



**Dream.Plan.Invest.Achieve.**

## KNOW YOUR CLIENT FORM

For Demat & Trading Account  
(Combined For NSE, BSE, MCX & DP-CDSL)

Name	<input type="text"/>																
Client Code	<input type="text"/>				Introducer Name	<input type="text"/>											
City	<input type="text"/>				Introducer Code	<input type="text"/>											
Date	<input type="text"/>				Form	<input type="text"/>											
Account No.	1	2	0	6	7	4	0	0									
Inward Date	<input type="text"/>																

# Econo Broking Pvt. Ltd.

Corporate Office : 112, EVA-1, Opp. Joggers Park, Atabhai Chowk, Bhavnagar 364002. (Gujarat)

Ph : 0278 - 2413100, 6614141 • Fax : 0278-3005566

Email : [info@econobroking.com](mailto:info@econobroking.com) • Web : [www.econobroking.com](http://www.econobroking.com)

CIN - U74110GJ2009PTC058389



# Econo Broking Pvt. Ltd.

Corpo. Office : EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar-364002. (Gujarat)

Tel.: 0278-2413100, 6614141 Fax : 0278-3005566 E-mail : info@econobroking.com Website : www.econobroking.com

Investor Grievance ID : grievances@econobroking.com CIN - U74110GJ2009PTC058389

Details	NSE CASH Segment	NSE F&O Segment	NSE CD Segment	BSE CASH Segment	BSE F&O Segment	BSE CD Segment	MCX
SEBI Reg. No.	INZ000301331	INZ000301331	INZ000301331	INZ000301331	INZ000301331	CLG. No. : 3297 (Exchange Registered)	INZ000301331
SEBI Reg. Date	23-08-2021	23-08-2021	23-08-2021	23-08-2021	23-08-2021	29-11-2013	23-08-2021
MEMBER Code	13771	13771	13771	3297	3297	3297	40580
CM Code/ID	M51737	M51737	M51737	M51737	M51737	M51737	40580

CDSL - Depository Participant	SEBI Registration No. IN-DP-433-2019 Date : 30-08-2019 CDSL DP ID : 12067400
BSE STAR MF Platform	Member Code - 3297

Director : Mr. Himanshu Andhariya

Ph. : 0278-2413100

email id : himanshu@econobroking.com

Compliance Officer Name : Mr. Rashmin Relia

Ph. : 0278-2413110

email id : rashmin.relia@econobroking.com

For any grievance/dispute please contact Econo Broking Private Ltd at the above address or email id - grievances@econobroking.com and Phone no. 91-0278-2413110. In case not satisfied with the response, please contact the concerned exchange(s) at NSE: Email: ignse@nse.co.in , Tel No: 1800 2200 58, Fax No: (022) 26598191, BSE: Email: is@bseindia.com, Tel No. (022) 22728097, MCX : Email : grievance@mcxindia.com, Tel No. (022) 66494070

## INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES &amp; DEPOSITORIES</b>			
1.	Know Your Client or Account Opening Form	A. KYC Form - Document captures basic information about the constituent and an instruction/checklist.	1 - 6
		B. Document captures the additional information about Constituent relevant to Trading and Demat Account Details.	7 - 18
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 Rights & Obligations 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.	Tariff Details / Schedule of Charges	Tariff Sheet for Trading and Schedule of Charges for Demat	19 - 20
6.	Policy And Procedures	Document describing significant Policies and Procedures of the Stock Broker.	21 - 22
7.	MITC & Policy Acknowledgement	Most Important Terms and Conditions & GTC and GTT Policy	23 - 24
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER &amp; DP</b>			
8.	SMS Alert	Registration / Modification Form for receiving SMS Alerts from CDSL.	26 - 27
9.	Terms and Conditions	Document detailing voluntary terms & conditions for smooth functioning of operations.	28 - 31
10.	DDPI	Consent for Demat Debit & Pledge Instruction.	32 - 33

Further, the above documents is also made available in vernacular languages, you may download from on our website:

<https://www.econobroking.com>, kindly refer to Client Registration Forms under Download Section or from BSE Website Link: [https://www.bseindia.com/static/investors/client\\_regislanguages.aspx?expandable=3](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](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](https://www.ncdex.com/Investor/Client_Reg_Doc.aspx)

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

## IMPORTANT INSTRUCTIONS:

- A) Fields marked with "\*" are mandatory fields.  
 B) Tick (✓) wherever applicable.  
 C) Please fill the form in English and in BLOCK letters.  
 D) Please fill the date in DD-MM-YYYY format.  
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.  
 F) Please read section wise detailed guidelines/instructions at

- the end.  
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 H) List of two character ISO 3166 country codes is available at the end.  
 I) KYC number of applicant is mandatory for update application.  
 J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.



<b>FOR OFFICE USE ONLY:</b>	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number <input type="text"/> (Mandatory for KYC update request)
	Account Type* <input type="checkbox"/> Normal <input type="checkbox"/> Minor <input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)

## ☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

Name* (Same as ID proof)	Prefix <input type="text"/>	First Name <input type="text"/>	Middle Name <input type="text"/>	Last Name <input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	<input type="checkbox"/> Married <input type="checkbox"/> UnMarried
PAN	<input type="text"/>	<input type="checkbox"/> From 60 furnished	Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others Specify _____	
Occupational Type	<input type="text"/>			

## ☐ 2. PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction B 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)

<input type="checkbox"/> A-Passport Number	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>
<input type="checkbox"/> C-DrivingLicence	<input type="text"/>
<input type="checkbox"/> D- NAREGA Job Card	<input type="text"/>
<input type="checkbox"/> E- National Population Register Letter	<input type="text"/>
<input type="checkbox"/> F- Proof of Possession of Aadhaar	<input type="text"/>

II. ☐ E-KYC Authentication

III. ☐ Offline verification of Aadhaar

**PHOTO\***

Signature / Thumb Impression

### ADDRESS:

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin/Post Code	<input type="text"/>
State/UT Code	<input type="text"/>
City/Town/Village*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

## ☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such case 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)

<input type="checkbox"/> A-Passport Number	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>
<input type="checkbox"/> C-DrivingLicence	<input type="text"/>
<input type="checkbox"/> D- NAREGA Job Card	<input type="text"/>
<input type="checkbox"/> E- National Population Register Letter	<input type="text"/>
<input type="checkbox"/> F- Proof of Possession of Aadhaar	<input type="text"/>

II. ☐ E-KYC Authentication

III. ☐ Offline verification of Aadhaar

IV. ☐ Deemed Proof of Address-Document Type code

V. ☐

**Address Type :** ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

### ADDRESS:

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin/Post Code*	<input type="text"/>
State/UT Code*	<input type="text"/>
City/Town/Village*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>



