Parker

Derivatives (India) Private Limited

Serial Number :

DEMAT ☐ TRADING ☐ BOTH ☐

CIN NO. U01403GJ2008PTC085744

CLIENT REGISTRATION FORM

FOR NON-INDIVIDUAL CLIENT

FOR DEMAT & TRADING ACCOUNT

(COMBINED FOR NSE, BSE, MCX, NCDEX AND DP-CDSL)

Client : _____

Client Code : _____ BOID : _____

Introducer : _____

Date of Opening KYC : _____

SEBI Regn. No. : INZ000170932

Name of Stock Broker/ Trading Member/Clearing Member: **Parker Derivatives (India) Private Limited (PDIPL)**

Registered & Corporate Office: B-71, Pariseema Complex, Near Swagat Complex CG Road, Ellisbridge Ahmedabad – 380006. Gujarat.
Phone: 079 - 48920188, **Fax:** 079 - 26425833,
Website: www.parkerderivatives.com **E-mail:** parkerderivatives@yahoo.com

Registration Details:

EXCHANGES	SEGMENTS	TMID	CMID
NSE	CM, FNO, SLBM, CD	13343	NCL-M52014
BSE	CM, CD	4077	NCL-M52014
MCX	COMM	28805	MCXCCL-28805
NCDEX	COMM	00825	NCCL-M50807

SINGLE SEBI Registration No: INZ000170932 Dt : March,23 2018 (Stock & Commodity Broker)
DP SEBI Registration No: IN-DP-362-2018 Dt : April 05, 2018|CDSL DP ID: 12085600

Compliance Officer For Trading and DP : Mr. Vishal Panchal | Phone: 079 48920188 | Email ID: vishal@parkerderivatives.com **Managing Director:** Mr. Suresh Majithia | Phone: 079 66611126 | Email ID: parkerdcomplain@gmail.com

Contact for any Grievance/Dispute:
For any grievance/dispute please contact Parker Derivatives (India) Private Limited (PDIPL) at the above address or E-Mail ID- parkercomplain@gmail.com (for trading) and investorcomplaints@parkerderivatives.com (for demat) Phone: 079 48920188. In case not satisfied with the response, please contact the concerned exchange(s) Investor Grievance Cells at National Stock Exchange of India Limited(NSE), ignse@nse.co.in or 1800 266 0058; BSE Limited(BSE), is@bseindia.com or 022-2272 8138; Multi Commodity Exchange of India Limited(MCX), grievance@mcxindia.com or 022-6649 4070; National Commodity and Derivatives Exchange Limited (NCDEX), ig@ncdex.com or 022-6640 6789;

KNOW YOUR CLIENT(KYC) APPLICATION FORM - ACCOUNT OPENING KIT — INDEX

Sr. No.	Name of the document	Brief Significance of the Document	Pg Nos.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES & DEPOSITORIES			
1	Know Your Client or Account Opening Form	A. KYC Form - Document captures basic information about the constituent and an instruction/checklist.	1 - 4
		B. Document captures the additional information about Constituent relevant to Trading and Demat Account Details.	5 - 10
2	Rights and Obligation Documents	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) and also of BO & DP.	Separate Copy to Clients will be provided as per client's preference
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	
4	Guidance note	Document detailing do and don'ts for trading on exchange, for the education of the investors.	
5	Schedule of Charges /TariffDetails	Brokerage Tariff and Demat Services Charges	11-12
6	Policy And Procedures	Document describing significant Policies and Procedures of the Stock Broker	13-14
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER & DP			
7	Terms and Conditions	Registration / Modification Form for receiving SMS Alerts from CDSL	15
8	Additional clauses agreed between stock broker and client.	Containing Clause (1-23) Voluntary documents pertaining to non-mandatory documentation duly signed by me.	17 - 19
9	DDPI	Consent for Demat Debit & Pledge Instruction .	20- 21

Further, the above documents is also made available in vernacular languages, you may download from on our website: https://www.parkerderivatives.com/ downloads.php -->Mandatory Documents or from BSE Website Link: https://www.bseindia.com/static/investors/client_regislanguages.aspx?expandable=3 or NSE Website Link: https://www.nseindia.com/membership/content/complinc_trading_mem.htm or MCX Website Link: https://www.mcxindia.com/membership/members-compliance/vernacular-language or NCDEX Website Link: https://www.ncdex.com/Investor/Client_Reg_Doc.aspx

CENTRAL KYC REGISTER |KNOW YOUR CUSTOMER (KYC) APPLICATION FORM | NON- INDIVIDUAL

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act,1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number *(Mandatory for KYC update request)*

☐ 1. ENTITY DETAILS* (Please refer instruction **A** at the end)

☐ Name*

Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* D D – M M – Y Y Y Y Date of Commencement of Business D D – M M – Y Y Y Y

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN * Form 60 furnished

TIN / GST Registration Number

☐ 2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation ☐ Registration Certificate Regn Certificate No.

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ 3. ADDRESS* (Please see instruction **C** at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2

Line 3 City / Town / Village*

District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3 City / Town / Village*

District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off) – FAX –

Mobile – Email ID

Mobile – Email ID

☐ 5. NUMBER OF RELATED PERSONS (Please refer instruction **E** at the end)

Parker Derivatives (India) Private Limited

☐ 6. REMARKS (If any)

7. APPLICANT DECLARATION (Please refer Instruction **G** at the end)

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D – M M – Y Y Y Y Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

Parker Derivatives (India) Private Limited * Ahmedabad

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form

A Clarification / Guidelines for filing Entity Details section

1 Entity Constitution Type

A - Sole Proprietorship
B - Partnership Firm
C - HUF
D - Private Limited Company
E - Public Limited Company
F - Society
G - Association of Persons (AOP) / Body of Individuals (BOI)
H - Trust
I - Liquidator
J - Limited Liability Partnership
K - Artificial Liability Partnership
L - Public Sector Banks
M - Central/State Government Department or Agency
N - Section 8 Companies (Companies Act, 2013)
O - Artificial Jurisdical Person
P - International Organisation or Agency /Foreign Embassy or Consular Office etc.
Q - Not Categorized
R - Others
S - Foreign Portfolio Investors

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entitites, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[PoI]' section

1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.

2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.

3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.

4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.

5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).

2 Do not add '0' in the beginning of Mobile number.

E Clarification / Guidelines for filling 'Related Person Details' section

1 Personal Details
- The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 Proof of Address [PoA]
- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated

For office use only Application Type* ☐ New ☐ Update ☐ Delete
(To be filled by financial institution) KYC Number *(Mandatory for KYC update and delete request)*

1. DETAILS OF RELATED PERSON* (Please refer instruction **E** at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) *If KYC number is available, only 'Related Person Type' & 'Name' is mandatory*

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) *(Mandatory if Related Person Type is Director)*

1.1 PERSONAL DETAILS (Please refer instruction **E** at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* ☐ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction **E** at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
II ☐ E-KYC Authentication
III ☐ Offline verification of Aadhaar

☐ **PHOTO***

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction **E** and the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
II ☐ E-KYC Authentication
II ☐ Offline verification of Aadhaar
IV ☐ Deemed PoA
V ☐ Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off) — Tel. (Res) — Mobile —

Email ID

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D — M M — Y Y Y Y Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies
- ☐ Digital KYC process
- ☐ E-KYC data received from UIDAI
- ☐ Equivalent e-document
- ☐ Data received from Offline verification

KYC VERIFICATION CARRIED OUT BY	
Date	D D — M M — Y Y Y Y
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

[Employee Signature]

INSTITUTION DETAILS	
Name	
Code	

Parker Derivatives (India) Private Limited Ahmedabad

[Institution Stamp]

