

TRADEWELL SECURITIES LIMITED

Corporate Office: Flat No.204, Anushka Trendz, BN Reddy Colony, Road No.14, Banjara Hills, Hyderabad - 500 034.

SARAL

PHOTOGRAPH

ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT

I KYC - Please fill this form in BLOCK LETTERS.

Please affix your recent passport size photograph and sign across it

A. IDENTITY DETAILS

1. Name of the Applicant: _____

2. Father's/ Spouse Name: _____

3. a. Gender: Male/ Female b. Marital status: Single/ Married c. Date of birth: (dd/mm/yyyy)

4. Nationality: _____

5a. PAN: _____ b. Aadhaar Number, if any: _____

6. Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

1. Residence/ Correspondence Address:

Pin Code: _____ State: _____ City/town/village: _____
Country: _____

2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____

Email id: _____

3. Permanent Address (if different from above address): _____

City/town/village: _____ Pin Code: _____ State: _____ Country: _____

4. Specify the proof of address submitted for residence/correspondence /permanent address: _____

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.

Signature of the Applicant Date: _____ (dd/mm/yyyy)

Originals verified and Self-Attested Document copies received (.....)

Name & Signature of the Authorised Signatory

Seal/Stamp of the intermediary

Date

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Annexure -1 - ACCOUNT OPENING KIT

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and on instruction / check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list. C. CENTRAL KYC REGISTRY Know Your Customer (KYC) Application Form Individual	3 – 7
2	Rights and Obligations	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).	SEPARATE COPY FOR CLIENT
3	Risk Disclosure Document (RDD)	Document detailing risks associate with dealing in the securities market.	
4	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	
5	PMLA Information	Prevention of Money Laundering Act 2002 (PMLA)	
6	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	
7	Tariff sheet DP & Trading	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock Exchange(s) and DP Service Charges / Fee Structure.	8 – 9
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Name of stock broker / trading member / clearing number		TRADEWELL SECURITES LTD			
SEBI Registrations No. & Date	BSE	Csh & StARM	INZ000171936	27-MARCH-2018	
		Futures & Options			
	NSE	Cash & MFSS			
		Futures & Options Currency Derivaties			
AMFI Registrations No. & Date	ARN	111875		04-Jun-2016	
Corp. Office address:		Flat No.204, Anushka Trends, BN Reddy Colony,Road No.14,Banjarahills, Hyderabad - 500034. Phone No. : +91-40-23541258, Fax No. +91-40-23541256 Website : www.tradewell.in			
Compliance Officer:	K. Srinivasa Rao: Phone: +91 92463 99444, <u>Email id:srinivas@tradewellmail.com</u>				
For any grievance/ dispute please contact Tradewell Securities Ltd at the above address or email: DP : tslgrievance@tradewellmail.com					
In case not satisfied with the response, please contact the concerned exchanges(s) at:					
Exchange	Email id			Contact nos.	
BSE	is@bseindia.com			+912222728097	
NSE	ignse@nse.co.in			+912226598190	
CDSL	complaints@cdslindia.com			+91222272 3333	
You can also lodge your grievances with SEBI at http://scores.gov.in . For any quires, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.					

Annexure - 2
KNOW YOUR CLIENT (KYC) APPLICATION FORM
(For Individuals)

PHOTOGRAPH
Please affix
your Recent
Passport Size
Photograph
and sign
across it

Please fill this form in ENGLISH and in BLOCK LETTERS.



A. IDENTITY DETAILS

1. Name of the Applicant _____
2. Father's/ Spouse Name _____
3. a. Gender: ☐ Male ☐ Female b. Marital status: ☐ Single ☐ Married c. Date of birth: _____
4. a. Nationality _____ b. Status : ☐ Resident Individual ☐ Non Resident ☐ Foreign National
5. a. PAN _____ b. UID/Aadhaar Number, if any _____
6. Specify the proof of identify submitted : _____

B. ADDRESS DETAILS

1. Residence Address: _____

City /Town/Village: _____ Pin Code: _____ State : _____ Country : _____
2. Contact Details: Tel (off.) _____ Tel (Res.) _____ Mobile: _____
Fax : _____ E-Mail: _____
3. Specify the proof of address submitted for residence address : _____

4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant):

City /Town/Village: _____ Pin Code: _____ State : _____ Country : _____

DECLARATION

I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I 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

Signature of the Applicant _____

Date _____

FOR OFFICE USE ONLY

☐ Originals verified and Self-Attested Document copies received

For Tradewell Securities Ltd.,

Authorised Signatory

Date.....



Seal/Stamp of the intermediary

TRADEWELL SECURITIES LIMITED

Corporate Office: Flat No.204, Anushka Trendz, BN Reddy Colony, Road No.14, Banjarahills, Hyderabad-500034

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

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

For office use only (To be filled by financial institution)	Application Type*	☐ New	☐ Update
KYC Number			
Account Type*	☐ Normal	☐ Simplified (for low risk customers)	☐ Small

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Marital Status*	☐ Married	☐ Unmarried	☐ Others	
Citizenship*	☐ IN- Indian	☐ Others (ISO 3166 Country Code)		
Residential Status*	☐ Resident Individual	☐ Non Resident Indian		
	☐ Foreign National	☐ Person of Indian Origin		
Occupation Type*	☐ S-Service (☐ Private Sector	☐ Public Sector	☐ Government Sector)	
	☐ O-Others (☐ Professional	☐ Self Employed	☐ Retired ☐ Housewife	☐ Student
	☐ B-Business			
	☐ X- Not Categorized			

PHOTO



Signature / Thumb Impression

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*	
Tax Identification Number or equivalent (If issued by jurisdiction)*	
Place / City of Birth*	
ISO 3166 Country Code of Birth*	

☐ 3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

☐ A- Passport Number		Passport Expiry Date	
☐ B- Voter ID Card			
☐ C- PAN Card			
☐ D- Driving Licence		Driving Licence Expiry Date	
☐ E- UID (Aadhaar)			
☐ F- NREGA Job Card			
☐ Z- Others (any document notified by the central government)		Identification Number	
☐ S- Simplified Measures Account - Document Type code		Identification Number	

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	☐ Residential / Business	☐ Residential	☐ Business	☐ Registered Office	☐ Unspecified
Proof of Address*	☐ Passport	☐ Driving Licence	☐ UID (Aadhaar)		
	☐ Voter Identity Card	☐ NREGA Job Card	☐ Others		
	☐ Simplified Measures Account - Document Type code				

Address

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

☐ **4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *** (Please see instruction **E** at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

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

☐ **4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES*** (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*																				
Line 2																				
Line 3																				
State*						ZIP / Post Code*						City / Town / Village*						ISO 3166 Country Code*		

☐ **5. CONTACT DETAILS**

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

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure B1') (please refer instruction **G** at the end)

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

Related Person Type*	☐ Guardian of Minor		☐ Assignee		☐ Authorized Representative	
	Prefix	First Name	Middle Name	Last Name		
Name*						

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction **H** at the end)

☐ A- Passport Number						Passport Expiry Date	DD - MM - YYYY				
☐ B- Voter ID Card											
☐ C- PAN Card											
☐ D- Driving Licence						Driving Licence Expiry Date	DD - MM - YYYY				
☐ E- UID (Aadhaar)											
☐ F- NREGA Job Card											
☐ Z- Others (any document notified by the central government)						Identification Number					
☐ S- Simplified Measures Account - Document Type code						Identification Number					