## Annexure A1

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



For office use only

Application Type\*

☐ New
 ☐ Update
 ☐ Delete

(To be filled by financial institution) KYC Number





















(Mandatory for KYC update request)

☐ 1. DETAILS OF RELATED PERSON (Please refer instruction D & E at the end)

☐ Addition of Related Person
 ☐ Deletion of Related Person
 ☐ Updation
 KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor
 ☐ Assignee
 ☐ Authorized Representative

Name\*

Prefix

First Name

Middle Name

Last Name





















(If KYC number and name are provided, below details are optional)

Maiden Name





















Father / Spouse Name





















Mother Name





















Date of Birth\*




















☐ Married

☐ Unmarried

Gender\*

☐ M- Male

☐ F- Female

☐ T-Transgender

☐ Resident Indian

☐ NRI

☐ Foreign National

PAN\*




















☐ Form 60 furnished
Nationality: ☐ Indian
☐ Other Specify \_\_\_\_\_

☐ 2. PROOF OF IDENTITY AND ADDRESS\*

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
- ☐ E-KYC Authentication
- ☐ Offline verification of Aadhaar

☐ PHOTO\*


## Address

Line 1\*

Line 2

Line 3

District\*

Pin / Post Code\*

State / U.T Code\*

ISO 3166 Country Code\*

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at 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
- ☐ E-KYC Authentication
- ☐ Offline verification of Aadhaar
- ☐ Deemed Proof of Address - Document Type code

**Address**

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

**4. CONTACT DETAILS**

Tel. (Off) - Tel. (Res) - Mobile -  
Email ID

**5. REMARKS (If any)****6. 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 hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : --

Place:

 [2/28]

Signature /Thumb Impression of Applicant

**7. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process  
☐ Equivalent e-document ☐ Video Based KYC

**KYC VERIFICATION CARRIED OUT BY**

Date --  
Emp. Name   
Emp. Code   
Emp. Designation   
Emp. Branch

[Employee Signature]

**INSTITUTION DETAILS**

Name  **ECONO BROKING PVT. LTD.**  
Code  **3100000155**

IPV DONE ☐ ON Dt. :

**ECONO BROKING PVT. LTD.**

NAME :

DESIGNATION :

SIGNATURE :

DATE :  [Official Stamp]





## CHECKLIST OF DOCUMENTS

### A. IMPORTANT POINTS :

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicable except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following : Central/State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks,

Public Financial Institutions, Colleges affiliated to Universities. Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): List of documents admissible as Proof of Address :

(\*Documents having an expiry date should be valid on the date of submission.)

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

### D. Exemptions/clarification to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs. 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and

Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents :**

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

**F. Additional Documents In Case Of Trading In Derivatives Segments - Illustrative List :**

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

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

- G.** Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code and IFSC Code of the bank should be submitted.
- H.** Demat master or recent holding statement issued by DP bearing name of the client.

**I. For individuals :**

1. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
2. In case of non-resident clients, employees at the stock broker's local office, overseas can do inperson' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, judge. Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.



## TRADING / DEMAT ACCOUNT RELATED DETAILS

## A. HOLDER DETAILS

[illegible]

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


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

[illegible]

- 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	ECONO BROKING PVT. LTD.
Depository Name	<input checked="" type="checkbox"/> CDSL <input type="checkbox"/> NSDL
DP ID	<b>12067400</b>
BO Client ID	

 [3/28]

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***First Holder / Sole Holder***

 [1/18]

---

***Second Holder***

 [1/18] \_\_\_\_\_  
**Third Holder**

**E. INTRODUCER DETAILS:**

Name of the Introducer				
Status of the Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Employee	<input type="checkbox"/> Existing Client <input type="checkbox"/> Others _____	<input type="checkbox"/> Sub Broker	<input type="checkbox"/> Remisier
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			MCX (BSE & NSE)	NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Commodity Derivatives	SLBM
<del>[4/28]</del>	<del>[4A/28]</del>	<del>[4B/28]</del>	<del>[4C/28]</del>	<del>[4D/28]</del>	<del>[4E/28]</del>

If you do not wish to trade in any of segments / Mutual Fund, please mention here \_\_\_\_\_.

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

**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 \_\_\_\_\_

**H. DEALINGS THROUGH SUB BROKER AND OTHER STOCK BROKERS:**

If client is dealing through the sub-broker, provide the following details: ☐ Yes ☐ No If yes,

Sub Broker Name:	
Regd office address:	
SEBI Registration No: _____	Website: _____ 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, if any :	

**I. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002 & OTHER DETAILS****1. Gross Annual Income Details :**

For First Holder : ☐ Below ₹ 1 Lac ☐ ₹ 1 - 5 Lac ☐ ₹ 5 - 10 Lac ☐ ₹ 10 - 25 Lac ☐ > 25 Lac

OR

Net Worth as on (Date) :  -  -  -  -  -  -  -  Rs.   
(DD-MM-YYYY) (Net worth should not be older than 1 year)

For Second Holder : ☐ Below ₹ 1 Lac ☐ ₹ 1 - 5 Lac ☐ ₹ 5 - 10 Lac ☐ ₹ 10 - 25 Lac ☐ > 25 Lac

OR

Net Worth as on (Date) :  -  -  -  -  -  -  -  Rs.   
(DD-MM-YYYY) (Net worth should not be older than 1 year)

For third Holder : ☐ Below ₹ 1 Lac ☐ ₹ 1 - 5 Lac ☐ ₹ 5 - 10 Lac ☐ ₹ 10 - 25 Lac ☐ > 25 Lac

OR

Net Worth as on (Date) :  -  -  -  -  -  -  -  Rs.   
(DD-MM-YYYY) (Net worth should not be older than 1 year)

<del>[5/28]</del> <b>First Holder / Sole Holder</b>	<del>[2/18]</del> <b>Second Holder</b>	<del>[2/18]</del> <b>Third Holder</b>
--------------------------------------------------------	-------------------------------------------	------------------------------------------

**2. Occupation (please tick any one and give brief details) :**

**For First Holder :** ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional  
☐ Agriculturist ☐ Retired ☐ House Wife ☐ Student ☐ Forex Dealer ☐ Others (Please Specify) \_\_\_\_\_

**For Second Holder :** ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional  
☐ Agriculturist ☐ Retired ☐ House Wife ☐ Student ☐ Forex Dealer ☐ Others (Please Specify) \_\_\_\_\_

**For Third Holder :** ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional  
☐ Agriculturist ☐ Retired ☐ House Wife ☐ Student ☐ Forex Dealer ☐ Others (Please Specify) \_\_\_\_\_