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
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H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated

For office use only (*To be filled by financial institution*) Application Type* ☐ New ☐ Update ☐ Delete

KYC Number (*Mandatory for KYC update* and delete *request*)

1. DETAILS OF RELATED PERSON* (Please refer instruction **E** at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) *If KYC number is available, only 'Related Person Type' & 'Name' is mandatory*

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) *(Mandatory if Related Person Type is Director)*

1.1 PERSONAL DETAILS (Please refer instruction **E** at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* ☐ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction **E** at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
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☐ C- Driving Licence
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☐ F - Proof of Possession of Aadhaar
II ☐ E-KYC Authentication
III ☐ Offline verification of Aadhaar

☐ **PHOTO***

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction **E** and the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
II ☐ E-KYC Authentication
II ☐ Offline verification of Aadhaar
IV ☐ Deemed PoA
IV ☐ Deemed PoA
V ☐ Self Declaration

Parker Derivatives (India) Private Limited

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off) — Tel. (Res) — Mobile —

Email ID

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D — M M — Y Y Y Y Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies
- ☐ Digital KYC process
- ☐ E-KYC data received from UIDAI
- ☐ Equivalent e-document
- ☐ Data received from Offline verification

KYC VERIFICATION CARRIED OUT BY	
Date	D D — M M — Y Y Y Y
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

[Employee Signature]

INSTITUTION DETAILS	
Name	
Code	

Parker Derivatives (India) Private Limited Ahmedabad

[Institution Stamp]

TRADING / DEMAT ACCOUNT RELATED DETAILS

A. HOLDER DETAILS

Sole/First Holder's Name		PAN	
		UID	
		UCC	
		Exchange Name & ID	
Second Holder's Name		PAN	
		UID	
Third Holder's Name		PAN	
		UID	

Name * _____

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

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

Status	☐ Body Corporate ☐ Bank ☐ CM ☐ FI ☐ FII ☐ Clearing House ☐ Trust ☐ OCB ☐ Mutual Fund ☐ Others (Specify) _____
Sub Status	To be filled by DP
SEBI Registration No RBI Registration No (If Applicable)	SEBI Registration Date: ___/____/_____. RBI Registration Date: ___/____/_____.
Nationality	☐ Indian ☐ Others

C. BANK ACCOUNT(S) DETAILS: (For Payout of Funds through NEFT/RTGS) [Dividend Bank details]

Bank Name				
Branch Name				
Bank Branch Address				
	City:	State:	Country:	PIN Code:
Account Number				
Account Type	☐ Saving	☐ Current	☐ Others (in case of NRI/NRE/NRO))	
IFSC Code (11 Character)				
MICR Code (09 Digit)				

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

D. DEPOSITORY ACCOUNT(S) DETAILS:

DP Name	
Depository Name	☐ CDSL ☐ NSDL
DP ID	
BO Client ID	

E. INTRODUCER DETAILS:

Name of the Introducer	
Status of the Introducer	☐ Authorized Person ☐ Existing Client ☐ Sub Broker ☐ Remisier ☐ Employee ☐ Others_____
Address and Tel. No. of the Introducer	
Signature of Introducer	

F. TRADING PREFERENCES:

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

Exchanges	NSE & BSE			
All Segment	Cash/Mutual Fund	F&O	Currency	Debt
If you do not wish to trade in any of the segments/Mutual Fund, Please mention here. _____				

For Commodity Segment: Note: Please sign in the relevant boxes against the Exchange with which you wish to trade. The Exchange not chosen should be struck off by the client.

Sr. No.	Name of Exchange	Date of Consent for trading on concerned Exchange	Signature of the Client
1	MCX		
2	NCDEX		

[In case of allowing a client for trading on any other Exchange at a later date, which is not selected now, a separate consent letter is required to be obtained by the Member from client and to be kept as enclosure with this document]"

H. DEALINGS THROUGH SUB BROKER AND OTHER STOCK BROKERS:

If client is dealing through the sub-broker, provide the following details:		
Sub Broker Name:		SEBI Registration No:_____ Website:_____
Regd office address:		Ph:_____ FAX: _____
Whether dealing with any other stock broker/sub-broker: (in 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:		

I. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002 & OTHER DETAILS

Gross Annual Income	☐ Below 1 lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lac - 1 Cr ☐ >1 Cr Net Worth : _____ as on date: _____ (Net worth should not be older than 1 year)		
Occupation (Select One)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Student ☐Professional ☐Homemaker ☐ Retired ☐ Agriculturist ☐ Forex Dealer ☐Others_____		
Investment / Trading Experience	Stocks : ☐ Years	Derivatives other than Currency : ☐ Years	Currency Derivatives : ☐ Years
Select, if applicable	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)		
Clearing Member Details (to be filled by CM Only)	Name of Stock Exchange:		
	Name of CC/CH:	Clearing Member ID	
		Trading Member ID	
Any other information:			

J. GST Registration Details

GST Registration No.		
Type	☐ Active ☐ Inactive	Name of State :_____

G. PAST ACTIONS:

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: ☐ Yes ☐ No

If Yes _____

K. STANDING INSTRUCTIONS / OTHER DETAILS: (Please select one)

To receive Contract Note, Statement of Fund & Securities, Retention & Margin Statement, CAS, etc	☐ Electronically ☐ Physically
I/we wish to avail facility of Internet Trading (IT) & Wireless Technology (WT)	☐ IT ☐ WT ☐ Both
I/We wish to receive Rights & Obligations, RDD, Guidance Note, Policies & Procedures	☐ Electronically ☐ Physically
I/ we wish to receive dividend / interest in to my bank account stated in KYC via ECS (If not marked, default option would be "Yes") [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
I/We instruct the DP to receive each and every credit in my/ our account (If not marked, the default option would be "Yes")	[Automatic Credit] ☐ Yes ☐ No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any further instruction from my/our end (If not marked, the default option would be "No")	☐ Yes ☐ No
Account Statement Required	☐ Monthly ☐ Fortnightly ☐ Weekly ☐ As per SEBI Regulation
I/We request you to send Electronic Transaction-cum-Holding Statement at email id _____	☐ Yes ☐ No
I/ we would like to Share Email id with RTA	☐ Yes ☐ No
I/ we would like to receive Annual Report in Electronic Mode ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
To opt for BSDA facility	☐ Yes ☐ No
Easi — To register for easi, please visit website www.cdslindia.com, where BO can view ISIN balances, transactions & value of portfolio online.	☐ Yes ☐ No
SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4 — MOBILE NO. +91_____ [Mandatory, if you are giving Power of Attorney (POA)]. (If POA is not granted& you do not wish to avail of this facility, cancel this option.)	☐ Yes ☐ No
For Commodity Transaction: — Purpose of Trading:	☐ Speculation ☐ Hedging ☐ Day Trading ☐ Jobbing/Arbitrage
For Commodity Transaction: — Nature of Business Relationship:	☐ Speculative ☐ Hedger ☐ Day Trader ☐ Jobber/Arbitrager

L. OPTION FORM FOR ISSUE OF DIS BOOKLET

☐ **Option1**: I/We require you to issue Delivery Instruction Slip(DIS) book let to me/us immediately on opening my/our CDSL account though I/we have issued a Power of Attorney (POA)/executed PMS agreement in favor of/with Parker Derivatives (India) Private Limited (PDIPL) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member/by PMS manager.

