Options, Mutual funds & Money funds, Fixed deposits, Financial instruments and related contracts, whether for present or future delivery. This definition includes securities or other assets currently or hereinafter held, carried or maintained by C Cap in C Cap’s possession or control, for any purpose, in and for any of the Client’s account(s) now or hereinafter opened, including any Account in which the Client may have an interest.
11. “Settled Transactions” means completed purchase/sales transactions either by way of delivery or auction or close-out or expiration or exercise or by executing an offsetting transaction.
12. “Settlement Date” means the date on which relevant transactions are settled by National Stock Exchange of India Limited (NSE)/National Securities Clearing Corporation Limited (NSCCL).
13. “SEBI Regulations” means the Regulations, Circulars, Notifications, Guidelines and Orders of SEBI.
14. “NSE Regulations” means Bye-laws, Rules and Regulations and Circulars of National Stock Exchange of India Limited.
15. “NSCCL Regulations” means Bye-laws, Rules, Regulations and circulars of National Securities Clearing Corporation Ltd.
16. In this Agreement, the headings are used for convenience and ease of reference and are not to be construed as limiting in the construction or interpretation of any provision of this Agreement.
17. The definitions ascribed to terms in this Agreement apply equally to both the singular and plural forms of such terms. Whenever the context may require, any pronoun shall be deemed to include the corresponding masculine, feminine and neuter forms. The words “include”, “includes” and “including” shall be interpreted as if followed by the phrase “without limitation”. References to any document or agreement, including this Agreement, shall be deemed to include any references to such document or agreement as amended, supplemented or replaced from time to time in accordance with its terms and (where applicable) subject to compliance with the requirements set forth therein and herein. References to a statute, ordinance, code or other law shall be deemed to include rules, regulations and other instruments under it and consolidations, amendments, re-enactments or replacements of any of them.

**OPTIONS ACCOUNTS****The provisions of this part of the application govern option trading**

I hereby agree to the following terms and conditions :

1. I understand that options contain a high degree of risk and are speculative in nature. I acknowledge that, based on my investing experience and financial situation, I fully understand and fully prepared financially to undertake such risks and withstand any losses incurred. I certify that Coimbatore Capital Ltd. may rely on the information furnished by me to Coimbatore Capital Ltd. relating to my investing experience and financial condition. And further, I agree to promptly advise Coimbatore Capital Ltd, in writing, of any change in my financial condition or investment objectives that may affect, in any way, the suitability of my trading options.
2. I have received, read and understand “Risk Disclosure Document” issued by the National Stock Exchange of India Limited (“NSEIL”). I agree to that each option transaction is subject to the rules and regulation of the NSEIL, the Securities and Exchange Board of India and various other regulatory entities. I understand that I must comply with all applicable duties and responsibilities.
3. I understand that due to the short-term nature of options it is likely that I will be trading options more frequently than stocks or bonds. I understand I will be charged a commission each time I trade. I also understand that although a spread order may be entered on your order screen as one net debit/credit, I will be charged a commission on each leg of the order.
4. I understand that I bear all responsibility for taking action to exercise a valuable option. I understand that the NSEIL, have established exercise cutoff times and my options will become worthless in the event I do not deliver instructions in a timely manner. I understand Coimbatore Capital Ltd. will use its best efforts to exercise valuable options on my behalf provided that I have enough buying power to support the resulting position. In all instances, I agree to assume full and complete financial responsibility and liability for all exercise and/or assignments.
5. I understand that Coimbatore Capital Ltd., uses the method for the assignment as prescribed by NSEIL exercise and assignment notices. All short options

positions, including a leg of a spread, are liable for assignment at any time.

6. I expressly authorize Coimbatore Capital Ltd. to liquidate or close-out any of my options positions, without notice to me and without my consent, in Coimbatore Capital Ltd.'s sole and absolute discretion, if and when my open positions exceed applicable position limits so as to reduce such open positions to a level that is in compliance with such limits. I will bear and be solely responsible for any losses associated with such a reduction or liquidation. I also acknowledge and agree that under applicable rules and regulations Coimbatore Capital Ltd. may be required to provide National Stock Exchange of India Limited, National Securities Clearing Corporation Limited or other regulatory organizations with information concerning your options positions and related data.