Investment / Trading Experience	Stocks : <input type="text"/> Years	Derivatives : <input type="text"/> Years
	Currency Derivatives : <input type="text"/> Years	Commodities : <input type="text"/> Years

Select, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

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

Guardian's Name										
PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Relationship with the applicant/Minor										


Any other information:

**J. GST Registration Details**

GST Registration No.		
Type	<input type="checkbox"/> Active <input type="checkbox"/> Inactive	Name of State : _____
ISD GST Registration No.		
Type	<input type="checkbox"/> Active <input type="checkbox"/> Inactive	

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

To receive Contract Note, Statement of Fund & Securities, Retention & Margin Statement, CAS, etc If Electronically, at e-mail ID _____	<input type="checkbox"/> Electronically <input type="checkbox"/> Physically
I/we wish to avail facility of Internet Trading (IT) & Wireless Technology (WT)	<input type="checkbox"/> IT <input type="checkbox"/> WT <input type="checkbox"/> Both
I/We wish to receive Rights & Obligations, RDD, Guidance Note and Rights & Obligations between DP and BO.	<input type="checkbox"/> Electronically <input type="checkbox"/> 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]	<input type="checkbox"/> Yes <input type="checkbox"/> 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] <input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any further instruction from my/our end (If not marked, the default option would be "No")	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Required	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulation
In case of Joint Account Holders, mode of operation for demat account	<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holder or survivor(s)

 [6/28]  
**First Holder / Sole Holder**

 [3/18]  
**Second Holder**

 [3/18]  
**Third Holder**

I/We request you to send Electronic Transaction-cum-Holding Statement at e-mail id _____		<input type="checkbox"/> Yes <input type="checkbox"/> No
I/ we would like to Share Email id with RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No
I/ we would like to receive Annual Report in Electronic Mode <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)		
To opt for BSDA facility		<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you wish to avail Consolidated Account Statement (CAS) Facility ? (If not marked, default option would be "NO"). (If yes) I / We would like to receive Consolidated Account Statement. (Tick the applicable box, if not marked the default option would be in Physical)		<input type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Physical <input type="checkbox"/> Electronic
Easi	To register for easi, please visit website <a href="http://www.cdslindia.com">www.cdslindia.com</a> , where BO can view ISIN balances, transactions & value of portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> 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.)	<input type="checkbox"/> Yes <input type="checkbox"/> No
For Commodity Transaction:	Purpose of Trading: <input type="checkbox"/> Speculation <input type="checkbox"/> Hedging <input type="checkbox"/> Day Trading <input type="checkbox"/> Jobbing/Arbitrage <input type="checkbox"/> NA Nature of Business Relationship: <input type="checkbox"/> Speculative <input type="checkbox"/> Hedger <input type="checkbox"/> Day Trader <input type="checkbox"/> Jobber/Arbitrager <input type="checkbox"/> NA	

Note : Rights and Obligations, Risk Disclosure Document (RDD), Guidance Note and Rights & Obligations between DP and BO. is also available for download at our

website [www.econobroking.com](http://www.econobroking.com), kindly refer to Client Registration Forms under Download Section or directly refer the same at link - <https://www.econobroking.com/areas/webadmin/Uploads/Rights%20&%20Oblitagon,%20Trading%20&.pdf>

#### 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 Econo Broking Private Limited (EBPL) 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 Econo Broking Private Limited (EBPL) 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 <a href="http://www.econobroking.com">www.econobroking.com</a> )	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> 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.			

 [7/28] <b>First Holder / Sole Holder</b>	 [4/18] <b>Second Holder</b>	 [4/18] <b>Third Holder</b>
---------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------

# Nomination Form

Nominee Regi. No. - \_\_\_\_\_

Nominee Regi. Date - \_\_\_\_\_

**Annexure-A**

**Econo Broking Pvt. Ltd.**

EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

Dear Sir/ Madam,

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

<b>TM / DP</b> <b>Name and Address</b>	<b>FORM FOR NOMINATION</b> <b>(To be filled in by individual applying singly or jointly)</b>
-------------------------------------------	-------------------------------------------------------------------------------------------------

UCC

I/We wish to make a nomination. [As per details given below]

## Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

**Nomination can be made upto three nominees in the account.**

**Details of 1<sup>st</sup> Nominee**

**Details of 2<sup>nd</sup> Nominee**

**Details of 3<sup>rd</sup> Nominee**

## Mandatory Details

1	<b>Name of the nominee(s) (Mr./Ms.)*</b>				
2	<b>Share of each Nominee</b>	Equally <small>[If not equally, please specify percentage]</small>	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	<b>Relationship With the Applicant ( If Any)</b>				

\* Date of Birth and Name of Guardian to be provided in case of minor nominee(s)

## Non-mandatory Details

4	<b>Address of Nominee(s)/ Guardian in case of Minor</b>  City / Place: State & Country:  PIN Code			
5	<b>Mobile / Telephone No. of nominee(s)/ Guardian in case of Minor</b>			
6	<b>Email ID of nominee(s)/ Guardian in case of Minor</b>			

 [8/28]

**First Holder / Sole Holder**




 [5/18]

**Second Holder**

 [5/18]

**Third Holder**

7	<b>Nominee/ Guardian (in case of Minor) Identification details</b> – [Please tick any one of following and provide details of same]			
	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		 [9/28]
Second Holder (Mr./Ms.)		 [6/18]
Third Holder (Mr./Ms.)		 [6/18]


\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

**Note:**

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)

**Details of the Witness**

First Witness		
Name of the witness		Address of Witness
Signature of Witness		

### Declaration Form for opting out of nomination

To	Date	D	D	M	M	Y	Y	Y	Y
<p><b>Econo Broking Pvt. Ltd.</b></p> <p>EVA-1, 105 to 112, Opp. Joggers Park,  Atabhai Chowk,  Bhavnagar - 364002  (Guajrat) India.</p>									
UCC									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
<p>I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio / trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.</p>									
Name and Signature of Holder(s)*									
<div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="text-align: center;"> 1.   [10/28] </div> <div style="text-align: center;"> 2.   [7/18] </div> <div style="text-align: center;"> 3.   [7/18] </div> </div>									

\* Signature of witness, along with name and address are required , if the account holder affixes thumb impression, instead of signature

#### Details of the Witness

First Witness		
Name of the witness		Address of Witness
Signature of Witness		



## Nomination Form

(SEBI/HO/OIAE/OIAE\_IAD-3/P/ON/2025/01650, dated January 10, 2025)

Econo Broking Pvt. Ltd.

EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.