OR

☐ **Option 2**: I /We do not require the Delivery Instruction Slip (DIS) for the time being, since I /We have issued a POA/executed PMS agreement in favor of/with Parker Derivatives (India) Private Limited (PDIPL) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS Manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

M. FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name:			PAN:
	First Holder	Second Holder	Third Holder
Are you Indian Resident Person?(Refer Risk Disclosure document at www.parkerderivatives.com)	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Specify country of residence for tax purpose (if above clause is no)			
Specify Tax Identification No./ Others			
Note : if you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, than please provide declaration / self certification under FATCA / CRS.			

Signature X _____ Sole/First Holder

Signature X _____ Second Holder

Signature X _____ Third Holder

CLIENT DECLARATION

FOR DEMAT ACCOUNT

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

FOR TRADING ACCOUNT

1. I/we hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am /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), 'Risk Disclosure Document' and 'Guidance Note' with 'Policy and Procedures'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information at our website. www.parkerderivatives.com.

DECLARATION PURSUANT TO SEBI CIRCULAR SEBI/HO/CDMRD/DNPMP/CIR/2019/08 DATED 04TH JANUARY, 2019

Commodities	Code	Commodities	Code	Commodities	Code	Commodities	Code
Aluminum		Silver		Brass		Cardamom	
Castorseed		Copper		Cotton		Crupalmoil	
Crude oil		Gold		Lead		Menthaoil	
Natural Gas		Nickel		Pepper		Rbdpalmoil	
Kapas		Mcxbulldex		Mcxmetldex		Zinc	
Rubber						All Commodities	

Category (please tick one)	FPO/Farmers	Value Chain Participants	Proprietary Traders(Only for Registered Stock / Commodity) brokers	Domestic Financial Institutional Investors	Foreign Participants	Others
Category Code	☐ 1	☐ 2	☐ 3	☐ 4	☐ 5	☐ 6

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

Date: _____ **Place:** _____

Signature X _____ **Signature X** _____ **Signature X** _____

Sole/First Holder Second Holder Third Holder

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. 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 Authorised Signatory

Date:_____

PARKER DERIVATIVES INDIA PVT. LTD. AHMEDABAD

Seal/stamp of the stock brocker

BROKERAGE TARIFF DETAILS

Column	1		2		3		4		5	
Exchanges & Segment	Trading /Intra-day (% or Paisa)		Minimum (% or Paisa)		Delivery (CM) / Carry forward (FNO)(% or Paisa)		Minimum (% or Paisa)		Minimum (per Options contract)	
Equity & SLBM										
Equity FNO	F-	O-	F-	O-	F-	O-	F-	O-	F-	O-
CD	F-	O-	F-	O-	F-	O-	F-	O-	F-	O-
MCX	F-	O-	F-	O-	F-	O-	F-	O-	F-	O-
NCDEX										

Note: 1) the above rates are exclusive of Stamp Duty, Securities Transaction Tax(STT), Exchange Transaction Charges and GST which will be charged extra at the rate prevailing from time to time. 2) For Internet Based Trading(IBT) Clients, additional charges with regard to software access, etc. will be applicable as per the terms agreed at the relevant point in time. 3) Any Penalties like Short Margin Penalty Code Modification etc will be charged at actual. 4) Charges for any options are defined under column 5 above. Any changes to above shall be intimated separately.

SCHEDULE OF CHARGES FOR DEMAT SERVICES

Particulars	Scheme-A	Scheme-B-Corporate	Scheme-C-life Time	Scheme-BSDA 4 lakhs-NIL, More than ` 4 lakhs but up to ` 10 lakhs -₹100
A. Deposit	Nil	Nil	Nil	Nil
B. Charges				
Account Opening	300	Nil	Nil	Nil
Account Closing	Nil	Nil	Nil	Nil
Annual Maintenance	Nil	1500	1000	As per BSDA Circular of SEBI
Demat/Remat Request/ Rejection	As actual 3 (per certificate) +50 Postage	As actual 3 (per certificate) +50 Postage	As actual 3 (per certificate) +50 Postage	As actual 3 (per certificate) +50 Postage
Custody Charges	Nil	Nil	Nil	Nil
C.Transfer of Securities				
Buy	Nil	Nil	Nil	Nil
Sales/Failed Instruction	30 (15 for in-house market transactions) per ISIN	30 (15 for in-house market transactions) per ISIN	30 (15 for in-house market transactions) per ISIN	15 for in-house market transactions) per ISIN
Interdepository/Offmark	25	25	25	25
D. Pledge				
Pledging Services (Creation, Closure and Invocation)	0.02% of the value of securities Minimum 50 per ISIN	0.02% of the value of securities Minimum 50 per ISIN	0.02% of the value of securities Minimum 50 per ISIN	0.02% of the value of securities Minimum 50 per ISIN
Margin Pledge/ Unpledge	10 Per Request	10 Per Request	10 Per Request	10 Per Request

BROKERAGE TARIFF DETAILS

Conditions:

1. Annual maintenance has to be paid on Quarterly/annually basis in advance .For corporate the AMC shall be Rs.1500/- per year.
2. All charges mentioned above are inclusive of CDSL charges.
3. GST ,as applicable would be levied.
4. The above charges are subject to change with 30 days prior notice .However, in case of revision of charges by CDSL ,a shorter notice may be given.
5. Charge once paid will not be refunded except as required by law.
6. All instructions for transfer must be received at least one day before the Execution/Pay in date.
7. Same day execution /late instructions will be accepted on "A best effort basis" at the sole risk and responsibility of the depository account holder (s).
8. The depository service may be temporarily discontinued if the cheque given for availing DP services is returned un paid. Intimation of discontinuation of the DP services shall be in accordance with the rues specified by CDSL. The DP services shall be resumed after recovery of the returned cheque plus Rs.100/-as additional charges.
9. All pledging services (creation, closure and invocation) shall be separately charged at the time of each transaction.
10. All value of securities will be in accordance with the rate provided by CDSL.
11. Non periodical statement will be charged at Rs. 25 per statement.
12. Charges quoted above are for the services listed- Any services not quoted above will be charged separately.
13. Inter-scheme Transfer Charge is RS. 1000.Per time-Scheme Change.
14. POA Charges Rs 300 and KRA charges As actual.
15. In Scheme C 1000/- (Life Time), AMC for the first year 1000/- and there shall be no AMC from second years till the expiry of Life lime Period. Parker Derivatives (India) Private Limited defines Life Time Period of 10 years for Life Time scheme.
16. Whether you wish to Opt for BSDA ○ Yes ○ No
17. Scheme Opted ○ A ○ B ○ C ○ BSDA

₹ BSDA*: 1) First/Sole holder does not have / propose to have any other Demat Account across Depositories. 2) Individuals having any other demat account/s where they are not the first holder shall be eligible for BSDA in respect of the single demat account where they are sole or first holder. 3) Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)- Up to ` 4 lakhs-NIL, More than ` 4 lakhs but up to ` 10 lakhs -₹100 any date then charges will be levied as applicable to Regular Scheme (non-BSDA) from that date onwards.

I/WE HAVE READ AND UNDERSTOOD THE CHARGES AND CONDITIONS AS ABOVE AND AGREE TO ABIDE BY THE SAME.

○	○	○ -
Signature X @	**Signature X** @	**Signature X** @
Sole/First Holder	Second Holder	Third Holder

REFUSAL TO TAKE ORDERS (PENNY STOCKS):

Depending on the market conditions and risk containment measure Parker may at any time at its sole discretion and without prior notice restrict or refuse the client to place order or trade in penny stocks or such other stocks/ contracts (though they might not be penny stocks including but not limited to stocks put under surveillance measures by Exchanges) as specified by Member. Any loss on account of such refusal shall be borne by client only.

