

# **GARG SECURITIES PVT. LTD.**

REGD. OFF. : 1, GULATI COMPLEX, (IN FRONT OF MILKHIRAM MARKET)  
SAKCHI, JAMSHEDPUR - 831 001, JHARKHAND  
PHONE : (0657) 242-3987/7850, FAX : (0657) 2437530  
E.mail : info@gargsec.com, Website : www.gargsec.com



## **CLIENT REGISTRATION FORM (CAPITAL MARKET / F&O SEGMENT)**

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**CLIENT CODE** \_\_\_\_\_

**CLIENT NAME** \_\_\_\_\_

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- ❖ Member of National Stock Exchange of India Ltd. ❖ Capital Market and F&O Segments ❖
- ❖ NSE Trading Member Code No. 12515 ❖ SEBI Regn. Nos. INB/INF231251530 ❖
- ❖ Member of BSE Limited ❖ Capital Market and F&O Segments ❖
- ❖ BSE Clearing No. 6175 ❖ SEBI Regn. Nos. INB/INF011251536 ❖

## ACCOUNT OPENING KIT

**Name of Stock Broker / Trading Member : GARG SECURITIES PVT. LTD.**

**SEBI Registration Nos. and Date :** - NSE - INB231251530 Dt. 07.02.2006  
- INF231251530 Dt. 07.02.2006  
- BSE - INB011251536 Dt. 14.02.2011  
- INF011251536 Dt. 14.02.2011

**Registered & Correspondence Office address :**

1, Gulati Complex, (In front of Milkhiram Market)  
Sakchi, Jamshedpur - 831 001 (Jharkhand)  
Phone : (0657) 242-3987 / 7850, Fax : (0657) 242-8342  
E.mail : info@gargsec.com, Website : www.gargsec.com

**Name of Clearing Member : EAST INDIA SECURITIES LTD.**

**SEBI Registration Nos. and Date :** - NSE - INF230813439 Dt. 30.06.2004  
- BSE - INF010813435 Dt. 23.11.2006

**Registered & Correspondence Office address :**

10/1D, Lal Bazar Street, Mercantile Bldg., 3rd Floor, Kolkata - 700 001  
Phone : 2248-7002 / 9347, Fax : (033) 2358-6631  
E.mail : fao@eisec.com, Website : www.eisec.com

**Compliance Officer Name, Phone No. & email ID :**

Mr Vijay Kumar Gupta, 92344-66433, vijay@gargsec.com

**CEO Name, Phone No. & email ID :**

Mr Shree Ram Agarwal, 92346-21370, gargeq@yahoo.co.in

For any grievance/dispute, please contact **GARG SECURITIES PVT. LTD.** at the above address or email id : feedback@gargsec.com and Phone No. : 242-3987. In case not satisfied with the response, please contact the concerned exchange(s) at ignse@nse.co.in and Phone No. (022) 2659-8190 for NSE and at is@bseindia.com and Phone No. (022) 2272-8097 for BSE.

Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003, NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003 and BSE Notice No. 20031125-7 dated 25 November, 2003 :

We, **GARG SECURITIES PVT. LTD.**, are also engaged in Proprietary trading apart from Client based business.