Dear Sir/Madam,

I/We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) \*

Nominee Regi. No. - \_\_\_\_\_

Nominee Regi. Date - \_\_\_\_\_

**Annexure-A**

Date	D	D	M	M	Y	Y	Y	Y	DP ID	1	2	0	6	7	4	0	0	Client ID								
------	---	---	---	---	---	---	---	---	-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

	Nomination Details						Additional Details ****		
	Mandatory Details						Identity Number ***	D.o.B. of nominee	Guardian
Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail					
Nominee 1									
Nominee 2									
Nominee 3									
Nominee 4									
Nominee 5									
Nominee 6									
Nominee 7									
Nominee 8									
Nominee 9									
Nominee 10									

\*Joint Accounts:

 [11/28]	_____
<b>First Holder / Sole Holder</b>	

 [8/18]	_____
<b>Second Holder</b>	

 [8/18]	_____
<b>Third Holder</b>	

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

\*\* If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

\*\*\* Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

\*\*\*\* to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.




1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC / DP as follows; (please tick, as appropriate)

- ☐ Name of nominee(s) ☐ Nomination: Yes / No

2) I hereby authorize \_\_\_\_\_ (nominee number \_\_\_\_ ) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to \_\_\_\_ % of assets in the account / folio or Rs. \_\_\_\_\_. **(Optional)**  
(strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

4) Signature(s) – As per the mode of holding in demat account(s) / MF folio(s)

Name(s) of holder(s)	Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable)*
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

\* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

### Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, in case of your physical incapacitation, at any point of time and not just during opening of account / folio. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.




 [12/28] <b>First Holder / Sole Holder</b>	 [9/18] <b>Second Holder</b>	 [9/18] <b>Third Holder</b>
----------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------

- 'Either or Survivor' Folios / Accounts - any one of the holder can sign
- 'First holder' Folios / Accounts - only First holder can sign
- 'Jointly' Folios / Accounts - all holders have to sign

### Transmission aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
<b>Total</b>	<b>100%</b>	<b>-</b>	<b>40%</b>	<b>60%</b>	<b>100%</b>

Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		 [13/23]
Second Holder (Mr./Ms.)		 [10/18]
Third Holder (Mr./Ms.)		 [10/18]


\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

#### Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)

#### Details of the Witness

First Witness		
Name of the witness		Address of Witness
Signature of Witness		

### Declaration Form for opting out of nomination

To	Date	D	D	M	M	Y	Y	Y	Y
<b>Econo Broking Pvt. Ltd.</b> EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.									
UCC									
DP ID	1	2	0	6	7	4	0	0	
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio / trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
<div style="display: flex; justify-content: space-between;"> <div style="text-align: center;">                         1.                           _____                          [14/28]                     </div> <div style="text-align: center;">                         2.                           _____                          [11/18]                     </div> <div style="text-align: center;">                         3.                           _____                          [11/18]                     </div> </div>									

\* Signature of witness, along with name and address are required , if the account holder affixes thumb impression, instead of signature

#### Details of the Witness

First Witness	
Name of the witness	Address of Witness
Signature of Witness	

**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.econobroking.com](http://www.econobroking.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							
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	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 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 : \_\_\_\_\_

 [15/28]  
**First Holder / Sole Holder**

 [12/18]  
**Second Holder**

 [12/18]  
**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. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

**For, Econo Broking Pvt. Ltd.**

Signature of the Authorised Signatory

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



Stamp of the intermediary

## TARIFF SHEET FOR TRADING

### A. Brokerage Structure :

Branch :		Client Code :		
	First Lag		Second Lag	
	%	MINIMUM	%	MINIMUM
CASH - TRADING				
CASH - DELIVERY				
EQUITY & INDEX FUTURES				
EQUITY & INDEX OPTIONS	₹ _____ /- Per Lot	₹ _____ /- Per Lot	₹ _____ /- Per Lot	₹ _____ /- Per Lot
CURRENCY FUTURES				
CURRENCY OPTIONS	₹ _____ /- Per Lot	₹ _____ /- Per Lot	₹ _____ /- Per Lot	₹ _____ /- Per Lot
COMMODITY TRADING				
COMMODITY DELIVERY				
COMMODITY OPTIONS	₹ _____ /- Per Lot	₹ _____ /- Per Lot	₹ _____ /- Per Lot	₹ _____ /- Per Lot
MUTUAL FUNDS				

**"Note** – Brokerage for options are in Rupees and it is per lot and Brokerage for SLBM Segment is 15 % of Lending and Borrowing Fees."

Checked by / Approved by : \_\_\_\_\_ Account Code Updated by : \_\_\_\_\_

Authorised Person  
(Name and Signature) \_\_\_\_\_ (Name and Signature) \_\_\_\_\_

### B. Statutory Levies :

Following statutory levies shall be levied as applicable from time to time.

- |                             |                                |                       |        |
|-----------------------------|--------------------------------|-----------------------|--------|
| 1. SEBI Turnover Fees       | 2. Exchange Transaction Charge | 3. Stamp Duty         | 4. GST |
| 5. Security Transaction Tax | 6. Commodity Transaction Tax   | 7. KRA & CKYC Charges |        |

In addition to above, any charge levied by statutory authorities shall also be recovered from the clients.

### C. Penalty :

Penalties levied by exchange, SEBI and other authorities are recovered from the clients. Such penalty may include, Short Margin Penalty, Code Modification Penalty, etc.

### D. Other Charges :

(The GST shall be charged extra wherever applicable as per the prevailing rates.)

- Contract Minimum brokerage/Charges @ Rs. 25/- per contract per day, subject to exchange/SEBI permissible limit.
- Demat or Inter settlement Charges Rs. 25/- per instruction (ISIN).
- Bank Charges for clearance of cheque/dishonour of cheques given by client; @ Rs. 250 per instrument.
- Auction charges @ 1% of auction value or Actual, whichever is higher.
- Clearing Charges @ 0.00175% for all segments and 0.05% for option premium turnover.
- Collateral upload and release Charges Rs. 50 / ISIN
- Onetime IBT / STWT / Software Charges Rs. 1000/- (Including GST).