SETTING UP CLIENT'S EXPOSURE LIMITS:

Parker has its own RMS policy. On the basis of the same and on basis of the margins paid (in the manner specified by Parker – which may vary from time to time) limits are assigned to the clients. These limits may be subject to change and may be increased/decreased as the need may be at the sole discretion of Parker and or Exchange/ SEBI/Clearing Corporation. Parker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including but not limited to exposure limits, turnover limits , purchase /sell limits, mark to market loss limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that Parker may need to vary or reduce the limits or impose new limits urgently on the basis of Parker's risk perception and other factors considered relevant by it and Parker may be unable to inform the client of such variation , reduction or imposition of limits in advance or otherwise. The client agrees that Parker shall not be responsible for such variation ,reduction or imposition of limits. Parker shall have the prerogative to allow differential trading limits varying from client to clients, depending upon its assessment of the credit worthiness, integrity and past conduct of the client.

APPLICABLE BROKERAGE RATE:

Brokerage will be charged as decided by Parker and informed to the client in this document including a percentage of the value of the trade or as a flat fees or otherwise and within the limits prescribed by SEBI/ EXCHANGE. It can be reviewed from time to time & may be decreased without written notice to the client. In case of an increase it shall be done after intimation to the client. Brokerage is exclusive of any charges or levies or taxes.

IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES:

The client understands and agrees that applicability of delayed payment charge by either party is solely at the discretion of Parker. Without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from a client toward settlement obligation or margin obligation either in cash segment and/or Derivative segment may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by Parker. This delayed payment charge is irrespective of any credit in any other family or group account. Interest may also be charged in case where the client fails to maintain the cash to collateral ratio as designated by Parker in any segment that may be applicable. Parker shall not be obligated to pay any interest on any credit balance, up-front margin or other amounts lying to the credit of the clients account. Parker will pass on any penalty or fine that may be levied upon it by the Exchange/SEBI or any other authority on account of the client's activity through it.

In case client has not opted for running account maintenance, any amount which are overdue from a Trading Member towards settlement pay out after meeting all pending settlement/ margin obligations or dues, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the Trading Member.

In case client has opted for running account maintenance, any amount which are overdue from a Trading Member towards the available undisputed credit balance in client ledger after meeting settlement and/or margin obligation and making provision for next 5 trading day settlement and / or margin obligation, calculated in the manner specified by the exchanges or amount as demanded by client, in writing, out of available ledger balance, whichever is less, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the Trading Member.

LIQUIDATION/CLOSE-OUT OF POSITIONS

Without prejudice to Parker's other rights (including the right to refer the matter to arbitration), Parker shall be entitled to liquidate/close out all or any of the clients position after giving prior notice to the client for non-payment of margins or settlement obligations, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities / obligation. Any and all losses and financial charges on account of such Liquidation /closing-out shall be charged to and borne by the Client. Further Compulsory Liquidation for shares lying in Client Unpaid Securities Account shall be governed by SEBI and Exchange Circulars issued from time to time based on Parker's risk perception. Client is liable to clear its settlement outstanding on or before 05th Trading Day from the date of Pay-out cut-off time 2.30 pm. In case of nonpayment before such cutoff date and time, clients share shall be liquidated at Parker's discretion to recover debit.

INTERNAL SHORTAGE

In case of purchase of securities by the Client at times Parker may be unable to deliver the securities to the said purchaser on the payout day due to non-receipt of the said securities from another client of Parker who has sold the securities against the said purchaser on the payout day due to non-receipt of the said securities from another client of

Parker who has sold the securities against the said purchase transaction. In such cases Parker may buy the shares from the market on T+1 day or on settlement day and deliver the same to the client or it may give close out at the rate as determined by Parker. An auction penalty of 2% is charged on all sell short deliveries internal or otherwise.

RESTRICTIONS/PROHIBITION TO TAKE FURTHER POSITION OR CLOSING EXISTING POSITION:

Parker may in its sole discretion not allow taking further position to the client or may close the existing position of a client due to any restrictions in relation to volume of trading/outstanding business or margins stipulated by the exchange, clearing corporation/ clearing house and/ or Parker and/or any other extraordinary event warranting such restrictions. The client waives any and all claims for loss or damage arising directly or indirectly from any such restrictions.

TEMPORARY SUSPENSION/CLOSURE AT CLIENTS REQUEST

On the request of the client in writing, the client account can be suspended temporarily and same can be activated only on the written request of the client. However client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed. Such temporary closing or suspending of trading account will not affect the rights and obligation incurred prior to such suspension or closure. Any request for temporary suspension or closure shall not be processed by Parker unless all the dues are paid by the client.

DE-REGISTERING A CLIENT:

Parker may at its sole discretion de-register a client's account and terminate services with immediate effect to protect its interest which might include (but not limited to):

1) Member is compelled to by law
2) Client has not used his/her/its account for a long time
3) Parker has reason to believe that the account is being used for fraudulent purposes
4) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts either in writing or orally, as they become payable
5) Any other reason which Parker thinks reasonable for de-registering the account.

The client waives any and all claims for loss or damages arising directly or indirectly from such de-registering. The de-registering will not affect any liability of the Client resulting directly or indirectly from any transactions made at any time before such de-registering.

INACTIVE CLIENT ACCOUNT:

Client/trading account will be considered as inactive wherein no trades have been carried out for a continuous period of 12 months across all exchanges. Inactive marking shall be done on weekly basis or other time period as determined by Parker. To reactive the account the process given by exchanges including but not limited to carrying out In-person verification and submission of application and documents will have to be followed. Further if Client has not reactivated his account after two years, he must required to give new KYC form with all required supporting documents to activate his account.

CLIENT ACCEPTANCE OF POLICIES AND PROCEDURES STATED HERE IN ABOVE:

I/We have fully understood the above stated mandatory Policies & Procedures and accept the same.

Signature X _____ Sole/First Holder

Signature X _____ Second Holder

Signature X _____ Third Holder

Mandatory, if you are giving Power of Attorney (POA) as per CDSL Communique

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

Annexure 2.4

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

Definitions:

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'OFF''mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non -delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

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

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

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

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

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

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

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

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

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

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

BOID | | | | | | | | | | | | | | | | | |
(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name :_____

Second Holder's Name :_____

Third Holder's Name :_____

Mobile Number on which messages are to be sent | +91 | | | | | | | | | | |
(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : ☐ Self ☐ Spouse ☐ Dependant Child ☐ Dependant Parent

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

This email id belongs to : ☐ Self ☐ Spouse ☐ Dependant Child ☐ Dependant Parent

Signature X_____ **Signature X**_____ **Signature X**_____
Sole/First Holder Second Holder Third Holder

ADDITIONAL CLAUSES AGREED BETWEEN STOCK BROKER AND CLIENT FOR SMOOTH OPERATIONS AND COMPLIANCE (VOLUNTARY DOCUMENTS)

I, voluntarily and unconditionally hereby state and declare that I/We have read and understood the terms and conditions mentioned hereinafter governing securities trading and broking services of Member Parker Derivatives (India) Private Limited (here-inafter referred to as PDIPL) and agree to be bound by the same.

1) Internet Based Trading Services: E-Broking Services, Wireless Securities Trading & Dial & Trade Services

The CLIENT is aware that 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. The CLIENT agrees that the STOCK BROKER /TRADING 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/ STOCK BROKERS /TRADING MEMBERS/EXCHANGE end.