<b>INDEX OF DOCUMENTS</b>		
<b>S.NO.</b>	<b>NAME OF THE DOCUMENT AND ITS BRIEF SIGNIFICANCE</b>	<b>PAGE NOS.</b>
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>		
<b>1.</b>	<b>Account Opening Form</b> A. KYC form - Document captures the basic information about the constituent. B. Document captures the additional information about the constituent relevant to trading account. C. An instruction/check list.	<b>**</b>  <b>1 - 5</b>  <b>B2 - B3</b>
<b>2.</b>	<b>Rights and Obligations</b> Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	<b>B4 - B7</b>
<b>3.</b>	<b>Risk Disclosure Document (RDD)</b> Document detailing risks associated with dealing in the securities market.	<b>B8 - B10</b>
<b>4.</b>	<b>Guidance note</b> Document detailing do's and don'ts for trading on exchange, for the education of the investors.	<b>B11</b>
<b>5.</b>	<b>Policies and Procedures</b> Document describing significant policies and procedures of the stock broker.	<b>6 - 7</b>
<b>6.</b>	<b>Tariff sheet</b> Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	<b>8</b>
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>		
<b>7.</b>	<b>Authority Letter for Running Account</b> The document deals with an option given to client to settle his obligations towards funds and securities on a running basis & settle the same at monthly/quarterly interval at his discretion.	<b>9</b>
<b>8.</b>	<b>Mandate to issue documents in Electronic format</b> The documents deals with the clauses relating to issue of Contract Notes, daily margin statement, quarterly statement in electronic format.	<b>10</b>
<b>9.</b>	<b>Consent Letter for E.mail and Mobile Alert Facility</b> As required under various Circulars of SEBI and Exchange(s)	<b>11</b>
<b>10.</b>	<b>List of Authorised Signatories</b>	<b>12</b>
<b>11.</b>	<b>Declaration For Mobile Number</b> A client desirous of receiving trade alerts / calls for his / her trades done has to give a written authorisation and it should be signed by the client only. The client has to provide a mobile number.	<b>13</b>
<b>12.</b>	<b>Authority Letter for Debit of Demat A/c charges in Securities Trading A/c</b>	<b>13</b>
<b>13.</b>	<b>Declaration by client in relation to PMLA, 2002</b> The document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.	<b>16</b>
<b>FORMATS</b>		
Indicative formats to be used by different types of clients to be given at the time of registration.		
<b>14.</b>	<b>Format of Board Resolution in case of Corporates</b>	<b>17</b>
<b>15.</b>	<b>Format of Declaration in case of HUF Account</b>	<b>18 - 19</b>
<b>OTHERS</b>		
<b>17.</b>	<b>Policy / Declaration on AML / CFL</b>	<b>20</b>

**\*\* As per separate sheets (to be submitted to KRA)**

## TRADING ACCOUNT RELATED DETAILS - FOR INDIVIDUALS & NON-INDIVIDUALS

BANK ACCOUNT(S) DETAILS		
	First Bank Details	Second Bank Details
Bank Name		
Branch		
Address		
Bank A/c No.		
A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO
MICR No.		
IFSC code		
DEPOSITORY ACCOUNT(S) DETAILS		
	First Demat A/c Details	Second Demat A/c Details
Depository		
Participant Name		
Depository Name	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		
<b>TRADING PREFERENCES</b> - * Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.		
Exchange	Segment	Signature
1. National Stock Exchange of India Ltd. - Cash	✓	
	- F&O	✓
2. BSE Limited	- Cash	✓
	- F&O	✓
# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.		

<b>PAST ACTIONS</b>			
Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners / promoters / whole time directors / authorized persons in charge of dealing in securities during the last 3 years			
<b>DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS</b>			
If client is dealing through the sub-broker, provide the following details			
Sub-broker's Name			
SEBI Regn. Number			
Regd. Off. Address			
Phone		Fax	Website
Whether dealing with any other stock broker / sub-broker (if case dealing with multiple stock brokers /sub-brokers, provide details of all)			
Name of stock broker			
Name of Sub-Broker, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker			
<b>ADDITIONAL DETAILS</b>			
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)			
_____, Specify your Email id, if applicable :			
Whether you wish to avail of the facility of internet trading / wireless technology (please specify)			
<input type="checkbox"/> YES <input type="checkbox"/> NO			
Number of years of Investment / Trading Experience			
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others			As per Annexure
Any other information			
<b>INTRODUCER DETAILS (optional)</b>			
Name of the Introducer			
	(Surname)	(Name)	(Middle Name)
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client		
	<input type="checkbox"/> Others, please specify		
Address and Phone No. of the Introducer			
Signature of the Introducer			