 [16/28]  
**First Holder / Sole Holder**

 [13/18]  
**Second Holder**

 [13/18]  
**Third Holder**

# SCHEDULE OF CHARGES FOR DEMAT

Services	BSDA Schemes
Account Opening	NIL
Documents Charges	NIL
Stamp Charges	NIL
Annual Maintenance Charges	NIL

## OTHER SERVICES & CHARGES APPLICABLE FOR ALL SCHEMES

1. Trade Charges	Rs. 25 per ISIN (for Market & Off Market both)	8. Freeze / De-freeze	Rs. 25 per Request
2. Buy	Nil	9. Margin Pledge Confirmation and Margin Pledge Release	Rs. 17 per ISIN
3. Dis Book Charges	Nil	10. CUSPA Auto Pledge / Unpledge Charges	Rs. 17 per ISIN
4. Pledge/Unpledge/ Invocation	Rs. 50 per ISIN	11. MTF Funded Auto Pledge / Unpledge Charges	Rs. 17 per ISIN
5. Demat Charges	Rs. 5 per Certificate + Rs. 50/- Courier Charges	12. MTF Margin Pledge / Unpledge Charges	Rs. 17 per ISIN
6. Remat Charges	Rs. 10 per Certificate + Rs. 50/- Courier Charges		
7. Same Day Execution Charges for PayIN	Rs. 25 per ISIN		

### CONDITIONS :

- All charges mentioned are inclusive of CDSL charges.
- The GST would be charged extra wherever applicable as per the prevailing rates.
- 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.
- All the charges once paid will not be refundable, however, this shall not be in contravention to SEBI circulars.
- All the instructions for the transfer must be received at least one day before the execution/pay in date.  
The same day execution or late instructions will be accepted on a "Best Effort Basis" at the sole risk and responsibility of the depository account holder.
- Rs. 250 will be charged on return of the cheque.
- The securities will be valued as per the rates of CDSL.
- All the other services will be charged separately whichever not mentioned above.
- For availing easiest facility of CDSL, the charges as levied by CDSL would be collected from the clients as actuals.
- BSDA tariff would be same as other schemes and charges for AMC and transaction statements shall be as per SEBI/CDSL guidelines.
- Rs. 500/- will be charged towards Annual Maintenance Charges (AMC) for corporate accounts as Levied by CDSL.
- Account Modification Charges : Rs. 25 per change.
- Additional Physical Statement Charges : Rs. 25/- for Maximum 5 pages and Rs. 5/- for per additional page.
- Charges of Issuing DIS Book because DIS Book Lost / Misplaced : Rs. 25/- per DIS Book

**Note** - Rs. 999/- (including DP AMC+GST) will be charged for conversion of any existing DP Scheme to Life Time DP Scheme.


Scheme Name : \_\_\_\_\_

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

<b>BO ID</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>6</b>	<b>7</b>	<b>4</b>	<b>0</b>	<b>0</b>								
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**B. O. NAME(S)**

**B. O. SIGNATURE(S)**

1. First/Sole Holder \_\_\_\_\_  [17/28] \_\_\_\_\_

2. Second Holder \_\_\_\_\_  [14/18] \_\_\_\_\_

3. Third Holder \_\_\_\_\_  [14/18] \_\_\_\_\_



## POLICIES & PROCEDURE

### Mandatory Document dealing with Policy and Procedures Pursuant to SEBI's Circular dated Dec. 3, 2009

**(Policies and procedures forms integral part of the member constituent agreement.)**

#### **1. Refusal of order & orders for Penny Stocks:**

Econo Broking Pvt. Ltd. shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stocks, illiquid stocks, stocks having low liquidity, illiquid "options", far month "options", writing of "options", stocks in S, Z and B2, T and TS category and any other contracts which as per the perception of Econo Broking Pvt. Ltd. are extremely volatile or subject to market manipulation.

Econo Broking Pvt. Ltd. may permit restrictive acceptance of orders in such scrips / contracts / commodities in controlled environments like orders received from clients being forwarded by branches to centralized desk at HO instead of allowing trading in such scrips / contracts / commodities at branch level or through Online trading platform. Econo Broking Pvt. Ltd. shall not be responsible for delay in execution of such orders and consequential opportunity loss or financial loss to client.

Econo Broking Pvt. Ltd. may cancel orders in such scrips/commodities received from clients before execution or after partial execution without assigning any reason thereof.

#### **2. Setting up client's Exposure Limits**

The client agrees and confirms to abide by the exposure limits, if any, set by Member or by the exchange or Clearing Corporation or SEBI from time to time.

The Stock Broker/ Commodity Broker / Trading Member may from time to time, at its sole discretion, impose and vary limits on the orders that the client place (including exposure limits, turnover limits, market level limits, limits as to number, value and / or kind of securities / contracts / commodities in respect of which buy or sell orders can be placed etc.) The client is aware and agree that the stock broker / commodity broker / trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of Member's risk perception and other factors considered relevant by Member and Stock Broker/ commodity broker / Trading Member may be unable to inform to the client of such variation, reduction, imposition in advance. The client agrees that the Stock Broker / commodity broker / Trading Member shall not be responsible for such variation, reduction and imposition of limits.

#### **3. Applicable Brokerage Rate**

The Client confirms and agrees that the brokerage shall be paid in the manner intimated by the Member to the client from time to time, including as a percentage of the value of the trade or as a

flat fees or otherwise, together with the GST as may be applicable from time to time on the same.

The Client hereby agrees to the brokerage slabs/rates, as mentioned in this document, which do not exceed the maximum limits prescribed by the NSE/BSE/MCX/SEBI.

#### **4. Imposition of penalty/delayed Payment Charges (This must not result in funding by the broker in contravention of the applicable laws)**

The client understands and agrees that applicability of delayed payment charge by either party is solely at the discretion of the Stock Broker and Commodity Broker.

Without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from a client towards settlement obligation or margin obligation either in cash segment and/or derivative segment may attract delayed payment charges at the rate of 2 % per month or part thereof or such other rate as may be determined by the stock broker and commodity broker..

While levying delayed payment charges on the debit balance in the running account of a client, Econo Broking Pvt. Ltd will not consider any credit balance in the other family or group account of the client.

#### **5. The right to sell clients' securities / commodities or close clients' positions after giving notice to the client on account of non-payment of clients' dues**

Without prejudice to the member's other rights (including the right to refer a matter to arbitration), the Member shall be entitled to liquidate / close out all or any of the Client's positions for non-payment of margins or settlement obligations after giving prior notice. Member may also sell off all or any securities / commodities of the client lying with member as collateral or otherwise for any amounts due by the client and adjust the proceeds of such liquidation/close out against the client's liabilities / obligations. Any and all losses and financial charges on account of such liquidation / closing-out shall be charged to and borne by the Client.

#### **6. Internal Shortage**

In case of purchase of securities/commodities by the Client at times Member may be unable to deliver the securities/commodities to the said purchaser on the pay out day due to non receipt of the said securities/comodities from another Client of Member who has sold the securities/comodities against the said purchase transaction. In case of securities member may buy the shares from the market on T + 1 day or on settlement day and deliver the same to the client or he may give close out at the rate as determined by the member.