2)Electronic Payment Gateway for Net Banking Services:

Electronic Payment Gateways provided by various banksfor facilitating transfer of funds from Client's bank account to the account of the Client with PDIPL. Client understands that PDIPL is only providing access to the electronic fund transfer facility provided by the banker of the Client through PDIPL's web-site by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client un-dertakes not to make PDIPL a party to any litigation, claim, dis-pute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that PDIPL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank. The PDIPL expressly excludes liability for consequential loss or damage or loss of profit, business, revenue, goodwill or anticipated saving which may arise in respect of (i) the payment gateway services offered by such bank (ii) the payment Mechanism

3) PMLA Declaration

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by PDIPL officials. I further declare that I shall adhere to all the provisions of PMLAAct, 2002. I further undertake and confirm that; I do not have any links with any known criminal. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner. I am not a party to any agreement or arrangement to facilitate any segment of my transaction with PDIPL.

4) Order Placement Instructions

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing /modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ Emailing the Call centre/ branch specified for the said purpose PDIPL in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my or my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same.I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify PDIPL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

5) Errors and Omissions

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances PDIPL shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold PDIPL responsible beyond this and claim additional damages/loss.I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by PDIPL. Extra Ordinary Events and termination/suspension of trading facility: PDIPL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net- work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond PDIPL's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any PDIPL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client. Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non- performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by PDIPL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of PDIPL or any disseminating party.

6) Non-execution/delay/cancellation of Orders:

The client hereby agrees that PDIPL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the trading services, disruptions or congestion of communication networks, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of PDIPL or the Exchange. Client not to act on representations of agents, employees: Client is aware that PDIPL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of PDIPL.

7) Indemnification:

I hereby indemnify and hold PDIPL, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the PDIPL directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the

Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

8) Indemnity of Joint Holdings:

I hereby agree to indemnify and hold the PDIPL harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and /or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

9) Mutual Fund Service System (MFSS) Facility:

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/ redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

10) NRI Declaration:

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to PDIPL every time the investment is made. Further, I /we undertake to update any status change and shall abide by FEMA , RBI and SEBI guidelines with regard to NRI investment in India.

11) Third-Party Payments:

PDIPL shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along-with adequate proof thereof as per proforma prescribed by PDIPL shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by PDIPL and the credit for the same has been given in the client's ledger and P&L shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case PDIPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client PDIPL, its Directors and employees shall not be responsible for any consequential damages or losses.

12) No Dealings In Cash:

PDIPL as a policy neither accepts any funds for payin/ margin in cash nor makes any payment or allows withdrawal of funds incash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/ SubBroker/ Remisier/ Employee/Authorised Person of PDIPL.

13) No Market Manipulation:

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, PDIPL has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

14) Authorization to debit additional charges with regard to Trading and Demat Account:

Without prejudice to the other rights and obligations of the parties, the client understands and agrees that PDIPL may levy charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by PDIPL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients' Trading ledger account maintained with PDIPL for the demat charges payable to PDIPL as Depository for providing depository services.

15) Authorization for Inter Segment/Inter Exchange Fund Balance Transfer:

The client hereby authorize PDIPL to transfer fund/ pay out resulting on account of sale of shares/contract/or margin refunds from NSE/BSE/MSE and adjust the same towards debit balances in any segment of NSE/BSE/MSE. Further, I/we hereby authorise to consider credit available in one segment/ exchange towards margin / settlement obligation in another exchange/segment with or without passing journal entries.

16) Deliveries:

The client shall ensure that the shares are properly transferred to the designated demat account of PDIPL, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/ Exchanges/ PDIPL. In case the client fails to transfer the shares on time to PDIPL, PDIPL shall not be responsible for any loss/damages arising out of such delayed transfers.

17) Proprietary Trading:

The CLIENT is aware that PDIPL is doing proprietary trading along with client business.

18) Portfolio Management:

Further any investment views given by the Trading member are market views only. Reacting on the same will not render member liable for the same. All risk will be of client only. Members do not intend to manage the portfolio of client.

19) Close Out:

The Client hereby agrees that if he/she/it default in daily margin, MTM's or any outstanding debt occurs in their/our account, PDIPL is irrevocably authorize to close out/liquidate whole or any part of their/our position without prejudice to their right to refer the matter to arbitration. Any and all losses and financial charges on account of such liquidation/closing out etc. shall be charged to and borne by client.

20)Commodity Transaction Undertaking & Confirmation

I/We wish to opt to deal in Commodity Option as per Trading Preference selected in the KYC herein and I/We shall abide by the rules and regulation of Exchange and SEBI in this regard, which may vary from time to time and I/we hereby confirm that we have read and understood risk disclosure document of commodity options and are fully aware of commodity option holders and writers. I/We have taken cognizance of circulars issued by Regulator / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same. I / We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by Commodity Exchanges or Regulator and such position limits

will be calculated in accordance with the circulars on position limits as modified from time to time. I / We confirm that you have agreed to enter order in commodity forward contracts / commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking. I/We further undertake to bear any liable / penalty / charges levied by Commodity Exchanges / Regulator. I/We propose to undertake high value transactions (i.e., buy and sell trades for value exceeding Rs. 5,00,000/- or such other sum as may be prescribed by Regulator / MCX / NCDEX or any other authority from time to time) in a day on MCX / NCDEX through you as my/our commodity broker. By this one time declaration, please note that the said transaction(s) would be for and on my/our behalf and entirely for my/our profit or loss only. I/We also declare that the transactions would not be carried out for any unauthorized / unregistered authorized person or for and on behalf of any other person / entity. I/we confirm that transactions related to sale, purchase and or dealing in securities / commodities by me/us are for the purpose of investment of my/our own money and/or dealing in market for own interests. I/we have read and understood the Anti-Money Laundering Guidelines and confirm that funds and securities/commodities used by me for settlement or transaction are assets earned by me through legal means in my/our own capacity and are not assets qualified under PMLA.

21) Investment and Other Advice

I understand and agree that PDIPL does not give any guarantee or assurance as to returns or profits or capital protection or appreciation. I further understand and agree that past performance is not necessarily a guide to future performance. I/we hereby acknowledges that PDIPL shall not be liable to provide him with any legal, tax , investment, accounting advice or advice related to suitability or profitability of a security or investment.

I/We understand and agree that employees and authorised person of PDIPL are not authorised to give any investment or other advice and I/we will not solicit or rely upon any such advice from the PDIPL, its employees and authorised person. In case, I/we have relied upon any such information, it is solely at the risk and cost of mine/ours and PDIPL or its employees or authorised person shall not be liable or responsible for the same.

22) Other Confirmations and Undertaking:

A) I/We authorise you to send SMS and email to registered email/ mobile no. in respect of my trading and demat account. In case of Electronic delivery, I/we agree that PDIPL will not cognizance of any "out-of-office/out of station" auto replies and I/we shall be deemed to have received such electronic mails. I/we shall immediately inform PDIPL about change in my email address, if any. B) /We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/ authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder). I/We hereby agree to carry out online KYC for opening or maintenance of my trading & demat account and hereby give consent to PDIPL to share my details and records with Digilocker, for enabling retrieval of Official Valid Documents from Digilocker system, as required for online KYC.