**Special notice to owners of “long” fully paid-for options**

I understand and agree that I MUST have the necessary assets to meet the exercise of fully paid-for in the money options in order to exercise the position, or Coimbatore Capital Ltd., at its discretion, may close out my position prior to the close of business on the last day before exercise. I further understand that Coimbatore Capital Ltd., require a Margin Account to be open with at least 50% of the new purchase or exercise in cash. I understand that it is my responsibility to manage my positions. The above provision is a right of Coimbatore Capital Ltd., to protect itself from undue risk and NOT an obligation that I may rely on to excuse my obligation to manage my Account prudently. Over leveraged Accounts are subject to this provision, and may be liquidated in order to protect Coimbatore Capital Ltd.

**Special Statement for Uncovered Options Writers**

There are special risks associated with uncovered option writing, which expose the Client to potentially significant loss. Therefore, this type of strategy may not be suitable for all clients approved for options transactions.

The potential loss of uncovered call writing is unlimited. The writer of an uncovered call is in an extremely risky position, and may incur large losses if

the value of the underlying instrument increases above the exercise price.

As with writing uncovered calls, the risk of writing uncovered put options bears a risk of loss if the value of the underlying instrument declines below the exercise price. Such loss could be substantial if there is a significant decline in the value of the underlying instrument.

Uncovered options writing is suitable only for knowledgeable investor/ client who understands the risks, and has the financial capacity and willingness to incur potentially substantial losses, and has sufficient liquid assets to meet applicable margin requirements.

I understand that if the value of the underlying instrument moves against my uncovered (writers) option position, Coimbatore Capital Ltd. may request significant additional margin payments. I agree that if I fail to make such margin payments, Coimbatore Capital Ltd., may liquidate stock or options in my Account, with little or no prior notice in accordance with the Member - Client Agreement.

For combination writing, where the Client writes both puts and calls on the same underlying instrument, the potential risk is unlimited.

While it is generally accepted that spread trading may reduce the risk of loss of the trading of the outright purchase of a standardised option contract, client MUST understand that the risk reduction can lead to other risks.

**Early Exercise and Assignment can Create Risk and Loss**

Spreads are subject to early exercise or assignment that can remove the very protection that the Client sought. This can lead to margin calls and greater losses than anticipated when the trade was entered.

**No Advice**

You understand that we provide no tax, legal or investment advice of any kind, nor do we give advice or offer any opinion with respect to the nature, potential value or suitability of any particular securities transaction or investment strategy. Any investment decisions you make will be based solely on your own evaluation of your financial circumstances and investment objectives and the suitability for you of any security or any investment or trading strategy.

**NOTE:** It is expected that you have read and understood “RISK DISCLOSURE DOCUMENT”. This statement is not intended to enumerate all of the risks entailed in writing uncovered options.

SYSTEM RESPONSE and ACCESS TIMES MAY VARY DUE to MARKET CONDITIONS, SYSTEM PERFORMANCE, and OTHER FACTORS such as SUN OUTAGE. YOU UNDERSTAND THIS RISK and AGREE TO HOLD COIMBATORE CAPITAL LIMITED HARMLESS WHILE USING ITS SYSTEMS.

Accepted

Witness :

Signature : .....

Name : .....

Address : .....

.....  
 .....  
 .....

67/91

© .....

**DEMATERIALIZED SHARES CREDIT AUTHORISATION**

To  
 Coimbatore Capital Limited  
 Stock Exchange Building, 1st Floor  
 686, Trichy Road, Coimbatore - 641 005

Date : .....

Dear Sir,

I hereby authorise Coimbatore Capital Limited (C Cap) and its authorities to credit all my purchase of demat shares in all types of settlements in the following accounts with respect to National Securities Depository Ltd., (NSDL) and Central Depository Services (India) Ltd., (CDSL).

	DP Id.							Client Id.							
<b>NSDL-DP A/c No.</b>	<b>I</b>	<b>N</b>													
<b>CDSL-DP A.c No.</b> <i>(Fill your 16 digit account number)</i>															

I hereby undertake to indemnify C Cap, its authorities, executors of any consequences, costs or any other action arising due to crediting of the shares to my account(s) mentioned above.

Thanking you.  
 Yours faithfully,

68/91  
 .....