<b>NOMINATION DETAILS (for individuals only)</b>																						
<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate																						
Name of the Nominee																						
Relationship with the Nominee																						
PAN of Nominee	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> Date of Birth of Nominee																					
Address and Phone No. of the Nominee																						
<b>If Nominee is a minor, details of guardian :</b>																						
Name of guardian																						
Address and Phone No. of Guardian																						
Signature of guardian																						
<b>WITNESSES (Only applicable in case the account holder has made nomination)</b>																						
	<b>First Witness Details</b>	<b>Second Witness Details</b>																				
Name																						
Signature																						
Address																						

**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place : \_\_\_\_\_

✓ \_\_\_\_\_  
Signature of Client/ (all) Authorized Signatory (ies)

Date : \_\_\_\_\_

## ANNEXURE

### DETAIL OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS AND PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM / OTHERS

Particulars	1st	2nd	3rd
Designation			
Name			
PAN			
DIN / UID			
Residential Address			
Photograph	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it

Use additional sheets, if necessary

## FOR OFFICE USE ONLY

UCC Code allotted to the Client : \_\_\_\_\_

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

\_\_\_\_\_  
**Signature of the Authorised Signatory**

Date : \_\_\_\_\_

**Seal/Stamp of the stock broker**

### INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list :

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents

*\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals :
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals :
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.

**MANDATORY**



## POLICIES & PROCEDURES

### A) Refusal of Orders for Penny Stocks :

Penny stocks are thinly traded shares of small companies which are traded infrequently and having very low volume. Stock Exchange also, from time to time, releases a list of illiquid securities advising trading members to exercise additional due diligence while trading in these securities. These securities may also be called as "Penny Stock".

The Member reserves the right to refuse to take orders for such "Penny Stock".

### B) Setting up Client's Exposure Limits :

The Member reserves the right to set, impose and vary limits on the orders that the client can place through the trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.) without prior notice. The order/exposure limits may vary from time to time, client to client depending upon the margins, client, and financial status of the client as well as market condition.

### C) Applicable brokerage rate

The brokerage rate applicable may vary from client to client depending on the category of the client i.e. HNI, Corporate or Retail and the risk /trading profile of the client. Brokerage rates may also differ for different securities and/or classes of securities and/or different type of trades and/or different trading segments for the same client.

The brokerage rate initially fixed for a new client may increase/decrease in course of time with the mutual consent.

However the brokerage rate shall not exceed the maximum as specified by the Exchange/SEBI.

### D) Imposition of Penalty / Delayed Payment Charges

Penalties levied on ourselves by any authority shall be recoverable from a client if such penalty has resulted due to:

- a. A willful violation by the client of the requirements / stipulations of Exchanges / any Regulatory Authority.
- b. A continued violation by the client of the requirements / stipulations of Exchanges / any Regulatory Authority after he has intimated of the default (or all reasonable steps to intimate him have been so taken in case he is unreachable).
- c. His trading pattern been objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- d. His suspension of information / providing false information.

Penalties levied on the client would be same as levied on us.

Any relaxation of the penalty on a client will require the Board's specific approval which may grant the same depending on the circumstances on case to case basis. Any such relaxation in a case no way entitles any client to seek relaxation in the same circumstances, either then or in future.

We are currently not charging any Delayed Payment charges.

No penalty / delayed payment charge shall be payable by us under any circumstances.

Clients to note: *Ignorance of law is no excuse at law.*

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

The Member reserves the right to liquidate / close out all or any of the client's securities / positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out 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.

**F) Shortages in obligations arising out of internal netting of trades :**

If there are shortages due to internal netting of client positions, the position of both the clients would be squared off by taking exchange's auction price for that particular security in that particular settlement. The netting off will be done on FIFO basis for internal shortages.

In absence of Exchange Auction price, the highest closing price from T day (i.e. trading day ) to T+2 (i.e., Auction day) will be considered in place of Exchange Auction price.

In case of security having corporate action, fair & equitable adjustment shall be made.