### **7. Close out in case of internal Shortages:**

Clients are required to make Commodities / Funds pay-in on or before Settlement day. In case of default in pay-in by the client and the shortage is at member level i.e. internal shortage, a penalty as applicable from time to time (not exceeding the percentage prescribed by the exchange for auctioned trades), will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client.

The Client hereby agrees that if he/she/it has short delivered any securities/commodities against his/her/its pay-in-obligation which resulted into internal shortage (i.e. buy position of another client of Member and could not be auctioned in the market), close out shall be debited to his account at the rate which is in the range of 5% to 20% above the purchase price or the closing price on auction day or such other percentage as may be revised by Member from time to time.

### **8. Restrictions/Prohibition to take further position or closing existing position**

The Member 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 / manipulating or fraudulent trades/ outstanding business or margins stipulated by the exchange, clearing corporation/ clearing house and/or the Member 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.

### **9 Temporarily suspending or closing a client's account at the client's request**

The Client may suspend or close his/her/its trading account temporarily by giving written request to the member. 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 the member unless all the dues are paid by the client.

### **10. Deregistering the Client**

The Member may, at its sole discretion, deregister clients' account to protect his interest which may include

1. Member may de-register the client account based on action taken by NSE/BSE/MCX/SEBI or being part of list of debarred entities published by SEBI or member is compelled by law to do so
2. On the basis of the information found in sites of CIBIL
3. Any breach of the terms of this agreement
4. Upon the death, winding up, bankruptcy, liquidation or lack of legal capacity of the client
5. The Client having misrepresented facts at the time of entering into this agreement or at the time of giving instructions or otherwise
6. Member has reasons to believe that account is being used for fraudulent purposes.
7. The client fails to fulfill his /its payment obligations under this agreement or otherwise due to member
8. Any other reason which member thinks reasonable for deregistering the account

The Client waives any and all claims for loss or damages arising directly or indirectly from such deregistering. The deregistering will not affect any liability of the Client resulting directly or indirectly from any transactions made at any time before such deregistering. Member shall have right to close out the existing positions, sell the collateral to recover its dues if any before deregistering the client.

### **11. Policy for In Active Clients**

In case client has not used his account for a period exceeding 12 months but not later than 2 years across the exchanges, then such client's account shall be frozen for further trades and the said account shall be re-activated only after proper recording of reason for such non-use in writing through Re-Activation Form, after taking all the required proof and verifying the same with client, however if such client wants to sell Stock / IPO Allotment Shares / Mutual Fund Units lying in his / her Demat Account, then no Re-Activation Form of Proof is required. Further if client has not used his account for more than 2 years, then such client's account shall be deregistered and his account shall be reactivated only after proper recording of reason for such non-use in writing through Re-Activation Form, after taking all the required proof and verifying the same with client.

### **12. Policy to Freeze/Block the Trading Account**

Clients may voluntarily freeze/block and unfreeze/unblock their online trading accounts due to suspicious activities. Clients can request account freezing/blocking via email from their registered email ID, SMS from their registered mobile number, our App/website, or any other legally verifiable mechanism. Requests should be sent to [stoptrade@econobroking.com](mailto:stoptrade@econobroking.com). Upon receiving a request, we shall validate it through registered contact details or 2-Factor Authentication, issue an acknowledgement, and freeze/block the account within 15 minutes during trading hours or before the next session if received after market hours, while simultaneously cancelling all pending orders. Post-freezing, we shall notify clients via registered mobile number and/or email, providing details of open positions and contract expiry information within one hour. We shall maintain logs of all requests, confirmations, and communications. We are accountable for any trades executed between the time of request receipt and account freezing/blocking if not completed within the prescribed timeline. To unfreeze/unblock an account, upon receipt of request, we shall conduct due diligence, validate the request, and restore access after verification. Freezing/blocking restricts online access but does not impact Risk Management activities or mark the client's UCC as inactive in Exchange records.

I/We have read and clearly understood the above policies & procedures and shall abide by the same. Further, I/We know that this policy has been adopted by Econo Broking Pvt. Ltd. at the given time and may have been revised overtime. Latest version of the policy is available at the EBPL's Web Portal [www.econobroking.com](http://www.econobroking.com).

Client Name : \_\_\_\_\_

Client  
Signature

 [18/28]

## 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 stockbroker 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 stockbroker 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 stockbroker 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.

Client  
Signature



[19/28]

## POLICY ACKNOWLEDGEMENT

As part of our commitment to transparency and client protection, **we are offering Good 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

- We are 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.econobroking.com/ContactUs>

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

Client Name : \_\_\_\_\_

Client  
Signature

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# **NON MANDATORY PART / DOCUMENTS**



## MANDATORY, IF YOU ARE GIVING DDPI 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](mailto: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

 [21/28]
**First Holder / Sole Holder**
 [15/18]
**Second Holder**
 [15/18]
**Third Holder**

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

1	2	0	6	7	4	0	0
---	---	---	---	---	---	---	---

(Please write your 8 digit DPID)

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

The mobile number is registered in the name of

: ☐ Self ☐ Spouse ☐ Son ☐ Daughter ☐ Father ☐ Mother

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 ☐ Son ☐ Daughter ☐ Father ☐ Mother

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**First Holder / Sole Holder**

 [16/18]

**Second Holder**

 [16/18]

**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 Econo Broking Private Limited (hereinafter referred to as "EBPL") 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 banks for facilitating transfer of funds from Client's bank account to the account of the Client with EBPL. Client understands that EBPL is only providing access to the electronic fund transfer facility provided by the banker of the Client through EBPL'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 undertakes not to make EBPL a party to any litigation, claim, dispute, 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 EBPL'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 EBPL 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 EBPL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 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 EBPL.

**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 EBPL 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 EBPL 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 EBPL 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 EBPL 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 EBPL. Extra Ordinary Events and termination/suspension of trading facility: EBPL 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 network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond EBPL's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any EBPL 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 EBPL 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 EBPL or any disseminating party.

**6) Limitation of Liability:** The client hereby agrees that EBPL shall not be liable for any inaccuracy, error, false statement, misrepresentation or fraud committed any sales or other associates/third parties engaged by the MEMBER to promote the services offered by it. The CLIENT agrees that he/she/it places no reliance on such persons and will exercise

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Client  
Signature

due care and diligence in relying on any statements made any persons.

**7) Non-execution/delay/cancellation of Orders:** The client hereby agrees that EBPL 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 EBPL or the Exchange. Client not to act on representations of agents, employees: Client is aware that EBPL 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 EBPL.

**8) Indemnification:** I hereby indemnify and hold EBPL, 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 EBPL 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.

**9) Indemnity of Joint Holdings:** I hereby agree to indemnify and hold the EBPL 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.