**UNDERTAKING BY CLIENT TOWARDS STAMPING OF CONTRACT**  
**NOTES AS PER INDIAN STAMP ACT 1899**

I, .....  
 transacting business with Coimbatore Capital Limited (C Cap), Member-Capital Market (CM) Segment, Futures and Options (F&O) Segment, Currency Derivatives (CD) Segment of National Stock Exchange of India Limited with SEBI Registration Nos. INB-230752939 for Capital Market Segment and INF-230752939 for Futures & Options Segment and INE-230752939 for Currency Derivatives Segment with Client Code ..... in CM &/ F & O &/ CD Segment(s) hereby declare that :

1. I shall on receipt sign the originals of all contract notes issued by C Cap to me at the place indicated therefor (In the Contract Note) and retain the originals with me.
2. At or before me executing / signing the Contract Notes, I shall comply with the requirements of Section 17 of the Stamp Act by affixing the requisite adhesive stamp and duly cancelling the same.
3. Expenses of providing the proper stamp on the Contract Note issued to me shall be borne by me/us.
4. This undertaking is intended to govern the time of stamping the Contract Notes and the liability for payment of duty and the above referred terms and conditions shall not affect the binding effect or the Contract Notes at the stage they are issued by C Cap to me.

69/91  
 .....

**RUNNING ACCOUNT AUTHORISATION**

To  
Coimbatore Capital Limited  
Stock Exchange Building, 1st Floor  
686, Trichy Road, Coimbatore - 641 005

Date : .....

Dear Sir,

Sub : Request for maintenance of Running Account

Ref: My Trading/Front Office (FO) Code in CM &/ F&O &/ CD Segment(s): .....

I hereby state that I am aware about the norms relating to pay-out of securities and funds. In order to facilitate operations and banking convenience, I hereby authorise Coimbatore Capital Limited (CCap), to maintain a running account with CCap, instead of daily settlement of funds/securities due to me. Further, the pay-out of securities/funds may be retained by CCap and I agree not to claim any interest from CCap on such securities/funds so retained by CCap. The funds/securities so retained shall be available to CCap for exposure/margin purposes for me. I further agree that CCap shall not be liable for any claim for loss or profit or for any consequential, incidental, special or exemplary damages, caused by retention of such securities/funds under the agreement.

On written request by me to CCap, CCap may release the funds/securities to me, if sufficient margins in respect of my trading across all segments of the stock exchanges are available with CCap.

I hereby agree that we shall confirm the statement of funds and securities within seven working days on receipt of the monthly statements in this regard being issued by CCap, failing which it is agreed by me that the statement of balances as issued by CCap is proper and correct.

I am also aware that the above authorization may be revoked by me at any time on communication to you in writing.

Thanking you,

Yours faithfully,

70/91



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**INTER SEGMENT TRANSFER OF FUNDS - STANDING INSTRUCTION**

To  
Coimbatore Capital Limited  
Stock Exchange Building, 1st Floor  
686, Trichy Road, Coimbatore - 641 005

Date : .....

Dear Sirs,

Sub : Request for transfer of funds between Trading Segments

Ref : My Trading / Front Office (FO) Code in CM & / F&O & / CD Segment(s) : .....

I hereby authorize you to transfer funds from Capital Market (CM) Segment to Futures & Options (F&O) Segment, CM Segment to Currency Derivatives (CD) Segment, F&O Segment to CD Segment and vice versa, whenever necessary, to meet my margin requirements or to enable you to adjust my dues, if any, or meet my settlement obligations.

The above authorisation will hold good unless cancelled by me and communicated to you in writing.

Thanking you,

Yours faithfully,

71/91



.....

**INTIMATION OF E-MAIL ID FOR ELECTRONIC DELIVERY**

To  
Coimbatore Capital Limited  
Stock Exchange Building, 1st Floor  
686, Trichy Road, Coimbatore - 641 005

Sub : Consent to receive Electronic Contract Notes & other documents through email.

Ref : My Trading / Front Office (FO) Code in CM &/ F&O & / CD Segment(s) : .....

I request you to send the Contract Note, Account Statements, Bills, Trade Confirmation, Transaction Statements of Depository Account, Statement of Holdings of Depository Account, other documents / communications etc., with respect to my Trading account(s) in Capital Market, Futures & Options Segment, Currency Derivatives Segment and Depository Account by electronic delivery which may be in the form of an electronic mail, an electronic mail attachment or in the form of a link to an available download from a website, to my e-mail id .....

I ensure that my above e-mail id is valid and any change in my above e-mail id shall be communicated to you in writing.

I shall access this e-mail id on a regular basis to view the above communication sent by C Cap.