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

The member reserves the right to refuse a client to take further position or close the existing position of the client. The conditions under which such actions may be taken by member include:

- 1) Client's margin not adequate vis a vis exposure of the client.
- 2) Sudden changes in margin requirement of Exchange
- 3) Reduction in value of margin of the client for reasons such as fall in the price of securities given as margin or increase in hair cut
- 4) Taking further position will violate any rules, regulations or by-laws of Exchange or SEBI.
- 5) Exiting position violates any rules, regulation or by-laws of Exchange or SEBI.
- 6) Member not having sufficient exposure limit for whatsoever reason
- 7) If the ledger of a client shows continuous debit balances and the dues are not settled by the client.

**H) Temporarily suspending or closing a client's account at the client's request :**

The account of the client shall be temporarily suspended or closed on receipt of written request from the client specifying the reasons to close the account. The member on being satisfied with the reasons given, shall suspend or close the account of that client after effecting the settlement of the account.

Accounts suspended on client's request can be reactivated only after receiving a written request from the client.

**I) Deregistration of a client :**

The conditions under which the Member may deregister a client include:

- 1) On receipt of the specific request from the client to deregister himself and to close his accounts.
- 2) On account of client remaining inactive for three financial years reckoned from the end of the financial year in which the client has traded.
- 3) On account of death or insolvency of the client.
- 4) On account of breach of terms and conditions of the agreement by the client.
- 5) On account of any action taken by SEBI/ Exchange/ any other statutory authority against the client.

On the happening of the above, the account of a client is deregistered after effecting settlement of the accounts and securities of the client.

**J) Inactive accounts :**

The account of a client who do not trade and remain inactive for eight consecutive calendar quarters reckoned from the end of the calendar quarters in which the client has traded shall be declared "inactive account" and will be temporarily suspended.

The Member reserves the right to ask for any documents in support of current address, bank account, demat account, financial status, etc before reactivating such inactive accounts.

**Client Acceptance of Policies and Procedures stated herein above :**

I/We confirm having read and understood the same.

# TARIFF SHEET

UNIQUE CLIENT CODE: \_\_\_\_\_

## BROKERAGE

### CAPITAL / CASH MARKET

EXCHANGE	DELIVERY %	MINIMUM	SQUARE OFF %	MINIMUM
NSE / BSE				

## DERIVATIVES

### FUTURES

EXCHANGE	MINIMUM %	SQUARE OFF %
NSE / BSE Futures		

### OPTIONS (Only on Premium)

EXCHANGE	MINIMUM %	SQUARE OFF %
NSE / BSE Options**		

\*\* Subject to maximum of Rs.100/- per lot

### Other charges

Service Tax, Securities Transaction Tax, Education Cess, Secondary and Higher Education Cess at prevalent Tax Rates.

✓ \_\_\_\_\_  
Signature of the Client

# AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS AND SECURITIES

Date : \_\_\_\_\_

To  
**GARG SECURITIES PVT. LTD.**  
1, Gulati Complex, Sakchi  
(In front of Milkhiram Market)  
Jamshedpur - 831 001, Jharkhand

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with Garg Securities Pvt. Ltd. & within 3 working days from the request if the same is lying with clearing member / clearing corporation.
2. I/we understand and agree that no interest will be payable to me/us on the funds or securities so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize Garg Securities Pvt. Ltd. to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. Excess margins deposited towards one exchange / segment may be adjusted, on a running basis towards margin requirement / debit balance in same / other exchange / segment, where I/we have the client account.
5. I/we also confirm that the securities lying in my withhold A/c should be considered as margin deposit / collateral.
6. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
7. I/we hereby authorize you to pledge my / our securities deposited as margin or withheld by you as permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporations towards margin.
8. I/we authorise Garg Securities Pvt. Ltd. to hold shares purchased by me / us in their beneficiary / pool account as collateral / margin against my / our future trades / obligations in same / other exchange / segment.
9. I/we may revoke the authorisation at any time by giving a written notice.
10. I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a calendar quarter or month and the statement of account for the same will be provided to me by Garg Securities Pvt. Ltd.
11. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
12. I/we agree that (a) in respect of derivatives market transactions, apart from margin liability as on the date of settlement, trading member may retain additional margins (maximum upto 75% of margin requirement on the day of settlement) to take care of any margin obligation arising in next 5 days, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligation of funds & securities due from me/us as on the date of settlement and for next day's business, the Trading Member may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement.
13. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
14. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of the Trading Member preferably within 30 working days from the date of receipt of funds/securities or statement as the case may be.

## PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS & SECURITIES)

Settlement Preferences	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
------------------------	----------------------------------	------------------------------------

Thanking you,

Yours truly,

✓ \_\_\_\_\_

Signature of the Client  
**VOLUNTARY**

# ISSUE OF CONTRACT NOTES AND OTHER DOCUMENTS IN ELECTRONIC FORM

Date : \_\_\_\_\_

To  
**GARG SECURITIES PVT. LTD.**  
1, Gulati Complex, Sakchi  
(In front of Milkhiram Market)  
Jamshedpur - 831 001, Jharkhand

Dear Sir,

1. This is with reference to the agreement entered into with you for trading in the Cash Market(CM) and/or Derivative(F&O) segment of NSE / BSE and the facility offered to receive the Contract Notes and other documents in electronic form.
2. I/We hereby confirm and certify that I/we am/are fully aware of the provisions of the Information Technology Act, 2000 and the rules & regulations as framed by NSE & SEBI in this regard.
3. In this connection, I/we give our consent and authorize you to send the digitally signed Contract Notes / Statement of Funds / Statement of Securities / Ledger / Margin Statements/ Confirmations / any other documents and correspondence to my/our email id as given hereunder :

Primary Id : \_\_\_\_\_

Additional / Optional Id : \_\_\_\_\_

4. I/We agree that digitally signed Contract Notes (ECN) / Statements / Documents / Correspondence sent to my/our email id as above shall be binding upon me/us and shall be deemed to have been given as if in the paper form.
5. I/We agree that it will be my / our responsibility that my / our email account is active and mail box is not full.
6. I/We agree that non-receipt of bounced mail notification by you in respect of any email sent to my/our email id as above shall be considered as received by me/us.
7. I/We undertake to check the ECNs and bring the discrepancy, if any, to your notice within 7 days of such issuance. My/our non-verification or not accessing the ECNs on regular basis shall not be a reason for disputing the Contract Notes at any time.
8. I/We understand that whenever the ECNs have not been delivered or has been rejected, you shall send a physical contract note.
9. I/We am also aware that ECNs will also be available on a designated website in a secured way for which access will be given to me/us by providing User ID and Password.
10. I/We agree that you shall not be responsible for the non-receipt of the contract note / documents / statements / ledger / confirmation / correspondence by me/us due to any change in the email id / address not intimated to you in writing.
11. I/We confirm that this mandate has been given at our discretion and I/we have the right to terminate this mandate anytime by giving a notice in writing.

Yours truly,

✓ \_\_\_\_\_

Signature of the Client

Note : The letter shall be signed by the client only and not by any authorized person on his behalf or any holder of the Power of Attorney.

**VOLUNTARY**

# CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

Dated : \_\_\_\_\_

To  
**GARG SECURITIES PVT. LTD.**  
1, Gulati Complex, Sakchi  
(In front of Milkhiram Market)  
Jamshedpur - 831 001, Jharkhand

Sir,

This is with reference to my/our trading account opened with you. I/we request you to arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines, issued by concerned authorities from time to time.