☐ **7. REMARKS (If any)** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

8. 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 : DD - MM - YYYY Place :

4

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date	DD - MM - YYYY				
Emp. Name					
Emp. Code					
Emp. Designation					
Emp. Branch					

[Employee Signature]

INSTITUTION DETAILS

Name	TRADEWELL SECURITIES LTD														
Code	IN0150														



[Institution Stamp]

Annexure - 3
TRADING ACCOUNT RELATED DETAILS
(For Individuals & Non-Individuals)

A. BANK ACCOUNT DETAILS

Bank Name	Branch address & Pin Code	Bank A/c. No.	Account type*	MICR No.	IFSC code

*A/c type: Savings / Current / Others - in case of NRI / NRE / NRO

B. DEPOSITORY ACCOUNT(S) DETAILS (Please attach a copy of Client Master issued by DP if other than TSL)

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
Tradewell Securities Ltd.	☐ CDSL		12052700	
	☐ NSDL			
	☐ CDSL			

1. Gross Annual Income Details (please specify) <u>OR</u> Net-worth	Income Range Per Annum ☐ Rs 1 lac ☐ Rs 1-5 lacs ☐ Rs 5-10 lacs ☐ Rs10-25 lacs ☐ Rs 25 lacs as on (date)...../...../20..... Rs. (Net-worth should not be older than 1 year)
2. Occupation (Please tick any one and give brief details)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Pls specify)..... Details.....
3. Please tick, if applicable	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

C. 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	Segments	Signature
BSE	Cash	⑤ 
	Futures & Options	⑤ 
	StARMF	⑤ 
NSE	Cash	⑤ 
	Futures & Options	⑤ 
	Currency Derivatives	⑤ 
	MFSS	⑤ 

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

D. PAST ACTIONS: Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners / promoters / whole time directors / authorized persons in charge of dealing in securities during the last 3 years:

E. DEALINGS THROUGH SUB-BROKERS AUTHORIZED PERSON AND OTHER STOCK BROKERS:

*If client is dealing through the sub-broker, provide the these details:

Sub-broker's Name SEBI Registration number:

Registered office address:

Ph: Fax: SF ① 

● Whether dealing with any other stock broker / sub-broker (if case dealing with multiple stock brokers / sub-brokers, provide details of all)

Name of stock broker: Name of Sub-Broker, if any:

Client Code: Exchange:

Details of disputes/dues pending from/to such stock broker/sub-broker:

F. ADDITIONAL DETAILS:

Whether you wish to receive Physical contract note or Electronic Contract Note (ECN)?

(Please specify):

Specify your Email id, if applicable:

- Whether you wish to avail of the facility of ☐ Internet Trading (IBT) ☐ Wireless Technology (STWT) (please specify):
- Number of years of Investment/Trading Experience:
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/ firm/ others:
- Any other information:

G. INTRODUCER DETAILS (optional):

Name of the Introducer:

(Surname)

(First Name)

(Middle Name)

Status of the Introducer: Sub-broker/Remissier/Authorized Person/Existing Client/Others, please specify.....

Associate Centre Code / Client Code / Employee Code:

Address and phone no. of the Introducer :

SF2

..... Signature of the Introducer.....

DECLARATION

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

Place

⑥

Date :

Signature of Client/ (all) Authorized Signatory(ies)

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 Tradewell Securities Ltd.

Authorised Signatory

Date:/...../20



Seal / Stamp of the Stock broker

TARIFF FOR TRADING ACCOUNT

A. BROKERAGE DETAILS

Segment		Brokerage scheme	Trading:1st Leg	Same day square off	Delivery / Any day
Cash	Min				
	%				
Equities Futures	%				
Equities Options	Per(Lot)				
Currency Futures	%				
Currency Options	Per(Lot)				
Mutual Fund					

B. OTHER TARIFFS

Stamp Duty	As per State levies	Clearing Member (CM) charges	As applicable
Service Tax	As applicable	Delayed Payment charges	18% per annum
Transaction Charges	As applicable	Courier charges	Rs.25 /- per packet
Securities Transaction Tax (STT)	As applicable	Any other levies	As applicable
SEBI Fees	As applicable	Inter-Settlement / Beneficiary to Pool Charges	Rs.12/-

Other Tariff charges are subject to change as per Central / State / Exchange / Clearing Member

NOTE: TSL hereby states and informs that it undertakes proprietary trading in addition to client based trading.

For Tradewell Securities Ltd

⑦
Client's Signature

SF 3
Signature of Sub-broker /
Authorised Person / Introducer



Authorised Signatory


TRADEWELL SECURITIES LIMITED

Corporate Office: Flat No.204, Anushka Trendz, BN Reddy Colony, Road No.14, Banjara Hills, Hyderabad-500034.

TARIFF APPLICABLE TO BENEFICIARY ACCOUNT OPENED ON CDSL

S.No.	Description	A) Investor having Broking A/C with TSL	B) Investor not having Broking A/C with TSL
1.	Account Opening Charges	NIL	NIL
2.	Annual Maintenance Charges	Rs.200/-	Rs.300/-
3.	Purchase(Market & Off Market)	NIL	NIL
4.	Sale (Market & Off Market)	Rs12/- per transaction (Including CDSL charges)	0.02% of value of the transaction. Minimum Charges Rs.17/- per transaction. Maximum Rs.25/-
5.	Dematerialisation	Rs.2/- per certificate+ Rs.25/- per Courier Charges	Rs.2/- per certificate+ Rs.25/- per Courier Charges
6.	Rematerialisation	A fee of 20/- for every 100 securities or part thereof subject to maximum fee of 5,00,000/-or a Flat fee of 20/-per certificate, which ever is higher payable on confirmation of the request. (Rs.25/-courier charges)	A fee of 30/- for every 100 securities or part thereof subject to maximum fee of 5,00,000/-or a Flat fee of 50/- per certificate, whichever is higher payable on confirmation of the request. (Rs.25/- courier charges)
7.	Pledge (Creation/Closure/Invocation)	0.02% of value of the pledge Minimum Charges Rs.24/- per transaction. Maximum Rs.50/-	0.02% of value of the pledge. Minimum Charges Rs.36/- per transaction. Maximum Rs.50/-
8.	Mutual Fund	Rs12/- per transaction (Including CDSL charges)	0.02% of value of the transaction. Minimum Charges Rs.17/- per transaction. Maximum Rs.25/-

Scheme Opted : ☐ A

☐ B

- Transaction cum billing statement will be sent monthly, provided if there would be transactions. If there is no transaction, the statement will be send once in a quarter. If customer wishes to receive account statement Daily / Weekly/ Fortnightly (refer the point "A/c Statement required" in application) an additional of Rs.15/- per statement will be charged.
- The above rates are based on the existing CDSL charges and will be revised on revision by CDSL. The Charges are also subject to revision by Tradewell Securities Ltd., from time to time with 30 days prior Notice.
- Service Tax as applicable would be levied.
- To open an investor account with limited Power Of Attorney customer should have a brokerage account or simultaneously open a brokerage account with Tradewell Securities Ltd. customer needs to execute one time limited POA (Doc Charges Rs.100/-) to avail hassle free, paperless "Automated Pay-in facility for his/her sale in Tradewell Securities Ltd., Broking Account

⑧

Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

NON-MANDATORY

VOLUNTARY GENERAL TERMS & CONDITIONS

The client and / or associate are required to note that the below mentioned clauses are non-mandatory as per the Exchange(s) / SEBI requirements but are binding on them if they want to avail the services of "The Member" Tradewell Securities Ltd., (hereinafter referred to as "TSL"). The client and / or associate may revoke any or all the clauses of this document by communicating in writing and in such an event TSL reserves a right to terminate some or all the services offered to them.