I am aware that non-receipt or bounced mail notification by C Cap will be considered as delivery of the contract to me at the above e-mail id and C Cap shall not be held responsible for the same.

Thanking you,

Yours faithfully,

72/91



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**DECLARATION FOR MOBILE NUMBER**

To  
Coimbatore Capital Limited  
Stock Exchange Building, 1st Floor  
686, Trichy Road, Coimbatore - 641 005

Ref: My Trading / Front Office (FO) Code in CM &/ F&O & / CD Segment(s): .....

I, ..... having PAN No. .... do hereby declare that

my mobile number is ..... Further, I authorize Coimbatore Capital Limited that the same may be used for giving me any information / alert / sms / call.

Further I declare that the above mentioned statement is true and correct.

Thanking you,

Yours faithfully,

73/91



**CLIENT DEFAULTER DECLARATION**

To  
Coimbatore Capital Limited  
Stock Exchange Building, 1st Floor  
686, Trichy Road, Coimbatore - 641 005

Ref: My Trading / Front Office (FO) Code in CM & / F&O &/ CD Segment(s) : .....

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

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

Thanking you,  
Yours faithfully,

74/91



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**DECLARATION REGARDING VOLUNTARY REQUIREMENT**

To  
Coimbatore Capital Limited  
Stock Exchange Building, 1st Floor  
686, Trichy Road, Coimbatore - 641 005

Ref: My Trading / Front Office (FO) Code in CM & / F&O &/ CD Segment(s) : .....

In addition to the Mandatory agreement and documents in Docket 'A' of Client Registration Application / KYC document, I hereby declare that I have also executed / not executed an agreement containing voluntary clauses and other documents in Docket 'B' of Client Registration Application, for the smooth conduct of business.

Thanking you,  
Yours faithfully,

75/91



**MEMBER AND CLIENT AGREEMENT**  
***[for Internet Based Trading (IBT)]***

Special  
Adhesive  
Stamp  
Rs. 20/-  
affixed

76/91



This agreement is made at ..... this ..... day of ..... between Coimbatore Capital Limited, a trading member of National Stock Exchange of India Limited (NSE) with Trading Member ID :07529 and having SEBI Registration No. : INB 230752939 in Capital Market Segment, SEBI Registration No. : INF 230752939 in the Futures & Options Segment and SEBI Registration No. : INE 230752939 in the Currency Derivatives Segment, hereinafter called MEMBER and having its registered office at 1<sup>st</sup> Floor, Stock Exchange Building, 686, Trichy Road, Coimbatore - 641 005, which expression shall, unless repugnant to the context or meaning thereof, also include its successors, heirs and assignees as the case may be, of the One Part.

And

Mr / Ms ..... S/o / W/o / D/o ..... an individual / a sole proprietary concern / a partnership firm / a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932 / the Companies Act 1956, having his / her / its residence at

..... (hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, also include his successors, heirs and assignees as the case may be, of the Other Part.

**WITNESSTH :**

Whereas the MEMBER is registered Stock Broker of National Stock Exchange of India Ltd and having SEBI Registration No. : INB 230752939 in the Capital Market (CM) Segment, SEBI Registration No. : INF 230752939 in the Futures and Options (F&O) Segment and SEBI Registration No.: INE 230752939 in the Currency Derivatives (CD) Segment.

Whereas the CLIENT is desirous of investing / trading in those securities admitted for dealing on the Exchange as defined in the Bye-Laws of the Exchange.

Whereas the CLIENT has satisfied itself of the capability of the MEMBER to deal in securities and wishes to execute his orders through internet facility made available by the MEMBER and the CLIENT shall continue to satisfy itself of such capability of the MEMBER before executing orders through MEMBER.

Whereas the MEMBER has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the CLIENT and investment objectives relevant to the services to be provided.

Whereas the MEMBER has taken steps and shall take steps to make the CLIENT aware of the precise nature of the MEMBER's liability for business to be conducted, including any limitations on that liability and the capacity in which it acts.

In consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions :

1. In addition to the terms of this Agreement, the terms and Conditions of the Member - Client Agreement dated ..... entered into between the Member and Client, to the extent applicable and in so far as they are not inconsistent with the terms set out hereunder shall also be applicable to all dealings and orders executed by the Client through the Internet facility offered by the Member.
2. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations and guidelines issued by SEBI and Stock Exchange rules, regulations and Bye-laws that may be in force from time to time.