**10) 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.

**11) 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 EBPL 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.

**12) Third-Party Payments:** EBPL 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 EBPL 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 EBPL 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 EBPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client EBPL, its Directors and employees shall not be responsible for any consequential damages or losses.

**13) No Dealings in Cash:** EBPL as a policy neither accepts any funds for payin/margin in cash nor makes any payment or allows Withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/ Sub-Broker/ Remisier/Employee/Authorised Person of EBPL.

**14) 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, EBPL has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

**15) 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 EBPL may levy charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by EBPL 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 EBPL for the Demat charges payable to EBPL as Depository for providing depository services.

**16) Authorization for Inter Segment/Inter Exchange Fund Balance Transfer:** The client hereby authorize EBPL 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.

**17) Deliveries:**

Client Signature [24/28]

The client shall ensure that the shares are properly transferred to the designated Demat account of EBPL, 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/ EBPL. In case the client fails to transfer the shares on time to EBPL, EBPL shall not be responsible for any loss/damages arising out of such delayed transfers.

**18) Proprietary Trading:** The CLIENT is aware that EBPL is doing proprietary trading along with client business.

**19) 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.

**20) 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, EBPL 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.

**21)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.

**22) Investment and Other Advice:** I understand and agree that EBPL 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 EBPL 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 EBPL are not authorised to give any investment or other advice and I/we will not solicit or rely upon any such advice from the EBPL, 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 as well as I/we shall at all the times be responsible and liable for my/our actions / inactions and EBPL or its employees or authorised person shall not be liable or responsible for the same.

**23) 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 EBPL 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 EBPL about change in my email address, if any. B)I/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 EBPL to share my details and records with Digilocker, for enabling retrieval of Official Valid Documents from Digilocker system, as required for online KYC.

**24) 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 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

Client Signature [25/28]



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'.

**25) Representative AND Warranties of Clients:** (i) The CLIENT hereby represents and warrants that the terms and conditions have been clearly understood and that the information furnished to the MEMBER is accurate and truthful.

(ii) The CLIENT confirms that he/she is of legal age and he/she/it has obtained the necessary approvals from the relevant regulatory/legal and compliance authorities to avail the services provided pursuant to the terms of this document.

**26) Sharing of Information:** The Client agrees and confirms that the MEMBER may appoint agents for carrying out the acts mentioned in or in relation to this document. The CLIENT consents to sharing of his/ its accounts related information to the authorized agents appointed by the MEMBER.

**27) Tape Recording of Conversation:** The CLIENT is aware that the MEMBER tape-record the conversations between the client's representative and the MEMBER, either personally or over the telephone, and hereby specifically permits the MEMBER to do so. Such recording may be relied upon by the MEMBER as and when required to resolve disputes in connection with the trading transaction.

**28) Conclusiveness of Records:** The Member's Own records of the trades/transactions maintained through computer systems or otherwise shall be accepted as conclusive and binding on the CLIENT for all purposes.

The CLIENT understands and confirms that the CLIENT has the option to terminate the applicability of the voluntary terms and conditions including the terms and conditions applicable for special facility that may be provided by the Member by giving advance notice to the MEMBER in writing of not less than 15 days. Provided however that the terms and conditions shall become applicable for all the close out trades that may be executed by the CLIENT or the MEMBER subsequent to such termination.

**29) Not to Act as Sub Broker or Authorised Person:** I undertake not to act as an unregistered Sub-broker/Authorised Person and deal only for myself and not on behalf of other clients. In case I wish to deal for other

clients also, I undertake to apply to SEBI through EBPL to obtain an Authorised Person registration. In case EBPL perceives that I am acting as an unregistered sub broker/Authorised Person, EBPL has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to EBPL without the requirement of any notice from EBPL. Further, EBPL has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify EBPL from any loss/ damage/claim arising out of such activity.

**30) Other Terms:** a) The client agrees to deposit the necessary funds, securities, or property with the member to open and maintain their account. The member will hold these assets under a general lien to fulfil the client's obligations. The client either alone or through a group of persons acting in concert is prohibited from holding an excessive number of derivatives contracts or exceeding the permitted number of futures contracts set by the exchange.

b) The client must provide all applicable margins including Mark to Mark Margin as per SEBI/Exchange guidelines in the prescribed forms. The member may sell/liquidate securities or commodities or positions if there is a shortfall in margin. The client is responsible for replenishing any shortfall or any additional margin levied by SEBI/Exchanges or as per Risk Management System of Member. All margins provided by the client are interest-free.

**31) Address for Complaint / Investor Grievances and Communications:**

The CLIENT understands and confirms to send all the complaints and queries in case of any grievances or complaint arising out of and in the course of trading in securities client will send the complaint on the email : [grievances@econobroking.com](mailto:grievances@econobroking.com). Alternatively the Client shall send the written complaint marked to Investor Grievance Cell at correspondence office of Econo Broking Pvt. Ltd. The Client further understands and agrees that MEMBER may take 7 working days time to reply on such Complainant / Query.

**32) Jurisdiction, Arbitration & Grievance Redressal :** Jurisdiction, arbitration and grievance redressal shall be done as per SEBI and Exchange Rules and Regulation.

**33) Termination:** This document may be terminated by either party by giving notice to the other party in writing. However such termination shall not affect the rights and obligations of a party hereunder in respect of Derivatives contracts and transactions entered into prior to such termination.

Declaration - I / We further confirm having read and understood the contents of the Additional Terms and Conditions Governing the Service and I / We do hereby agree to be bound by such provisions as outlined in these documents. I / We have also been informed that the same documents has been displayed for information on stock broker's designated website.

Client  
Signature  [26/28]

### **Demat Debit and Pledge Instruction**

To,  
Econo Broking Pvt. Ltd.  
EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk, Bhavnagar - 364002 (Gujarat) India.  
SEBI REGISTRATION NO. – IN-DP-433-2019

To,  
Econo Broking Pvt. Ltd. – Registered Office,  
Commercial Unit No. 201 to 202A, 2nd Floor, Dalal Street Commercial Co-Operative Society Ltd.,  
Block No. 53, Building No. 53E, Zone – 5, Road – 5E, Gift City, Gandhinagar - 382355  
SEBI REGISTRATION NO. – IN-DP-433-2019

To,  
Econo Broking Pvt. Ltd. - Central Processing Unit,  
1/56 (1/116), Ramanaicken Street, Royapuram, Royapuram, Chennai - 600013  
SEBI REGISTRATION NO. – IN-DP-433-2019

I / We \_\_\_\_\_ (Client / BO name) hold a Beneficiary account No. 12067400 \_\_\_\_\_ (BO-ID) with Central Depository Services (India) Limited, through your company Econo Broking Pvt. Ltd. having DP-ID 12067400.