WHEREAS

- a). The term 'Client' shall mean and include client / customer or an investor who is registered with the associate / TSL as a client for purpose of availing broking services through the associate affiliated to TSL and is desirous of investing / trading in those securities / contracts / other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time.
- b). The term 'Associate' is referred to as Sub Broker / Branch Manager / Remissier / Authorised Person / Introducer affiliated with TSL and not affiliated to any other member of the same stock exchange and also has the necessary infrastructure like adequate office space, equipment and manpower to effectively discharge his / its activities.
- c). The term 'Member' shall mean and include a trading member, a broker or stock broker, who has been admitted as such by NSE / BSE and who holds a registration certificate as a stock broker from SEBI.

I/ We (name of the client hereinafter referred as 'client') having my / our office / residence address at

(and) I/ We AI (name of Sub Broker / Branch Manager / Remissier / Authorised Person / Introducer hereinafter referred to as "The Associate" having office / residence address at

..... registered as Clients / Constituents with **Tradewell Securities Ltd**,
CORPORATE MEMBER : THE NATIONAL STOCK EXCHANGE OF INDIA LTD. MEMBER ID:
12835, CORPORATE MEMBER : BOMBAY STOCK EXCHANGE LTD, MEMBER ID: 3187, SEBI
SINGLE REGISTRATION NUMBER : INZ000171936 hereinafter.. referred to as "TSL", which expression shall, unless repugnant to the context & meaning thereof, be deemed to mean and include it's successors, assigns and legal representatives, do hereby state and confirm the following Terms and Conditions as agreed upon by me/us with TSL.

1. The client wishes to state that his **EMAIL ID** is
TSL shall send digitally signed bills / contract notes (ECN) / margin statements, and other documents such as auto replies from the system of TSL, reports, letters, circulars, notices, statement of accounts for funds / securities, ledger statement / transaction statement / holding statement etc. to client on this e-mail id and shall be valid, legal and binding upon him. The client hereby explicitly agrees to receive and check all such mails regularly. The client also agrees that he will keep adequate space in his mailbox to receive all mails sent by TSL and non-receipt of bounce mail notification by TSL shall tantamount to delivery of electronic contract note to him. Any discrepancies / changes therefore shall be duly bought to the notice of TSL within 24 hours of sending such electronic mail. Non-receipt of any of these documents shall be intimated to TSL either through e-mail or in writing by the client. In case ECNs have not been delivered or rejected due to any reason, TSL shall send physical contract note to client.
2. The client wishes to state that his **Mobile No.** is and the client agrees to accept all Research **SMS** send by TSL on this mobile no.
3. It is presumed that the client has the necessary and compatible infrastructure (including personal computers, modems and telephones or alternative services) ready at its end for the purpose of accessing the web site of TSL or contacting the phone broking executive of TSL prior to accessing the service provided pursuant to these terms. TSL will not (and shall not be under any obligation to) assist the client in installing the required infrastructure or obtaining the necessary equipment permits and clearances to establish connectivity or linkages to the web site of TSL.
4. On the Client Registration Application Form being submitted by the client, TSL may, at its sole discretion, open the client account. This agreement shall become effective only upon TSL opening and activating such client account. The client / associate is / are aware and agrees that the mere execution and / or acceptance of this agreement(s) by TSL does not oblige TSL to open a Client Account. TSL reserves the right to accept an applicant as a client and is not obliged to disclose reasons for not accepting the applicant as a client. Once the account is activated, Client Registration Application Form will be maintained by TSL.

9 Signature of Client

5. TSL reserves the right to make such changes to this agreement as may be considered necessary from time to time. Changes by Stock Exchanges / other Regulatory shall be with immediate effect, other changes shall be effective from the time the client is notified thereof unless otherwise required by the Rules, Regulations & Bye - Laws of the Stock Exchange(s) or Rules & Regulations of SEBI.
6. The client confirms that he has no prior active trading account with TSL
7. TSL hereby states & informs that it undertakes proprietary trading in Cash & F&O segments of BSE & NSE in addition to client based trading.

TRADING:

8. TSL agrees to provide, and the client agrees to avail the trading facilities of the respective exchanges in cash and / or derivatives segment and / or currency derivative segment.
9. TSL is requested to accept client's verbal instructions to place / modify / cancel the orders and not insist for the same in writing. The client will not require order slip(s) and trade slip(s) generated by the computer system pertaining to his order / transactions.
10. The client / associate is aware that TSL tape - records the conversation between the client / associate or the client's representative and TSL, either personally or over the telephone, and the client hereby specifically permits TSL to use such records as evidence, as and when required to resolve disputes in connection with the transaction.
11. TSL may from time to time impose and vary limits on the orders which the client can place through TSL's Trading System (including exposure limits, turnover limits, limits as to the number and / or value and / or kind of Securities in respect of which orders can be placed, the companies in respect of whose Securities orders can be placed, etc.). The client is aware and agrees that TSL may need to vary or reduce the limits or impose new limits urgently on the basis of TSL's risk perception and other factors considered relevant by TSL, and TSL may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that TSL shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through TSL's Internet Trading System on account of any such variation, reduction or imposition of limits. The client understands and agrees that TSL may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in Securities through TSL.
12. The cancellation or modification of an order pursuant to the client's request is not guaranteed. The order will be cancelled or modified only if the client's request for cancellation or modification instruction is duly received and the order is successfully cancelled or modified before it is executed, Market orders are subject to immediate execution.
13. TSL and associate will not be responsible for partial execution of order placed by the client. The client also agrees that all orders placed by him shall be treated as orders for that particular day only and the same will not be carried forward for the next day.
14. TSL shall not take any responsibility for unexecuted orders. All on-line Best-Market orders would not be presumed as executed unless confirmed as trade by the respective exchanges trading system.
15. All the orders placed by client with TSL are on client's own account and not on behalf of his clients. The client shall not indulge in any sub-broking activities nor issue bills / contracts / confirmation notes to anyone else for the trades done by the client. The client therefore will not require split confirmation memos for orders executed by TSL on his behalf.
16. The securities sold through TSL on client's account are belonging to client as legal, rightful and beneficial owner/s. The client takes full responsibility of any dispute regarding the title of the securities sold through TSL and state that he will deal only in those securities that would be rightly owned by him.
17. Any queries related to securities delivered by TSL, would be brought to the notice of TSL within 2 days of the receipt of such securities in his demat account or otherwise it can be presumed that the client has checked all the securities received by him & in case of physical delivery they are good as per the prevailing norms.
18. The client shall not sell any securities until he has confirmed clear balances of holding of the same in his demat account. Further in case he buys securities in one Exchange and sells the same on another Exchange, or if he buys securities and sells back the same before having received them in our demat account, the client hereby confirms that he shall be fully responsible in the event of any auctions happening of his sale obligation, due to the deliveries having been received short from the purchasing exchange and / or due to the operational / procedural delays for inter depository and time taken by depositories to execute the same and / or for any reason whatsoever. Also all such consequences, auctions, penalties or any other financial loss or charges will be purely and entirely on client's account and TSL will in no way be responsible and / or liable for the same.