23) Running Account Authorisation:

I am aware that as per the SEBI / Exchange requirements, the settlement of funds / securities is to be done within one working day of the pay-out. I am also aware and understand that it is difficult to manage repeated payments/delivery with respect to all secondary market transactions. Also, I desire to use my securities and monies as margin / collateral without which I cannot deal / trade. Therefore, I hereby request and authorize you to maintain my account as a running account(s) which will entail that funds due to us on pay-out shall be withheld with yourselves beyond the stipulated deadlines and given to us only on the specific request. You shall transfer the funds lying in my credit within one working day of my request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/ Clearing Corporation. Notwithstanding anything contained in this authorization, the actual settlement of funds, except for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR), at least once in a

Month **Quarter**

as allowed by Exchange and SEBI from time to time. In case I have an outstanding margin/settlement obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner as per the applicable guidelines prescribed by the Exchanges. I acknowledge that I can revoke the above mentioned running account authority at any time by sending a written signed instruction through registered post (RPAD). I confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be in writing at your registered office. Any clause which is not in conformity with SEBI and Exchange circular on settlement of fund shall stand amended/ modified to that extent. There shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

I am / we are understand and aware that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my / our client account with you as our broker. Further, these standing instructions are valid from the date the client / trading account is opened with you and will be valid and operational until revoked by me /us by giving notice in writing to your compliance officer only. Any entries / transactions and acts, deeds, things etc. carried out by broker in accordance with this authorization shall be binding on me / us.

Signature X _____

Demat Debit & Pledge Instruction (DDPI)

To,
Parker Derivatives (India) Private Limited (PDIPL)
Registered & Corporate Office: B-71, Pariseema Complex, Near Swagat Complex CG Road, Ellisbridge, Ahmedabad – 380006. Gujarat.
Fax: 079 - 26425833, Website: www.parkerderivatives.com E-mail: parkerderivatives@yahoo.com

I / We _____(Client / BO name) hold a Beneficiary account No. 12085600_____(BO-ID) with Central Depository Services (India) Limited, through your company Parker Derivatives (India) Private Limited. Having DP-ID 12085600.

And Whereas I am an investor engaged in buying and selling of securities through PARKER DERIVATIVES (INDIA) PRIVATE LIMITED (a member) of National Stock Exchange of India Limited, Bombay Stock Exchange of India Limited, Multi Commodity Exchange of India Limited, National Commodity and Derivatives Exchange Limited; bearing SEBI registration No.INZ000170932.

Further due to exigency and paucity of time, I / We am / are desirous of giving my / our consent for Demat Debit and Pledge Instruction (DDPI) to operate the aforesaid beneficiary account on my / our behalf for a limited purpose in the manner hereinafter appearing.

I/We further agree and confirm that the consent given by me / us by this DDPI shall continue until it is revoked (without notice) in witting by me / us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock & commodity broker in his office at B-71, Pariseema Complex, Near Swagat Complex CG Road, Ellisbridge, Ahmedabad – 380006. Gujarat.

I/We hereby authorize to transfer the securities from the aforesaid account to the below mentioned accounts for the purpose specified herein in DDPI.

Sr No	Exchange/Segment- Type of Demat Account	DPID	BOID	Purpose
1	NSE Cash Segment- CM pool Account - CDSL	12085600	00000015	NSE pool Account
2	NSE Cash Segment- CM Early Pay-in Account - CDSL	11000011	00020318	NSE Early Pay-in Account
3	NSE Cash Segment- CM Pool Account - NSDL	IN301485	10926038	NSE NSDL Pool Account
4	BSE Cash Segment - CM Pool Account - CDSL	12085600	00000021	BSE Pool Account
5	BSE Cash Segment- CM Early Pay-in Account - CDSL	11000010	00024001	BSE Early Pay-in Account
6	BSE Cash Segment - CM Pool Account - NSDL	IN301485	10959126	BSE NSDL Pool Account
7	All Exchange TM/CM CMPA Account-CDSL	12085600	00002196	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT
8	NSE SLB Segment -CM Pool Account -CDSL	12085600	00002673	NSE SLBS Pool Account
9	NSE and BSE Cash Segment - CSMFA -CDSL	12085600	00011988	NSE and BSE Cash Segment -Client securities Margin Funding Account
10	Corporate TM/CM CMPA Account-CDSL	12085600	00012001	NSE and BSE Cash Segment -Client securities Margin Pledge Account-MTF

Demat Debit & Pledge Instruction (DDPI)

S.No.	Purpose	Signature of Client *
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	
		(First Holder)
		(Second Holder)
		(Third Holder)
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
		(First Holder)
		(Second Holder)
		(Third Holder)
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	
		(First Holder)
		(Second Holder)
		(Third Holder)
4	Tendering shares in open offers through Stock Exchange platforms	
		(First Holder)
		(Second Holder)
		(Third Holder)

Note: In case of HUF, to be signed by Karta and All Co-Parceners

I/We, Accept,

For Parker Derivatives (India) Private Limited

Authorised Signatory

Date: Place: Ahmedabad

Annexure A

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Signature X_____ **Signature X**_____ **Signature X**_____

Sole/First Holder Second Holder Third Holder

Policy for Voluntary Freezing/Blocking of Trading Accounts

1. Introduction

This policy outlines the framework and procedures for clients to voluntarily freeze/block and unfreeze/unblock their online trading accounts due to suspicious activities. This policy is part of the Risk Management Policy of [Trading Member's Name] and is in accordance with SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, and NSE Circular No. NSE/INSP/61529 dated April 08, 2024, BSE Notice No: 20240408-12 dated 08/04/2024, MCX Circular: MCX/INSP/218/2024 dated 09/04/2024 and NCDEX Circular; NCDEX/COMPLIANCE-025/2024 dated 09/04/2024.

2. Modes of Request

Clients may request to freeze/block their trading accounts using the following communication methods is if any suspicious activity is observed.

- Email from registered e-mail ID
- SMS from registered mobile number
- App/website **https://www.parkerderivatives.com/**
- Visit at nearest branch or HO and submit physical request.
- Any other legally verifiable mechanism

The designated email ID for this purpose is: **stoptrade@parkerderivatives.com**

3. Request Handling Procedure

Upon receiving a request to freeze/block an account:

- We shall validate the request from the registered contact details or use a client authentication procedure (2-Factor Authentication).
- We shall issue an acknowledgement and freeze/block the account within the prescribed timeline:
    - **During trading hours or 15 minutes before trading starts**: Within 15 minutes.
    - **After trading hours or 15 minutes before trading starts**: Before the next trading session begins.

We shall simultaneously cancel all pending orders of the client.

4. Post Freezing Actions

After freezing/blocking the account:

- We shall notify the client via registered mobile number and e-mail ID that their account access has been frozen/blocked and all pending orders have been cancelled.
- We shall communicate details of open positions and contract expiry information within one hour to avoid unwanted delivery settlement.

5. Record Maintenance

We shall maintain logs of requests received, confirmations issued for freezing/blocking, and communications sent to clients.

6. Accountability

We shall be responsible for any trades executed from the time of receiving the request until the account is frozen/blocked if the process is not completed within the prescribed timeline as specified in Para 3 herein.

7. Re-enabling Account Access

To unfreeze/unblock the account, we shall:

- Conduct necessary due diligence i.e Request received from client itself, via appropriate channel i.e Through Registered Email or Mobile or Written duly signed by client, etc.
- Validate the client's request.
- Unfreeze/unblock the account access after verification.

8. Clarifications

- Freezing/blocking only restricts online access to the client's trading account; it does not impact the Risk Management activities.
- The request for freezing/blocking does not mark the client's Unique Client Code (UCC) as inactive in Exchange records.

9. Policy Disclosure

This policy will be:

- Disclosed on our website along with the process and timelines for account freezing/blocking and unfreezing/unblocking.
- Included in the account opening kit for new clients from July 01, 2024.
- Communicated to existing clients by July 01, 2024, via email or other suitable mechanisms that can be preserved. In cases of bounced/undelivered communication, alternate channels such as physical delivery, SMS, or electronic instant messaging services will be used.

10. Details for Communication

- Client's Name
- Unique Client Code

This policy aims to protect investors from suspicious activities and enhance the security of trading accounts while ensuring compliance with regulatory requirements.