And Whereas I am an investor engaged in buying and selling of securities through your company Econo Broking Pvt. Ltd. and your company is a member of National Stock Exchange of India Ltd. bearing SEBI registration No. INZ000301331 a member of Bombay Stock Exchange Ltd.. bearing SEBI registration No. INZ000301331 (BSE CD Segment Clearing Number 3297 - Exchange Registered), a member of BSE STAR MF Platform, bearing Member Code 3297 and a member of Multi Commodity Exchange of India Limited bearing SEBI registration No. INZ000301331. 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 writing 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 Eva-1, 105 to 112 & 212, Opp. Jogger's Park, Atabhai Chowk, Bhavnagar-364 002.













I / We hereby authorize the Econo Broking Pvt. Ltd., to transfer securities from the aforesaid account to the below mentioned accounts for the purpose specified herein.

#### **Details of Demat Account of ECONO BROKING PVT. LTD. (MASTER POA ID – 2206740000000071)**

Sr. No.	Exchange / Segment	DP ID/ CM ID	BO ID	Purpose
1	BSE CASH SEGMENT	12067400	00325147	BSE - CDSL Pool Ac
2	BSE CASH SEGMENT	11000010	00022528	BSE - Early Payin Ac.
3	BSE CASH SEGMENT	IN632977	-	BSE - NSDL CM POOL
4	NSE CASH SEGMENT	12067400	00001851	NSE - CDSL Pool Ac.
5	NSE CASH SEGMENT	11000011	00018300	NSE - Early Payin Ac.
6	NSE CASH SEGMENT	IN517370	-	NSE - NSDL CM POOL
7	All Exchanges / All Segments	12067400	00376817	Client Securities to be Pledge/Re-Pledged against margin obligation across all Exchanges / All Segments (TM/CM)
8	NSE CASH SEGMENT	12067400	00691606	NSE Unpaid Securities Pledge Ac. (CUSPA)
9	BSE House Account - Mutual Fund Redemption	11000029	00000011	Mutual Fund Redemption
10	NSE House Account - Mutual Fund Redemption	11000011	00017837	Mutual Fund Redemption
11	NSE CASH SEGMENT	12067400	00574543	NSE – MTF Funded Ac.
12	NSE CASH SEGMENT	12067400	00574919	NSE – MTF Pledge Ac.
13	NSE CASH SEGMENT	12067400	00498141	NSE – SLB Pool Ac.
14	NSE CASH SEGMENT	11000023	00000879	NSE – SLB Early Payin Ac.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures	 [27/28]	 [17/18]	 [17/18]

I / We request you to register my / our consent in my above mentioned demat account for following purpose.

Sr. 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.	 [28/28] _____ (First/Sole Holder)  [18/18] _____ (Second Holder)  [18/18] _____ (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.	 [28A/28] _____ (First/Sole Holder)  [18A/18] _____ (Second Holder)  [18A/18] _____ (Third Holder)
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 [28B/28] _____ (First/Sole Holder)  [18B/18] _____ (Second Holder)  [18B/18] _____ (Third Holder)
4.	Tendering shares in open offers through Stock Exchange platforms	 [28C/28] _____ (First/Sole Holder)  [18C/18] _____ (Second Holder)  [18C/18] _____ (Third Holder)

I, Accept

For, Econo Broking Pvt. Ltd.

Econo Broking Pvt. Ltd.

EVA-1, 105 to 112, Opp. Joggers Park, Atabhai Chowk,  
Bhavnagar - 364002 (Guajrat) India.

Tel.: 0278-2413100, 6614141, Fax: 0278-3005566

E-Mail – [info@econobroking.com](mailto:info@econobroking.com) Website: [www.econobroking.com](http://www.econobroking.com)

Date:

Place:

Stamp of the intermediary



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## RECEIPT OF ACCOUNT OPENING FORM (KYC FORM)

From :

To,

**ECONO BROKING PVT. LTD.,**

EVA-1, 105 to 112, OPP. Jogger's Park,

Atabhai Chowk, Bhavnagar -364 002 (Gujarat) India.

Dear Sir,

Re. : Account Opening Form (KYC Form) No. \_\_\_\_\_

This has reference to my/our captioned Account Opening Form (KYC Form) which I/We have submitted to you duly filled up along with all the supporting documents.

I/we hereby acknowledge the receipt of copy of the following documents from you as per SEBI Circular.

- |                                                  |                                                         |
|--------------------------------------------------|---------------------------------------------------------|
| 1. Client Registration Form (KYC)                | 8. Rights & Obligations (BO & DP)                       |
| 2. Rights & Obligations for Trading in Equity    | 9. DDPI                                                 |
| 3. Rights & Obligations for Trading in Commodity | 10. Non-Mandatory Document                              |
| 4. Risk Disclosure Document                      | 11. PMLA Policy                                         |
| 5. Policies & Procedures                         | 12. RMS Policy                                          |
| 6. Guidance Note                                 | 13. Option Form for Issue / non Issuance of DIS Booklet |
| 7. Tariff Structure                              | 14. Nomination Form                                     |

Thanking You,

Yours truly,

**Client or  
B. O. Signature**



First / Sole Holder



Second Holder



Third Holder

Client Code :

Date :

Place :

### ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON-ISSUE OF DIS BOOKLET Form, Nomination Form and the account opening application form:

DP ID										Client ID							
Sole/First Holder's Name																	
Second Holder's Name																	
Third Holder's Name																	

**Depository Participant Seal and Signature**



## FOR OFFICE USE ONLY

UCC CODE : .....

UCC DATE : .....

UCC DONE BY : .....

**Received :**

Name :

Sign :

Date :

**Verified :**

Name :

Sign :

Date :

**Authorised By :**

Name :

Sign :

Date :

**Account Opened By :**

Name :

Sign :

Date :

**Details Entered in CDAS by :**

Name :

Sign :

Date :

**NOTE : Please Sign Wherever Mark**  
Total Sign :



**First Holder**  
(28)



**Second Holder**  
(18)



**Third Holder**  
(18)



**Witness**  
(2)



**Dream.Plan.Invest.Achieve.**

# **Econo Broking Pvt. Ltd.**

**Member : BSE - NSE - MCX - CDSL**

**Corporate Office :** EVA-1, 105 to112, Opp. Joggers Park, Atabhai Chowk,  
Bhavnagar - 364002. (Gujarat) Phone : 0278-2413100, 2563700 / Fax : 0278-3005566  
Email : [info@econobroking.com](mailto:info@econobroking.com) Web : [www.econobroking.com](http://www.econobroking.com)