Email Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Email ID	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	✓
SMS Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Mobile Number	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	✓

\* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to **GARG SECURITIES PVT. LTD.**

✓ \_\_\_\_\_  
Signature of Client

**VOLUNTARY**

## LETTER FOR AUTHORIZED SIGNATORIES

To  
**GARG SECURITIES PVT. LTD.**  
1, Gulati Complex, Sakchi  
(In front of Milkhiram Market)  
Jamshedpur - 831 001, Jharkhand

Dear Sir,

Please find below a list of authorized signatories to represent us, their authority including but restricted to :

1. Placing/ modifying/ cancelling orders on our behalf
2. Acknowledging contract notes, bills, ledger statements, cheque or other documents issued by you to us.
3. Communicating changes in our KYC details
4. All other communications from us to you

Sl. No.	Name of the signatory	Signature	Relation, if any

Thank you,

✓ \_\_\_\_\_  
Signature of the Client

## DECLARATION FOR MOBILE NUMBER

Date : \_\_\_\_\_

To  
**GARG SECURITIES PVT. LTD.**  
1, Gulati Complex, Sakchi  
(In front of Milkhiram Market)  
Jamshedpur - 831 001, Jharkhand

Dear Sir,

I, \_\_\_\_\_, having PAN No. \_\_\_\_\_ do hereby declare that my Mobile Number is \_\_\_\_\_. Further, I authorise GARG SECURITIES PVT. LTD. (hereinafter referred to as "GSPL") that the same may be used for giving me any information / alert/sms/call.

I / We under take to GSPL and confirm to use my / our own judgement in taking a call and execute trade in the identified security(s) according to my / our financial strength / capabilities and shall not hold GSPL responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of the SMS alert(s) and / or investment advises sent by GSPL.

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

Yours truly,

✓ \_\_\_\_\_  
Signature of the Client

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### AUTHORITY LETTER FOR DEBIT OF DEMAT ACCOUNT CHARGES IN SECURITIES TRADING ACCOUNT

Date : \_\_\_\_\_

To  
**GARG SECURITIES PVT. LTD.**  
1, Gulati Complex, Sakchi  
(In front of Milkhiram Market)  
Jamshedpur - 831 001, Jharkhand

Dear Sir,

#### **Sub : Debit of Demat Account charges in trading account**

I/We do hereby authorise Garg Securities Pvt. Ltd. to debit my/our securities trading account with Garg Securities Pvt. Ltd. in respect of charges payable to Garg Securities Pvt. Ltd. as Depository Participant (DP) for providing depository services to me/us and such amount debited in my/our trading account shall be binding on me/us.

Thanking you,  
Yours faithfully,

✓ \_\_\_\_\_  
Signature of the Client

**VOLUNTARY**



**Voluntary information provided by the client in relation to the Prevention of Money Laundering Act, 2002**

Name of the Client : \_\_\_\_\_

If Business / Profession : Nature of business : \_\_\_\_\_

Industry : \_\_\_\_\_

- A) Do any of your relatives or directors/ promoters/ partners/ authorized persons have an account with GARG SECURITIES PVT. LTD. :**  Yes  No

If yes, please give details hereunder

Name of Relative / Director etc.	Relation / Designation	UCC (Client Code)
1.		
2.		
3.		

- B) Are you or any of your relatives or any of your directors/ promoters/ partners/authorized persons affiliated to any Company/ Partnership Firm / Trust etc**  Yes  No

If yes, please give details hereunder

Name of Relative / Director etc.	Entity Affiliated to	Relationship	Particulars
1.			
2.			
3.			

- C) Are you or any of your relatives or any of your directors/ promoters/ partners/authorized persons have any relation/ connection with any political person in India/ abroad**  Yes  No

If yes, please give details hereunder

Name of Relative / Director etc.	Person connected to	Relationship	Particulars
1.			
2.			
3.			

- D) Do you intend to invest in the stock market with own or borrowed funds**  Own  Borrowed

If borrowed funds, then please give details hereunder

Sources of Funds	Amount
1.	
2.	
3.	

I/ We confirm that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform **GARG SECURITIES PVT. LTD.** of any changes therein immediately.

I/ We further undertake to immediately inform **GARG SECURITIES PVT. LTD.** if I/we am/are convicted under any grounds or any action is taken against me/us by any Regulator/Authority.