Policy Acknowledgement

As part of our commitment to transparency and client protection, **we are offeringGood Till Cancelled (GTC)** and **Good Till Triggered (GTT)** orders to our clients. These orders enable clients to place buy or sell orders specifying a particular price and timeframe for execution. However, in the event of corporate actions (such as dividends, stock splits, mergers, etc.), these orders may be subject to adjustments or cancellation to avoid unintended execution or market disruptions. This document outlines our policy for handling such orders.

1. Details of GTC/GTT Orders

- **GTC Orders**: Orders remain active until they are either fully executed or cancelled by the client, subject to a maximum validity period, as specified by the exchange.
- **GTT Orders**: Orders remain in the system until a pre-defined trigger condition (price or time-based) is met or the order is cancelled by the client.
- **Order Validity**: Both types of orders can be placed for a predefined period or until specific conditions are met. The validity period, if any, will be communicated at the time of order placement.

2. Handling of GTC/GTT Orders during Corporate Actions

In the event of a corporate action, such as stock split, bonus issue, rights issue, dividends, mergers, or any other action that affects stock prices or volumes, the following mechanisms will be applied:

- **Order Cancellation**: GTC/GTT orders that remain unexecuted at the time of the corporate action may be cancelled to prevent any unintended execution at erroneous prices. The client will be notified promptly of the cancellation.
- **Price Reset**: In certain situations, where corporate actions result in significant price changes (e.g., stock split, bonus issue), unexecuted orders may be adjusted for price based on the revised market conditions. The client will be informed about any such adjustment.
- **Order Retention**: In some cases, where the corporate action is not expected to result in substantial changes to stock prices (e.g., dividend announcements), the unexecuted GTC/GTT orders may be retained without adjustment. However, the final decision will rest with the Member and will be communicated to the client.

3. Client Notification Timeline

- Weare committed to providing timely information to our clients regarding upcoming corporate actions and the impact on their GTC/GTT orders.
- We will intimate our clients about the details of upcoming corporate actions that could affect their unexecuted orders no later than **one day prior to the ex-date** of the corporate action. This communication will include details of whether the orders will be cancelled, adjusted, or retained.
- Clients will be notified through their registered communication channels (email, SMS, or the trading platform).

For any queries regarding this policy or to clarify the status of your orders during a corporate action, please contact our customer service team at https://www.parkerderivatives.com/contact-us.php

I hereby confirm that I have read and understood the above policy and I hereby acknowledge receipt of the same.

X_____

Name of Client & Signature

Client Code

Email id / Mobile number Family Confirmation Form

Client Name | Client PAN

First/Sole Holder Name /Client Name

☐ Confirmation of existing contact details and family declaration

Joint Holder 1 Name

Joint Holder 2 Name

CONFIRMATION OF EMAIL ADDRESS IN AFORESAID TRADING ACCOUNT & DEMAT ACCOUNT

Email Address

Email address specified above belongs to self or family, due to investor being (Please tick any one option from below)

- ☐ Self
- ☐ Spouse
- ☐ Guardian (for Minor investment)
- ☐ Dependent Children
- ☐ Dependent Parents
- ☐ PMS
- ☐ Custodian

CONFIRMATION OF MOBILE NUMBER IN AFORESAID TRADING & DEMAT ACCOUNT

Mobile Number

Mobile number specified above belongs to self or family, due to investor being (Please tick any one option from below)

- ☐ Self
- ☐ Spouse
- ☐ Guardian (for Minor investment)
- ☐ Dependent Children
- ☐ Dependent Parents
- ☐ PMS
- ☐ Custodian

CLIENT's SIGNATURE(S) & DECLARATION

I / We authorize member/DP to use above email & mobile of my family member as per SEBI guideline, where I am the holder of the mentioned PAN and also the First Holder, for sending me Contract notes, statement of funds and securities, bill, transactional alerts, information & updates related to my demat and trading account. This shall be treated as the necessary authorization in this regard. We understand that as per SEBI instruction and guidelines, email ids or mobile nos. can be shared only between self, spouse, dependent children or dependent parents. Therefore, as per compliance requirement, we hereby inform you that we are sharing/having common email id or mobile No. with above stated family members. Kindly consider the above Family Declaration towards usage of mobile number & email address of above mentioned family member.

SIGNATURE(S)

Signature of Sole/First holder | Signature of Second holder | Signature of Third Holder

(To be signed by Trading Client and Demat Account Holders)

NON MANDATORY

Electronic Contract Note [ECN] – DECLARATION (VOLUNTARY)

Appendix A

To,

PARKER DERIVATIVES (INDIA) PRIVATE LIMITED

Registered office address: B-71, Pariseema Complex, Near Swagat, CG Road, Ellisbridge, Ahmedabad - 380006, Gujarat
Member of NSE,BSE,MCX,NCDEX

Dear Sir,

I/we_____a Client with Member M/s. Parker Derivatives India Pvt. Ltd., of NSE TMID-13343, BSE TMID-4077, MCX TMID-28805, NCDEX TMID-00825

SEBI Regi. No. INZ000170932 of Exchange undertake as follows:

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

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

*(The email id must be written in own handwriting of the client.)

"This declaration will remain valid till it is revoked by the client"

Client Name: _____

Unique Client Code:_____ PAN: _____

Address:_____

_____

Signature of the client: (8)

Date: | | | - | | | - | 2 | 0 | 1 | |

Place: _____

Verification of the client signature done by,

Name of the designated officer of the

Member: _____

Signature: _____

FATCA-CRS Declaration & Supplementary KYC Information

Declaration Form for Entities

Please seek appropriate advice from your tax professional on your tax residency and related FATCA & CRS guidance

Part – A

PAN											Date of Incorporation	d	d	/	m	m	m	/	y	y	y	y

Name			
Address Type *[for KYC address]*	◯ Residential ◯ Residential / Business ◯ Business ◯ Registered Office		
Place of Incorporation		Country of Incorporation	
Gross Annual Income Details in INR	☐< 1 Lakh ☐1-5 Lacs ☐5-10 Lacs ☐10-25 Lacs ☐ 25 Lacs-1 Cr ☐> 1 Cr	Net Worth in INR in Lacs Net Worth as of	_____ dd/mmm/yyyy
Is the entity involved in / providing any of the following services:	☐ Foreign Exchange / Money Changer Services ☐ Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates] ☐ Money Laundering / Pawning	Any other information *[if applicable]*	*[Please specify]*

Is "Entity" a tax resident of any country other than India – ☐ Yes ☐ No

(If „Yes", please provide country/ies in which the entity is a resident for tax purpose and the associated TIN)

S No	Country of Tax Residency	Tax Payer Identification Number/ *Functional Equivalent / Company Identification Number or Global Entity Identification Number*	Identification Type *[TIN or other, please specify]*
1			
2			
3			

In case the Entity"s Country of Incorporation / Tax Residence is US but Entity is not a Specified US person, mention Entity"s exemption code here _____*(Refer Instructions o)*

Part B *[to be filled by Financial Institutions or Direct Reporting NFFEs]*	
We are a ○ Financial Institution / FFI *[refer instructions a.]* ○ Direct Reporting NFFE *[refer instructions b.]*	**GIIN** (Global Intermediary Identification Number): ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ ***Note:*** *If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below* **Name of the sponsoring entity** ☐ **GIIN not available** *[tick any one]:* ☐ Applied For ☐ Not required to apply for – specify sub-category code ☐☐ *[refer instructions c.]* ☐ Not obtained - Non-participating FFI