19. TSL and the client hereby agree that the procedure of sending the contract note, bills, ledgers, transaction statement, reports, letters, circulars, notices, statement of accounts for funds / securities etc. by post (ordinary or registered or speed or UPC), courier, hand delivery to the client is applicable only if so demanded by the client in writing to TSL. Any queries related to the client's contract and / or confirmation or bill shall be brought to the notice of TSL within 24 hours of the receipt of contract / confirmation and / or bill.
20. The client hereby authorizes TSL to send all correspondences including copy of contract notes, bills, ledgers, security statement & any other documents through mail to the concerned TSL dealing office / associate's office. The client also agrees to collect / receive and / or acknowledge receipt of the contract notes, bills, ledgers, cheques and any other documents send to associate through whom he transacts business with TSL.
21. In case, any document / correspondence sent through courier, the courier receipt of the same should be treated as confirmation of receipt of such documents.
22. While TSL would confirm the trades executed on client's account the same day evening, it would be client's duty to bring to the notice of TSL any discrepancy in TSL's trade confirmation the same day evening, failing which it is confirmed that the client have accepted the trade/s in total. It is understood and confirmed that TSL will not entertain any discrepancy regarding trade confirmation on the following day or at any point in time thereafter.
23. The Exchange may annul a trade suo moto without giving a reason thereof. In the event of such annulment, TSL shall be entitled to cancel the relative contract(s) with the Client.
24. Any delay that may occur in sending bills / contracts / payment of funds / deliveries of shares & securities by TSL, which may be due to procedural and / or operational reasons, is acceptable to the client.

PAYMENTS OF FUNDS AND SECURITIES:

25. All debits / charges incurred by TSL due to bad / short / delayed deliveries made by the client or due to the client's transactions / deeds / actions shall be fully recovered by TSL from the client.
26. For the purpose of this agreement the term "Dues of Client" shall include the amount of monies payable by the Client including, but not limited to, the purchase price of the securities, Brokerage, Margin money, Service Tax, Turnover Tax, Auction Debit and Charges, Services Charges, other statutory levies as applicable and other amount agreed to and payable by the client to TSL.
27. The client / associate hereby confirms to make payments for purchases and clear all debits before pay-in. TSL is authorized not to release securities purchased by the client unless the funds obligations have been paid in full. In case TSL does not receive funds before due date (i.e. pay-in date) they will have all rights to sell the securities without any further intimation to client / associate. The cost and consequences of such action shall be entirely client's responsibility and shall be without any prejudice to TSL right to take any other action to recover the dues.
28. The associate hereby explicitly agrees that the liability and responsibility of the client introduced at TSL, shall be coextensive with the associate inter-alia, if any such client so introduced defaults on fulfilling his / her obligation to TSL, then the said balance amounts shall become payable by the associate and TSL is within its rights to recover such amounts, so due, from the associate.
29. In case of shares purchased being sold the next day or later on the same exchange or any other exchange it is hereby reconfirmed that the client will make the payments first and then receive the payments on pay-out of the sale transactions.
30. The client agrees that it will not make any third party payment from any account (other than what is specified in the Account Opening Form). In case of such payment being made, the client agrees to intimate TSL, in writing of the same. The client also agrees that the broker may accept or reject such third party cheques / payment and the client will not hold the broker responsible for any loss incurred in such cases.
31. The client would maintain a running account with TSL. The client and / or associate also authorize TSL to hold the funds and securities in their custody till his further instructions given to TSL at least fifteen days in advance in writing or otherwise.
32. The client hereby agrees that he shall not deposit post dated cheques, excess payment cheques, if any, received from the associate for any reason whatsoever and bring it to the notice of associate and TSL. The client also agrees that he will not initiate legal proceedings against the associate and TSL in such case.
33. In case of delay in amounts payable in respect of daily margin, mark to market & other related margins, ledger debits and pay-in obligation by the client to TSL on its due date, TSL in respect of such delayed payment will charge interest. Interest will be levied at a maximum rate of 18% p.a. for the delayed period. In case the client fails to pay such dues, the associate hereby undertakes to pay the same on behalf of the client, however TSL will not be liable to pay interest to the client for credit lying with TSL.

34. The client further authorizes TSL to directly debit his account with any charges incurred or defined by TSL such as depository, Client Registration Application Form or bank charges with respect to client's trading accounts including those incidental to the margin accounts maintained by TSL on client's behalf.
35. Stamp duty, Turnover fees, Service tax, any other charges may be levied by TSL on contracts. The same is collected by TSL from the clients and paid to the necessary government agencies, exchanges, the professional clearing member, networking charges, etc. or to meet any specific expense of the organization. Any discrepancy regarding the same has to be brought to the knowledge of TSL within 24 hrs of receipt of the contract as per the Rules and Regulation and Byelaws of the different exchanges. These charges may differ from client to client, as decided by the management and/or based on turnover and/or the address of stay and/or segment traded and/or exchange traded, etc.

36. PROVISIONS OF MONEY LAUNDERING ACT 2002:

- a) The client / associate has read and understood the provision of Money Laundering Act 2002 applicable from 01.07.05.
- b) The client / associate agrees to comply with the said Act.
- c) The client / associate shall inform the Compliance / Principal Officer of TSL of series of transactions integrally connected to each other, which have been valued for more than 10 lakhs or its equivalent where such series of transaction take place within a calendar month.
- d) The associate hereby undertakes to introduce clients after proper due diligence of the clients including the background, references & sources of income and satisfying themselves of the identity & creditworthiness.
- e) The clients will categorised be into Low, Medium and High Risk clients based on the firm policy from time to time.
- f) The company will classify clients as Clients of Special Category and the same shall be subject to periodic review by the Principal Officer. i- Non resident clients; ii-High networth clients; iii-Trust, Charities, NGOs and organizations receiving donations; iv-Companies having close family shareholdings or beneficial ownership; v-Politically exposed persons (PEP) of foreign origin; vi-Current / Former Head of State, Current or Former Senior High profile politicians and connected persons (immediate family, Close advisors and companies in which such individuals have interest or significant influence); vii-Companies offering foreign exchange offerings; viii-Clients in high risk countries (where existence / effectiveness of money laundering controls is suspect, where there is unusual banking secrecy, Countries active in narcotics production, Countries where corruption (as per Transparency International Corruption Perception Index) is highly prevalent, Countries against which government sanctions are applied, Countries reputed to be any of the following — Havens / sponsors of international terrorism, offshore financial centers, tax havens, countries where fraud is highly prevalent; ix-Non face to face clients; x-Clients with dubious reputation as per public information available etc

MARGINS:

37. The client shall deposit with TSL money's / securities or other property, which may be required to open and / or maintain his account so long as the client desires to avail of the services provided by TSL. All moneys, securities, or other properties, which TSL may hold on client's account, shall be held subject to general lien for the discharge of Clients obligations to member under this agreement.
38. The client's funds / shares lying in the margin account may be used by TSL for the purpose of placing same as margin with the exchange and / or Clearing Member, in any form TSL may deem fit.
39. The amount of security margin deposited with TSL will always be interest free and TSL shall have the right to adjust the same against any outstanding dues in client's account or any such associated account operated by the client with TSL. In the event of closure of account with TSL, the balance of securities, deposit amounts (if any) shall be refunded only after all the transactions in client's accounts across segments are fully settled and / or intimation of closure in writing, which ever is later.