For Coimbatore Capital Limited

Authorised Signatory


78/91



3. In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result therefrom.
4. The agreement entered into between the MEMBER and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one month written notice. Such cancellation or termination shall not have any effect on transaction executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have same obligations in respect of such transactions.
5. The instructions issued by an authorized representative of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the Client.
6. The client is aware that the authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and / or his authorised representative are not revealed to any third party.
7. The CLIENT agrees that the MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link / system failure at the CLIENT/MEMBERS/EXCHANGE end.
8. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.
9. The MEMBER shall also send the Order / Trade confirmation slip through E-mail to the CLIENT at his request, within ..... (time period as specified by the Client) from the time of execution of order / trade on the NEAT system, as the case may be. The CLIENT agrees that the information sent by MEMBER by E-mail is deemed to be a valid delivery of such information by the MEMBER.
10. The CLIENT is aware that the MEMBER has provided on the website a facility for reconfirmation of orders, which are larger than that specified by the MEMBER's risk management, by the MEMBER and is also aware that the MEMBER has the discretion to reject the execution of such orders based on his risk perception.
11. The MEMBER and the CLIENT are aware of the provisions of Bye-laws, Rules and Regulations of the Exchange relating to resolution of disputes / differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
12. All trades, transactions and contracts are subject to the Bye-laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

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

SIGNED for and on behalf of  
**For Coimbatore Capital Limited**  
 Member : .....  
 By : .....  
 Signature : .....  
 Title : **Authorised Signatory** .....  
 Witness :  
 1. Signature : .....  
     Name : .....  
     Address : .....  
 .....  
 .....

SIGNED for and on behalf of  
 The CLIENT : .....  
 By : .....  
 Signature :  .....  
 Title : .....  
 Witness :  
 1. Signature : .....  
     Name : .....  
     Address : .....  
 .....  
 .....

83/91

**MEMBER AND CLIENT AGREEMENT**

***[for Securities Trading using Wireless Technology (STWT)]***

Special  
Adhesive  
Stamp  
Rs. 20/-  
affixed

84/91



This agreement is made at ..... this ..... day of ..... between Coimbatore Capital Limited, a trading member of National Stock Exchange of India Limited (NSE) with Trading Member ID :07529 and having SEBI Registration No. : INB 230752939 in Capital Market Segment, SEBI Registration No. : INF 230752939 in the Futures & Options Segment and SEBI Registration No. : INE 230752939 in the Currency Derivatives Segment, hereinafter called MEMBER and having its registered office at 1<sup>st</sup> Floor, Stock Exchange Building, 686, Trichy Road, Coimbatore - 641 005.

And

Mr/Ms.....S/o / W/o / D/o ..... an individual / a sole proprietary concern / a partnership firm / a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932 / the Companies Act 1956, having his / her / its residence/registered office at .....

**WITNESSTH :**

Whereas the MEMBER is registered as Stock Broker of National Stock Exchange of India Ltd. and having SEBI Registration No. : INB ..... in the Capital Market (CM) Segment SEBI Registration No INF ..... in the Futures Options F O Segment and SEBI Registration No INE ..... in the Currency Derivatives CD Segment

capability of the MEMBER before executing orders through him.

Whereas the MEMBER has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the CLIENT and investment objectives relevant to the services to be provided.

Whereas the MEMBER is eligible for providing Internet based trading and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc which use Internet Protocol (IP).

Whereas the MEMBER has taken steps and shall take steps to make the CLIENT aware of the precise nature of the MEMBER's liability for business to be conducted, including any limitations on that liability and the capacity in which it acts.

Whereas the CLIENT is desirous of investing/trading in those securities admitted for dealing on the Exchange as defined in the Bye-Laws of the Exchange. For this purpose, the CLIENT is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology.

In consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The MEMBER agrees that it has complied / shall comply with all requirements applicable to securities trading using wireless technology as may be specified by SEBI & the Exchange from time to time. The provisions of this agreement shall always be subject to Government notifications, any rules,

Whereas the CLIENT has satisfied itself of the capability of the MEMBER to deal in securities and wishes to execute his orders through him and the CLIENT shall continue to satisfy itself of such

For Coimbatore Capital Limited

86/91



Authorised Signatory

regulations and guidelines issued by SEBI and Stock Exchange rules, regulations and Bye-laws that may be in force from time to time.

2. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations and guidelines issued by SEBI and Stock Exchange rules, regulations and Bye-laws that may be in force from time to time.
3. In the event of death or insolvency of the CLIENT or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result therefrom.
4. The agreement entered into between the MEMBER and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one month written notice. Such cancellation or termination shall not have any effect on transaction executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have same obligations in respect of such transactions. The MEMBER has bought to the notice of client the possible risks, responsibilities and liabilities associated with securities trading using wireless technology.
5. The Member shall provide information with respect to the addresses of the Internet web site / web page where detailed information would be available about securities trading through the use of wireless technology. The CLIENT is aware that as it may not be possible to give detailed information to the investor on a hand held device e.g. mobile phones, minimum information may be given with address of the Internet web site / web page where detailed information would be available.
6. The instructions issued by an authorized representative of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the client.
7. The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading / securities trading through wireless technology through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party.
8. The CLIENT agrees that the MEMBER shall not be liable or responsible for nonexecution of the orders of the CLIENT due to any link/system failure at the CLIENT / MEMBERS / EXCHANGE end.
9. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.
10. The MEMBER shall also send the Order/Trade confirmation slip through E-mail to the CLIENT, within ..... (time period as specified by the Client) from the time of execution of order/trade on the NEAT system, as the case may be. Trade confirmation will be provided to the user along with history of trades for the day. The CLIENT agrees that the information sent by MEMBER by E-mail is deemed to be a valid delivery of such information by the MEMBER. The aforesaid information regarding order and trade confirmation shall be provided on the device of the CLIENT in case of securities trading through the use of wireless technology.
11. The CLIENT is aware that the MEMBER has provided on the web site a facility for reconfirmation of orders, which are larger than that specified by the MEMBER's risk management, by the MEMBER and is also aware that the MEMBER has the discretion to reject the execution of such orders based on his risk perception.
12. The Member and the Client are aware of the provisions of Bye-Laws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
13. All trades, transactions and contracts are subject to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to

For Coimbatore Capital Limited

such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

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

SIGNED for and on behalf of  
Member : ..... **For Coimbatore Capital Limited** .....  
By : .....  
Signature : .....  
Title : ..... **Authorised Signatory** .....  
Witness :  
1. Signature : .....  
Name : .....  
Address : .....  
.....  
.....  
.....

SIGNED for and on behalf of  
The CLIENT : .....  
By : .....  
Signature : <sup>91/91</sup> © .....  
Title : .....  
Witness :  
1. Signature : .....  
Name : .....  
Address : .....  
.....  
.....  
.....

**To be filled by C Cap Branch Office**

Trading Terminal Location at .....

Date of issue of the Form to the client		Original documents Verified by (Signature & Name)	⊗
Date of receipt of the Form from the client		Authorised by (Branch Incharge's Signature, Name with Branch Seal)	align="center">⊗
Date of sending the Form to HO			

**Client Brokerage Structure**

**Brokerage on commencement of trading :**

**Capital Market (CM)**

**Futures & Options (F&O)**

**Currency Derivatives (CD)**

Jobbing Brokerage%	Jobbing (Minimum Paise)	Delivery Brokerage%	Delivery (Minimum Paise)

Brokerage%	Brokerage (Minimum Paise)

Brokerage%	Brokerage (Minimum Paise)

⊗

Branch Head

Approved by (HO)

Entered by (HO)

**For C Cap Head Office purpose only**

Date of receipt of the Form :

Segment	Unique Client Code	Back Office Code	Documents verified by	Account opening authorised by	Registered		First trade date
					on	by	
CM							
FO							
CD							

**Brokerage Verification :**

S.No.	Brokerage being charged	Verified	Date

Note : Once in 3 / 6 months the brokerage structure has to be verified by Head / Director - Operations / Internal Auditor

# Coimbatore Capital Limited

Regd. Office : Stock Exchange Building,  
1st Floor, 686, Trichy Road, Coimbatore - 641 005  
Tel : (0422) 232 02 02 - 06 Fax :(0422) 232 02 11  
Website : [www.coimbatorecapital.com](http://www.coimbatorecapital.com)

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- Trading Member & Clearing Member : Capital Market Segment, Futures and Options Segment and Retail Debt Market Segment, Trading Member : Currency Derivatives Segment, National Stock Exchange of India Ltd., Mumbai
  - Depository Participant : National Securities Depository Ltd., Mumbai
  - SEBI Reg. No. : INB 230752939 / INF 230752939 / INE 230752939 / IN-DP-NSDL-19-97
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