✓ \_\_\_\_\_  
Signature of the Client

Place : \_\_\_\_\_

Date : \_\_\_\_\_

## FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ Ltd.  
AND HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_  
HELD ON \_\_\_\_\_ DAY OF \_\_\_\_\_ 200 AT \_\_\_\_\_ A.M./P.M

RESOLVED THAT the Company be registered as Client with Garg Securities Pvt. Ltd., Member of The National Stock Exchange of India Ltd. (NSE) and BSE Limited (BSE) for the purpose of dealing in Capital Market Segment, Futures and Options Segment or any other segment and the said Member be and is hereby authorised to honour instruction oral or written, given on behalf of the Company by any of the under noted authorised signatories :-

<u>Sl. No.</u>	<u>Name</u>	<u>Designation</u>
1.	_____	_____
2.	_____	_____
3.	_____	_____

who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with/through deal through Garg Securities Pvt. Ltd. on behalf of the Company.

RESOLVED FURTHER THAT Mr. \_\_\_\_\_ and/or Mr. \_\_\_\_\_ Directors and / or Mr. \_\_\_\_\_ Authorised Signatory of the Company be and are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may deemed necessary or expedient to open account and give effect to this resolution.

AND RESOVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any Directors or of any one Director and Company Secretary, who shall sign the same in token of their presence.”

For \_\_\_\_\_ Ltd.

Chairman/Company Seceretary

Specimen Signatures of the Authorised Persons

<u>Sl. No.</u>	<u>Name</u>	<u>Specimen Signatures</u>
1.	_____	_____
2.	_____	_____
3.	_____	_____

The above signatures to be attested by the persons signing the resolution for account opening on behalf of the Company.

## DECLARATION OF JOINT FAMILY

To  
**GARG SECURITIES PVT. LTD.**  
1, Gulati Complex, Sakchi  
(In front of Milkhiram Market)  
Jamshedpur - 831 001, Jharkhand

A/c No. \_\_\_\_\_

1. WHEREAS the Hindu Undivided Family of \_\_\_\_\_  
(hereinafter referred to as the said "joint family") carrying on business in the firm name and style of \_\_\_\_\_ at \_\_\_\_\_  
or elsewhere (hereinafter referred to as "the said H.U.F. firm") have or desire to have Share Trading A/c with **Garg Securities Pvt. Ltd.** (hereinafter referred to as "Member") we, the undersigned, hereby declare:
  - (a) that we are the present adult co-parceners of the said joint family;
  - (b) that Shri \_\_\_\_\_ is the present Karta or Manager of the said Joint Family;
  - (c) that we are entitled to trade in shares and open Share Trading Account of the said Joint Family;
  - (d) that each one of us has full and unrestricted authority to act on behalf of, and bind, the said H.U.F. Firm and all the present as well as future members, both adults and minors, of the said joint family, howsoever constituted from time to time.
2. We confirm that the affairs of the said joint family and the business of the said H.U.F. firm are carried on mainly by the Karta/Manager, the said Shri \_\_\_\_\_, on behalf and in the interest and for the benefit of all the co-parceners of the said joint family. We hereby authorise the Karta/Manager Shri \_\_\_\_\_, on behalf of the H.U.F., to deal on Capital Market Segment (CM), Futures & Options Segment (F&O) or any other Segment that may be introduced by NSE / BSE in future and the said Trading Member is hereby authorised to honour all instructions oral or written, given by him on behalf of the H.U.F.  
  
Shri \_\_\_\_\_ is authorised to sell, purchase, transfer, endorse, negotiate documents and/or other wise deal through **Garg Securities Pvt. Ltd.** on behalf of the H.U.F. \_\_\_\_\_. He is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are however jointly and severally responsible for all liabilities of the said H.U.F. firm to the Member and agree and confirm that any claim due to Member from the said H.U.F. firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor coparceners, if any.
3. We undertake to advise the Member in writing of any change that may occur in the Karta/Managership or in the constitution of the said joint family or of the said H.U.F. firm and until receipt of such notice by the Member, the member will be entitled to regard each of us as a member of the said joint family and as a partner of the said H.U.F. firm and all acts, dealings and transactions purporting to have been done on behalf of the said joint family or of the said H.U.F. firm before the Member shall have received notice in the manner aforesaid, shall be binding on the said joint family and the said H.U.F. firm and on our respective estate. We shall, however, continue to be liable jointly and severally to the Member for all dues and obligations of the said H.U.F. firm in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.