40. INVESTMENT ADVICE:

- a) The client acknowledges that TSL shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.
- b) The client agrees that in the event of TSL or any employee or official of TSL providing any information to the client, the client may act upon the same at the sole risk and cost of the client and TSL shall not be liable or responsible for the same.
- c) The client assumes full responsibility with respect to his investment decisions and transaction.
- d) TSL, its officers, directors, agents and affiliates will have no liability with respect to any investment decisions or transactions with client.

- e) TSL does not intend to give and the client acknowledges that TSL shall not be liable to provide to the client, any tax, legal or investment advice of any kind or any advice or opinion with respect to the nature, potential value or suitability of any particular securities trade, transaction, investment or investment strategy.
- f) The client understands and agrees that in case the client receives or accesses any investment research reports or any investment or other recommendations or advice from TSL/ any associates/ any employee/ official of TSL or associate/ on TSL's website or that of any associates, the same is on a no-liability, no guarantee, no-solicitation and no-obligation basis. Any decision, action or omission thereon by the client shall be entirely at the client's risk and should be based solely on the client's own verification of all the relevant facts, financial and/or circumstantial and/or a proper evaluation thereof and/or the client's investment objectives. TSL shall not be responsible or liable for the same for any reason whatsoever.

GENERAL:

- 41. The client / associate is aware that TSL will combine the ledger statement in respect of transaction entered into on different exchanges for the purpose of convenience of TSL and the client and the payment received and paid by TSL will be appropriated on a first-in-first out basis.
- 42. While TSL confirms to send quarterly statement to client, it is client's duty to inform the associate / TSL for the non receipt of the same. Any discrepancy in the statement shall be brought to the notice of TSL by the client in the writing within thirty (30) days from the receipt of same, failing which the statement appearing in the books of TSL shall be deemed to be correct and accepted by the client.
- 43. The client agrees to download his account statement/other documents from TSL's **www.tradewell.in** on regular basis and retain such records. (The client should take all the necessary steps to ensure confidentiality and secrecy of the login name and password. In case of his inability to access the system the client should lodge a complaint with TSL; else it would be presumed that all the documents have been properly accessed.) Any discrepancy in the account statement shall be brought to the notice of TSL by the client in the writing within seven days from the end of the month, failing which the account statement appearing in the books of TSL shall be deemed to be correct and accepted by the client.
- 44. The client and associate, individually and jointly shall indemnify and shall always keep indemnified TSL harmless from and against all claims, demand, actions, proceeding, loss, damages, liabilities, charges and /or may be occasioned to TSL directly or indirectly, owing to bad delivery (as defined by the exchange rules / regulations / byelaws) of shares / securities and / or as a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the client during the course of its dealing / operation on the Stock Exchange. The client hereby agrees to indemnify TSL and associate against all claims including legal costs incurred to defend any claims made by the client. The associate hereby agrees to indemnify TSL against all claims.
- 45. The client shall always keep himself abreast of all requirements to be complied by him under various laws including the Foreign Exchange Management Act (FEMA), 1999 & SEBI Act, 1992 wherever applicable and the rules, regulations, directions, circulars, notifications or guidelines issued under or pursuant to the relevant laws.
- 46. The client agrees that it will not indulge in manipulative trades or indulge in any sort of activity related to the trading in securities, which are prohibited under law.
- 47. The client agrees to furnish such details including details as regards financial position, assets, liabilities etc. every year and as and when required to do so by TSL or associate.
- 48. Corporate benefits/actions like Rights issued/Open offers etc. where shareholders are required to apply to the company, it is client's responsibility to track announcements of such corporate benefits and apply to the company, if clients so desires.
- 49. TSL shall ensure due protection to the clients regarding client's right to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the clients with whom and for whom it may have had transactions in Securities. TSL shall not be liable for any real / notional loss suffered by the clients, if the client fails to apply for such corporate benefits in time for the shares held by TSL on behalf of the client. In some cases, TSL at the client's request may apply on behalf of the client for the Rights issued /Open offer for the shares held by TSL on behalf of client. TSL shall not be liable for any loss / claim whatsoever in case such application is rejected by the Registrar / Company Manager to the issue for any reason.
- 50. TSL reserves the sole and exclusive right to determine the Channels through which the client may access / receive the Services. TSL reserves the right to, from time to time, discontinue the availability of any Channel to the client without any prior notice and without assigning any reasons whatsoever for such discontinuance.

51. TSL will not be held responsible for any loss that may occur due to technical failure / natural calamities / theft / fire, etc. or any other reason which may be beyond the control of TSL.
52. Unless the client informs TSL of the change of address for communication in writing all communications or mail sent to the existing address shall be deemed to have been received by the client irrespective of whether they are actually received or not.
53. TSL and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in / be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be. The Client is aware and accepts that in view of the nature of the transactions and dealings involved in providing the Service it may not be possible for TSL to give advance notice of such termination or suspension to the Client.
54. In the event of any provisions of this Agreement being held to be or becoming invalid, unenforceable or illegal for any reason, this Agreement shall remain otherwise in full force apart from the said provision which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.
55. No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of this Agreement shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provision of this Agreement or be considered to be a waiver of any right unless specifically agreed in writing.
56. Any claim, dispute or difference arising between the Parties hereto in respect of this Agreement or any contracts, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Agreement or the interpretation or construction of this Agreement shall be subject to the grievance redressal procedure of the Exchange and shall be subject to the arbitration procedure as prescribed by the Exchange Provisions only.
57. Any notice, information or other communication to be given by the client or / associate to TSL in connection with this Agreement shall be to the attention of the person set out as: The Compliance Officer, TRADEWELL SECURITIES LTD, Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14, Banjara Hills, Hyderabad-500034
58. Under SCHEDULE II of the Securities and Exchange Board of India (Stock Brokers and Sub-brokers) Regulations, 1992, under CODE OF CONDUCT FOR STOCK BROKERS [Regulation 7] 13. Duty to the Investor, as per Clause (5) Business of Defaulting Clients: "A stock-broker shall not deal or transact business knowingly, directly or indirectly or execute an order for a client who has failed to carry out his commitments in relation to securities with another stockbroker. The Client understands that he is required to provide TSL with details of any dispute or default with any other stock broker / trading member and that he must keep that information updated as and when developments occur in that regard. In order to be able to fulfill this statutory requirement as well as to ensure that genuine investors are not put into increased risk of losing their funds or securities lying with TSL due to a default by TSL caused by any fraudulent or defaulting client who may habitually commit fraud or default on TSL, the client hereby expressly authorizes TSL to disclose/ provide to any trade body, association of stock brokers / trading members including the Association of National Exchanges Members of India (ANMI), related website(s), or any organization which maintains such a dispute or default database for the purpose of sharing the information with stock brokers / trading members, his registration and identification details, his transactions and accounting details as well as any other details relating to any dispute with the client (sufficient if deemed as dispute by TSL), or default by the client, in fulfilling his obligations to TSL. The Client agrees and confirms that he shall not act or make any claim against any body or organization or database to whom such information is furnished and upon settlement with TSL shall have the information removed through TSL.