Part C [Fill any one as applicable - to be filled by NFEs other than Direct Reporting NFFEs]		
1	Is the entity is a listed company *[whose shares are regularly traded on a recognized stock exchange]* *[refer instructions d.]*	☐ No ☐ Yes *(If Yes, Please specify any one Stock Exchange on which the stock is traded regularly)* Name of the Stock Exchange _____
2	Is the entity a „Related Entity" of a listed company *[whose shares are regularly traded on a recognized stock exchange]* *[refer instructions e.]*	☐ No ☐ Yes *(Please specify the name of the listed company and one stock exchange on which stock is traded regularly)* Name of the listed company: _____ Nature of Relation: ☐Subsidiary ☐Controlled Name of the Stock Exchange: _____
3	Is the entity an Active NFE?	☐ No ☐ Yes - Nature of business _____ Please specify sub-category of Active NFE ☐☐ *[refer instructions g.]*
4	If the entity a Passive NFE: *[refer instructions h.]*	☐ No ☐ Yes - Nature of business _____ If Yes, fill UBO declaration in the next section

if Passive NFE, please provide the below additional details for each of the Controlling person. *(Please attach additional sheets if necessary)*

S No	Name of UBO	Taxpayer Identification Number / PAN / Equivalent ID Number~	Place & Country of Birth	Country of Tax Residency*	Occupation Type *[Service, Business, Others.]*	Nationality	Father"s Name	*Date of Birth dd/mmm/yyyy*	Gender *[Male, Female, others]*

 # Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India
~ In case TIN is not available, kindly provided functional equivalent
** If UBO has more than one tax residency outside India, details to be provided in separate rows for each of the tax residency countries*

Declaration:

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you [CAMS/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund"s end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. We also confirm that we have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same

Signature with relevant seal:

Authorized Signatory	Authorized Signatory	Authorized Signatory

Date:
Place:

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions such as the Banks/other financial entities to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Please note that you may receive more than one request for information if you have multiple relationships with MFs or its group entities / related parties. Therefore, it is important that you respond to such request, even if you believe you have already supplied any previously requested information.

****

Acknowledgement

We [CAMS, on behalf of participating Mutual Funds] acknowledge the receipt of FATCA/CRS declaration form duly filled and signed from M/s. _____PAN_____on dd-mmm-yyyy

Date: Signature with Name, Emp. ID & Seal

Instructions for FATCA & CRS Declaration

a. Financial Institution / Foreign Financial Institution [FFI] – Means any non-US financial institutions that is a – (1) Depository institution – *accepts deposits in the ordinary course of banking or similar business*; (2) Custodian institution - *as a substantial portion of its business, hold financial assets for the accounts of others*; (3) Investment entity – *conducts a business or operates for or on behalf of a customer for any of the activities like trading in money market instruments, foreign exchange, foreign currency, etc. or individual or collective portfolio management or investing, administering or managing funds, money or financial assets on behalf of other persons; or an entity managed by this type of entity*; or (4) Insurance company – *entity issuing insurance products i.e. life insurance;* (5) Holding or Treasury company – *entity that is part of an expanded affiliate group that includes a depository, custodian, specified insurance company or investment entity*

b. Direct Reporting NFFE – a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS

c. GIIN not required category:

Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

d. Listed Company - A company is publicly traded if its stock are regularly traded on one or more *established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)*

e. Related Entity - an entity is a “Related Entity” of another entity if one controls the other, or the two entities are under common control (where control means direct or indirect ownership of more than 50% of the vote or value in an entity)

f. Non-financial foreign entity [NFFE] – Non-US entity that is not a financial institution [including a territory NFFE]. Following NFFEs are excluded from FATCA reporting – (a) Publicly traded corporation / listed companies; (b) Related Entity of a listed company; and (c) Active NFFE

g. Active NFFE – Any one of the following –

Code	Sub-Category
01	Less than 50% of the NFE‟s gross income for the preceding calendar year or other appropriate reporting period is passive income and < 50% of the assets held by NFE are assets that produce or are held for the production of passive income
02	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;

05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE is a 'non for profit' organization which meets all of the following requirements: • It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; • It is exempt from income tax in India; • It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; • The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and • The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

h. Passive NFE - means any NFE that is not (i) an Active NFFE or listed / publicly traded entity or entity related to the listed / publicly traded entity, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations or (iii) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity - (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

i. Passive Income – portion of gross income that consists of dividends, interest, rents and loyalties (other than rents and loyalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE), income equivalent to interest / amount received from pool of insurance contracts, annuities, excess of gains over losses from the sale or exchange of property / from transactions (including futures, forwards or similar transactions) in any commodities but not including (i) any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation or (ii) active business gains or losses from the sale of commodities but only if substantially all the foreign entity's commodities are property, excess of foreign currency gains over losses, net income from notional principal contracts, amounts received under cash value insurance contracts, amounts earned by insurance company in connection with its reserves for insurance and annuity contracts

j. Controlling Persons means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

k. Non-Participating FFIs [NPFFIs] – an FFI other than participating FFI, a deemed-complaint FFI, or an exempt beneficial owner

l. Specified US Persons – Any US Person other than i). A publicly traded corporation; ii). A corporation that is a member of the same expanded affiliate group; iii). A tax exempt organization; iv). an individual retirement plan; v). the United States or an agency or instrumentality of the United States; vi). Any state [including District of Columbia and United States possession] or State Authorities; vii). A bank, viii). A real estate investment trust; ix). A regulated investment company; x). an entity registered with the SEC under the Investment Company Act of 1940; xi). A common trust fund; xii). A tax exempt trust; xiii). A registered dealer; xiv). A registered broker

m. Expanded affiliated group – One or more chains of members connected through ownership (50% or more, by vote or value) by a common parent entity if the common parent entity owns stock or other equity interests meeting the requirements in atleast one of the other members

n. Owner documented FFI – AN FFI meeting the following requirements – (a) FFI is an FFI solely because it is an investment entity; (b) FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or

specified insurance company; (c) FFI does not maintain a financial account for any non-participating FFI; (d) FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in the circumstances, and (e) The designated withholding agent agrees to report to the IRS (or, in case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any US specified persons and (2) Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a US person, an exempt beneficial owner, or an exempted NFE

o. Exemption Code for US persons

Code	Sub-category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan
N	Not Applicable

ACKNOWLEDGEMENT

To,
Parker Derivatives (India) Private Limited
B-71, Pariseema Complex,
Near Swagat Complex CG Road,
Ellisbridge Ahmedabad – 380006. Gujarat.

Dear Sir,
This has reference to necessary Know Your Client Form containing basic information, additional information and other documents executed by me. I hereby acknowledge receipt of following documents from you:-

1	Client Registration Form (KYC)	8	Guidance Note
2	Rights & Obligations (BO & DP)	9	RMS Policy
3	Risk Disclosure Document	10	Tariff Structure
4	DDPI	11	Right and obligation for trading in equity
5	Non-Mandatory Document	12	Right and obligation for trading in commodity
6	Policies & Procedures	13	Option form for issue / non issue of dis booklet
7	PMLA Policy	14	Nomination Form

I/we state that I have read and understood all above documents available at www.parkerderivatives.com and these documents are binding upon me. I/we do hereby agree to be bound by such provisions as outlined in these documents.

Thanking you,

Date: _____

Signature X _____ Sole/First Holder

Signature X _____ Second Holder

Signature X _____ Third Holder

Parker
Derivatives (India) Private Limited

Scan QR to visit our website

Registered & Corporate Office: B-71, Pariseema Complex, Near Swagat Complex CG Road, Ellisbridge Ahmedabad – 380006. Gujarat.

Phone: 079-48920188, **Fax:** 079 - 26425833, **Website:** www.parkerderivatives.com **E-mail:** parkerderivatives@yahoo.com