4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account no. \_\_\_\_\_ with Depository \_\_\_\_\_ opened in name of Shri \_\_\_\_\_ who is the Karta/Manager of this H.U.F.
5. I agree that obligations for share purchase and/or sale by the H.U.F. will be handled and completed through transfers to/from the above mentioned account. I recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the H.U.F.
6. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind the said H.U.F. Firm.

<u>Name of the minor</u>	<u>Father's Name</u>	<u>Date of Birth</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

7. We have received and read a copy of the Member's rules and regulations for the conduct of Share Trading Accounts and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

Yours faithfully,

✓ \_\_\_\_\_ ✓ \_\_\_\_\_ ✓ \_\_\_\_\_ ✓ \_\_\_\_\_

(Full personal signature of Karta and all major co-parceners)

**GARG SECURITIES PVT. LTD. – POLICY/DECLARATION ON AML/CFL**

<b>SI.No.</b>	<b>AML Measures</b>	<b>Particulars</b>
1	AML Policy	We have in place written policy & procedure as per guidelines issued by SEBI/Exchange
2	Know Your Customer (KYC)	We have in place system for identification of our clients including KYC documentation.
3	Maintenance of Records	We update the client profile on a regular basis.
4	Screening against negative lists	We have in place record maintenance and retention procedures as prescribed. We screen the client database to ensure that it is not held by or linked to anyone included in the specified list.
5	Risk Assessment	We have in place system to place clients into high, medium & low risk category and apply enhanced due diligence for clients that pose a higher risk.
6	Clients of Special Category	We have in place policy to place clients of special category such as persons with political link, non residents, Trusts, NGOs, closely held Companies, etc. in high risk category.
7	Monitoring, Identification & Reporting of Suspicious Transactions	We have in place, systems and procedures for monitoring, detection and reporting of suspicious transactions to the relevant authorities.
8	Audit	We are subject to inspection by SEBI/Exchange. Additionally we are periodically audited by an independent internal auditor that assesses AML policies and procedures too.
9	Principal Officer	Designated Principal Officer : D. Sanjay Kumar

Dated : \_\_\_\_\_

From :

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

To

**GARG SECURITIES PVT. LTD.**

1, Gulati Complex

(In Front of Milkhiram Market)

Sakchi, Jamshedpur - 831 001

**Ref. : Acknowledgement for the receipt of documents**

Dear Sir,

This is to acknowledge the receipt of a copy of the duly executed following documents viz.,

1. Copy of KYC Form
2. Copy of Rights and Obligations of stock broker / trading member and client
3. Copy of Risk Disclosure Document
4. Copy of Guidance Note
5. Copy of Policies & Procedures
6. Copy of Tariff / Brokerage Charge Sheet
7. A copy of any other document executed by me as a client

I/we hereby declare that I/we have the full intimation of the trading code and the unique client code allotted to me/us and the email id for the purpose of receiving electronic contract notes and other details in case provided by me/us, has been confirmed by **GARG SECURITIES PVT. LTD.** through their KYC.

Thanking you,

Yours truly,

✓ \_\_\_\_\_

Signature of the Client

Client Code \_\_\_\_\_

## **Branch Offices :**

Amber Tower  
1st Floor, Main Road, Bistupur  
Jamshedpur - 831 001  
Phone : (0657) 232-0197 / 0241



Tiwary Bechar Complex  
1st Floor, Room No. 8  
Bistupur, Jamshedpur - 831 001  
Phone : (0657) 242-8866, 243-4578



Azad Market, Shop No. 83, 1st Floor  
Near Ratan Hotel, B. Road, Telco  
Jamshedpur - 831 004  
Phone : (0657) 226-8225 / 8283



Shop No. A/74  
East West Link Road  
Kagalnagar, Sonari - 831 011  
Phone : (0657) 230-3380