I / We hereby reconfirm and accept all the terms and conditions mentioned here in above. Date:

CLIENT

⑩

Signature:

Name:

ASSOCIATE

SF 4

Signature:

Name:

ANNEXURE - B1

RUNNING ACCOUNT AUTHORISATION

Tradewell Securities Limited
Flat No.204, Anushka Trendz
BN Reddy Colony, Road No14
Banjarahills, Hyderabad-500034

Date:

Dear Sir / Madam,

I / We are dealing through you as a client in Capital Market and / or Future & Option segment and / or Currency segment and / or Interest rate future segment. In order to facilitate ease of operations and upfront requirement of margin for trade I / we authorize you as under:

- a) I / We request you to maintain running balance in my account & retain the credit balance in any of my / our account and to use the unused funds towards my / our margin / pay-in / other future obligation(s) at any segment(s) of any or all the Exchange(s) unless I / we instruct you otherwise.
- b) I / We request you to retain securities with you for my / our margin / pay-in / other future obligation(s) at any segment(s) of any or all the Exchange(s) unless I / we instruct you to transfer the same to my / our account.
- c) I / We agree to settle and / or request you to settle my fund and securities account once in every quarter or once in a month as below mentioned or such other higher period as allowed by SEBI / Stock exchange from time to time except the funds given towards collaterals / margin in form of Bank Guarantee and / or Fixed Deposit Receipt. I agree to settle my account and / or kindly settle my account, for funds and / or securities
☐ Quarterly or ☐ Monthly (If no check box is selected, Settlement will be done *QUARTERLY*)
- d) In case I / we have an outstanding obligation on the settlement date, you may retain the requisite securities / funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next five trading days, calculated in the manner specified by the exchanges.
- e) I / We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within seven working days from the date of receipt of funds / securities or statement of account or statement related to it, as the case may be at your registered office. After that I / we shall have no right to dispute the transaction, funds and / or securities ever and agree that you shall not be liable for any incidental loss / damage caused due to retention of fund and / or securities. I / We request you to retain **an amount of up to Rs. 10,000/-** (Net amount across segment and across stock exchanges) in case of active.
- f) I / We further agree and confirm that the powers and authorities conferred by this Authority shall be in force / continuous and the same can be revoked by me / us any time by giving adequate intimation in writing to TSL.
- g) I / We confirm you that I can revoke the above mentioned authority by giving 15 working days notice in writing to you.

Thanking you.

Yours Truly, (11) 

Client's Signature:

Client's Name:

ANNEXURE- B2

AUTHORITY LETTER

Tradewell Securities Limited
Flat No.204, Anushka Trendz
BN Reddy Colony, Road No14
Banjarahills, Hyderabad-500034.

Date:

Dear Sir,

In reference to my / our dealings with you as your constituent, I / we hereby authorize the following persons to collect and acknowledge various documents such as contracts, bills, ledger statements, cheques or any other documents on my / our behalf and the same will be binding on me / us:

Sr. No.	Name	Full Signature	Initials

Thanking you.

Yours Truly, (12) 

Client's Signature:

Client's Name:

ANNEXURE- B3

CONSENT FOR INTRA / INTER SEGMENT, INTER EXCHANGE MOVEMENT OF FUNDS

To,
Tradewell Securities Limited
Flat No.204, Anushka Trendz
BN Reddy Colony, Road No14
Banjarahills, Hyderabad-500034.

Date:

Dear Sir,

I / Weregistered with Tradewell Securities Ltd (TSL) as clients / constituents on the BSE and / or NSE on Cash and / or Derivatives and / or Currency derivative and/or Mutual Fund segment(s) and having a Depository Account with TSL, member CDSL do hereby authorize you as under:

To move / transfer funds from any / all my / our account(s) and / or pay-outs resulting on account of sale of shares and securities and / or pay/outs due to settlement / closing of contracts and / or margin refunds from Cash and / or F&O and / or Currency Derivatives segment(s) of BSE and / or NSE and adjust the same towards debit balances in any / all my / our accounts of Cash and / or F&O and / or Currency Derivatives segments of and/or Mutual Fund BSE and / or NSE debit balances in depository account and / or any other debits and / or payments.

I / We also understand that this would save on banking and / or operational delays and cost towards transfer of funds between an account where I / we have a credit balance to an account where I / we have a debit balance. Further, you are authorized to do the transfer, either by passing a journal entry in your books of accounts of the respective section / department and / or by physical exchange of cheques.

I / We have affixed signatures herein below consenting to the above and the same shall be in force until I/we revoke it in writing.

Thank You.
Your's Truly,

⑬

Signature:

Place:

Name/s:

Client Code:

ANNEXURE- B4

BANKER VERIFICATION LETTER FOR PERSONAL DETAILS

Tradewell Securities Limited
Flat No.204, Anushka Trendz, BN Reddy Colony, Road No14
Banjarahills, Hyderabad-500034.

Bank stamp
across
photograph

Dear Sir,

This is to certify that the savings/current account no.

of Mr. / Ms. / M/s

having office / residence at

..... held our branch, has been active since years / months and the operation of the account has been satisfactory. We further confirm that the photograph herein bears true likeness to the identity of the above mentioned person :

⑭

Client's Signature

Signed in my presence and Attested:

Name & Sign of the Branch Manager:

Stamp of the Bank & the Branch:

ANNEXURE- B5

AUTHORISATION LETTER FOR DEBITING D.P. CHARGERS (OPTIONAL)

To,

Date :

The Branch Manager,
Tradewell Securities Limited
Flat No.204, Anushka Trendz, BN Reddy Colony,
Road No14, Banjara Hills, Hyderabad-500034.

Sub: Debiting my Broking account towards charges.

Ref: Broking A/c. No Branch
DP A/c. ID with DP

Dear Sir,

I / We hereby authorise you to debit my / our Broking account No For all
the charges relating to the above Mentioned Demat Account

In case if I wish to withdraw this authorization I shall inform TSL in writing and acknowledge by TSL atleast one
week in advance from the date of withdrawal.

Thanking you,
Yours sincerely

Signature: Place:
(15)

Name/s: Client Code:

ANNEXURE- B6

DISCLOSURE OF PROPRIETARY TRADING BY TRADEWELL SECURITIES LTD. (TSL)

To,
Sir,

This is to inform you that we do client based trading and Pro-account trading in National Stock Exchange of India
Ltd. (NSE) / Bombay Stock Exchange Ltd. (BSE).

Thanks and best regards,

Sd/
Director
Tradewell Securities Ltd., Hyderabad

I acknowledge the receipt of information given above bythat they do Client base trading
and Pro —account trading.

Client name: Client Signature:
(16)

(Note: To be signed by person himself / herself not to be signed by his / her attorney / authorised person etc,)

ANNEXURE - B7**OPTIONAL****CONSENT LETTER ELECTRONIC CONTRACT NOTE (ECN)**

The Manager,
Tradewell Securities Limited
Flat No.204, Anushka Trendz
BN Reddy Colony, Road No14
Banjarahills, Hyderabad-500034.

Date :

I/We are a client with your _____ branch and our UCC is _____
With reference to SEBI circular No MRD/DoP/SE/Cir-2005 dated September 08, 2005, I/We are desirous to avail the facility of electronic notes.

I/We would request you that henceforth i.e. from _____ onwards you are requested to send my/our contract notes through email on my/our email id _____

You are also requested to send the copies of the contract notes, funds ledgers, securities ledgers, bills, daily margin statements and other documents/communications, meant for me/us, on this email ID. I/We shall access this email ID on a regular basis to view our contract notes, funds ledgers, securities ledgers, bills, daily margin statements and other documents/communications sent by TSL.

I/We shall ensure that this email ID is kept valid and any change in my/our above email ID shall be communicated to you in writing.

In case the email containing the contract note bounces, I am aware that TSL will send the physical contract note through courier / post to the address given in the KYC. I further agree and understand that non-receipt provided by me.

I am also aware that copies of the contract notes are also available in TSL website for which I will be provided with an USER ID and password.

In case I wish to withdraw this facility I shall inform TSL in writing atleast one week in advance from the date of withdrawal

Thanking You,
Yours faithfully

⑰ 

Signature of the Client: _____

Name of the Client : _____

Client Code : _____

ANNEXURE - B8
DECLARATION BY KARTA IN CASE OF HUF ACCOUNT

HUF Account :

Name of the Karta: Mr **Dated:**

I hereby declare that following are the Co-parceners of the aforementioned HUF Account as on date. I further undertake to inform you the death or birth of a Co-parceners or any change occurring at any time in the membership of our Joint family during the currency of the account.

Sr. No.	Name of the Co-Parceners	Date of Birth	Sex	Relationship with Karta	Signature

18

Signature of Karta :

ANNEXURE - B9
FORMAT FOR AUTHORITY LETTER TO BE GIVEN BY PARTNERSHIP FIRM ON LETTERHEAD

To,
Tradewell Securities Limited
Flat No.204, Anushka Trendz, BN Reddy Colony,
Road No14, Banjara Hills, Hyderabad-500034.

Date:

Dear Sirs,

In reference to our present / proposed dealings with you as your constituent, we declare and authorise you as under:

1. We hereby authorise Mr. / Ms..... or Mr. / Ms..... or Mr. / Ms. , partners of the firm singly to execute/sign and submit various papers and documents and to sell, purchase, transfer, endorse and negotiate and do all other things that may be necessary to engage in business with Tradewell Securities Ltd. on behalf of the firm and to sign the authority letter for adjustment of balances in family accounts.
2. We recognise that a beneficiary account can not be opened with a depository participant in the name of a partnership firm as per law. To facilitate the completion of securities transfer obligations pursuant to dealings with you, we authorise you to recognise the beneficiary account no..... with depository participant..... (DP ID) opened as a joint account in the names of the partners of the firm. We recognise and accept transfers made by you to the said beneficiary account as complete discharge of obligations by you in respect of our dealings with you.
3. However we agree that all the partners have implied authority to act on behalf of the firm and actions of any other partner will be binding on the firm.

Thanking you,

S.No.	Name of the Co-Parceners	Signature

ANNEXURE - B10

FORMAT FOR BOARD RESOLUTION IN CASE OF CORPORATES / TRUSTS ON LETTERHAED

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS / TRUSTEES OF AND HAVING ITS REGISTERED OFFICE AT HELD ON DAY OF 20..... AT.....AM / PM.

"RESOLVED THAT the Company / Trust be registered as client with Tradewell Securities Ltd., Member of Bombay Stock Exchange Ltd (BSE), National Stock Exchange of India Ltd. (NSE) and member Central Depository Services Ltd (CDSL) for the purpose of dealing in equities, derivatives, debentures, debts, open securities account and other products and the said Member be and is hereby authorised to honour instructions oral or written, given on behalf of the Company / Trust by anyone of the following authorised signatories:

Sl.No	Name	Designation	Signature

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

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

RESOLVED FURTHER THAT all the Directors would have authority to act on behalf of the Company and actions of any directors will be binding on the Company.

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of any one/ two Directors of the Company and Company Secretary who shall sign the same in token of their presence."

Certified true copy

For

**Directors / All Trustees
(Other than mentioned above)**

**A COPY OF ANY OF THE FOLLOWING TO BE SUBMITTED AS PROOF OF
IDENTITY / PROOF OF ADDRESS.**

DOCUMENTS SUBMITTED : (PLEASE TICK APPROPRIATE BOXES)

Sr. No.	Documents Accepted (Copies to be certified as "Verified with the originals") In person verification also to be completed by Tradewell staff.	Documents Collected from Applicant(s)					
		Proof of Identity			Proof of Address		
		1 st	2 nd	3 rd	1 st	2 nd	3 rd
1	PAN card with photo (Mandatory)						
2	Passport (Name , address, photo pages and Last stamping pages)						
3	Voter Identification card (front and back)						
4	Driving License (Name , address and photo pages)						
5	Unique Identification Number (UID / Aadhaar Card)						
6	Ration Card						
7	Bank Passbook / Statement Not more than 3 months old (With latest entry / date of statement with stamp) / Letter from Bank with Banker seal and sign.						
8	Electricity Bill (Not more than 3 months old)						
9	Telephone Bill (Landline) (Not more than 3 months old)						
10	Registered Lease and License agreement / Agreement for sale						
11	Self - declaration by High court & supreme court judges , giving the new address in respect of their own accounts						
12	Identity card / Document with address , issued by central / state Govt. & its dept ., statutory / Regulator)- Authorities. Public Sector Undertakings. Schedule Commercial Banks.						

Details of POI (Proof of Identity) , POA (Proof of address) submitted :

Holder	Document Collected	Unique No. of the Document	Place of issue	Issue Date	Expiry Date
First (POI)					
First (POA)					
Second (POI)					
Second (POA)					
Third (POI)					
Third (POA)					

For Branch Use		For DP use				
Application Scrutinized by Employee Name & No			Application Scrutinized by	Application Scanned by	Account activated by	System Data verified by
Signature		Emp.Name & No.				
		Signatures				
For Auditor use		Name		Signature		

Checklist for Individual / Minor / HUF / NRI / Applicant (S):

	For the Applicant's		For DP use	
	Yes	No	Yes	No
General				
Application from filled in CAPITAL Letters				
Self-attested copy of PAN submitted by ALL applicants.				
Incase the photo on PAN copy is not clear , another self attested ID enclosed				
Self-attested copy of Address proof of ALL the applicants enclosed				
Application Form				
Photo on the form matches with ID Proof .				
Blank columns duly cancelled				
Corrections if any , are duly authenticated by ALL the applicants				
Name on the form is exactly as on PAN card				
Address on the form is exactly as the proof.				
Address provided is complete with PIN code.				
Photograph affixed and signed across , i.e.part of the signature is on the form				
Bank account details of sole/1st applicant				
Copy of cancelled cheque leaf is provided				
Bank Account number mentioned is same as of the cheque leaf copy provided.				
Type of Account mentioned				
Complete address of the bank ,i.e Name & Address in full with pin code is provided.				
MICR number dully filled-in				
Nomination form (Applicable only for individual & NRI accounts)				
Photograph of the Nominee affixed and signed across . i.e; part of the signature is on the form				
In case of Minor Nominee, Photograph of both Minor and Guardian with signature across is available				
In case of Minor Nominee . Guardian's PAN provided				
Witness signature of 2 persons , with their full name and complete address				
Depository Participant (DP) Agreement				
Date of execution is after the stamp paper date				
Signature of All the applicants made wherever mark is provided.				
Witness signature , Full Name and complete address				
Debit Authorisation (Only for TSL Trading Account Holders)				
TSL Trading Account Holders Will be debited for recovery of demat account charges				
Signature of Broking Account Holder				
Schedule of charges				
Signed by ALL the applicants				
Power of Attorney , if applicable				
Notarised copy with signature of both Donor and Donee				
Photograph of POA holder				
Consent letter signed by the Donor and Donee				
HUF Account				
Coparceners declaration as per format provided (with Name, Age. Gender and Relationship]				
NRI Account				
RBI Approval is attached.				
Address Proof for foreign address				
Others (Please specify)				

DP ID	1	2	0	5	2	7	0	0	Client ID	0	0	0					
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--

Additional KYC Form for Opening a Demat Account

TRADEWELL SECURITIES LIMITED

Email : dp@tradewellmail.com, info@tradewellmail.com, Website: www.tradewell.in

(To be filled by the Depository Participant)

☐ Individual

☐ NRI

☐ Foreign National

Application No.											Date	D	D	M	M	Y	Y	Y	Y
KYC Code																			
DP ID	1	2	0	5	2	7	0	0	Client ID	0	0	0							

(To be filled by the applicant in BLOCK LETTERS in English)

I/We request you to open a demat account in my/ our name as per following details:-

Holders Details

Sole / First Holder's Name		PAN	
		UID/ Aadhaar	
Second Holder's Name		PAN	
		UID/ Aadhaar	
Third Holder's Name		PAN	
		UID/ Aadhaar	

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.

Type of Account (Please tick whichever is applicable)

Status

Sub – Status

☐ Individual	☐ Individual Resident ☐ Individual Director's Relative ☐ Individual Promoter ☐ Individual Margin Trading A/C (MANTRA)	☐ Individual-Director ☐ Individual HUF / AOP ☐ Minor ☐ Others(specify)
☐ NRI	☐ NRI Repatriable ☐ NRI Repatriable Promoter ☐ NRI – Depository Receipts	☐ NRI Non-Repatriable ☐ NRI Non-Repatriable Promoter ☐ Others(specify)
☐ Foreign National	☐ Foreign National ☐ Foreign National - Depository Receipts ☐ Others(specify)	

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

Guardian's Name		PAN	
Relationship with the applicant			

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] ☐ Yes ☐ No
I/We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my / our end (If not marked, the default option would be 'No')	☐ Yes ☐ No
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I/We would like to receive the Annual Report	☐ Physical ☐ Electronic ☐ Both Physical & Electronic (Tick the applicable box, If not marked the default option would be in Physical)
I/We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)	
IFS Code (11 character)	
Account Number	
Account type	☐ Savings ☐ Current ☐ Others (specify)
Bank Name	
Branch Name	
Bank Branch Address	
City	State
Country	PIN code

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

COMMON NOMINATION FORM FOR TRADING AND DEMAT ACCOUNT

BOID : _____

Nomination Registration No.	Dated
-----------------------------	-------

Nominee
Photo

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

- ☐ I/We **do not wish to nominate any one for this demat and trading account.**
- ☐ I/We **nominate** the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my / our death.

Full Name of the Nominee					
Address					
City		State			
Country		PIN code			
Telephone No.		Fax No.			
PAN		UID/Aadhaar			
E-mail ID					
Relationship with BO (If any)					
Date of birth (mandatory If nominee is a minor)					

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I/We appoint following person to act as **Guardian**:

Full Name of Guardian of Nominee				
Address				
City		State		
Country		PIN code		
Telephone No.		Fax No.		
E-mail ID				
Relationship of Guardian with Nominee				

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Note : Two witnesses shall attest signature(s) / thumb impression(s)

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

I / We have received and read the Rights and Obligations document and 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 agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. 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.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures ⁽¹⁹⁾			

(Signatures should be preferably in black ink)

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

(20) ➡

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that *"no charges are payable for opening of demat accounts"*
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/ Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

(21) ➡

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

TERMS AND CONDITIONS -CUM-REGISTRATION / MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL SMS ALERTS WILL BE SENT BY CDSL TO BOS FOR ALL DEBITS AND FOR ALL CREDITS AS WELL.

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, Dalai 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 accountholders 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 on going 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, immediate) , which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints www.cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non -availability of the service in any manner whatsoever.

9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

I/we providing the service as outlined above shall be governed by the laws of India and will subject to the exclusive jurisdiction of the courts in Mumbai.

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	5	2	7	0	0		0	0	0						
---	---	---	---	---	---	---	---	--	---	---	---	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client Id)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which
Messages are to be sent

+91														
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of: _____

Email ID: _____

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

(24)

Signatures

Sole / First Holder

Second Holder

Third Holder

Place: _____

Date: _____

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Services offered by CDSL**1. Definitions:**

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

- I. "Depository" means Central Depository Services (India) Limited (CDSL)
 - II. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - III. "Service provider" means a cellular service provider(s) with whom the depository has entered /shall enter into an arrangements for providing the TRUST service to the BO.
 - IV. "Service" means the service of providing facility to receive / give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - V. "Third party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time.. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP/ CDSL will not be held liable for acting on SMS so received
 6. The BO shall be responsible for submitting response to the "Responsive SMS" within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. Incase of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the messages for confirmation of a transaction to the BO only if the Clearing Member (registered by BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, If any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.

13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of said facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. **Indemnity:**
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. **Disclaimer:**
Depository shall be absolved of any liability in case :-
 - a) There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b) There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider
 - c) There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

26

Signatures

Sole / First Holder

Second Holder

Third Holder

Place: _____

Date: _____

MANDATE / AUTHORISATION LETTER FOR DEBITING CHARGES

To
The Manager
Tradewell Securities Limited
Flat No.204, Anushka Trendz BN Reddy Colony,
Road No14 Banjarahills, Hyderabad-500034.

Branch _____

Sub . : Debiting my Broking account towards
charges. Ref . : Broking A/C. No.

DP ID	1	2	0	5	2	7	0	0	Client ID	0	0	0					
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--

Dear Sir,

I / We hereby authorize you to debit my / our Broking account No. _____ for all the charges relating to the above mentioned Demat Account.

Please treat this authorisation as irrevocable till further instruction from my / our side is received in writing and duly acknowledged by TSL.

Thanking You,

Yours Sincerely

Name _____
Sole / All the Joint Holders

(27) 

Signature _____
Sole / All the Joint Holders

IN-PERSON VERIFICATION OF APPLICANT(S)

Verified the identity of all applicants

DP Name : **TRADEWELL SECURITIES LTD.**

DP ID : 12052700

Name of the Employee :

Branch / Service Centre :

Signature :



Place :

Date :

(28) 

Name _____
Sole / All the Joint Holders

Signature _____
Sole / All the Joint Holders

For NRI / FN Client : The KYC documents are to be attested by the Indian Embassy/ Consulate general of the Country where NRI/FN is residing.

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	☐ Yes ☐ No																								
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and conditions Annexure - 2.6	I wish to avail the TRUST facility using the mobile number registered for SMS alert facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same ☐ Yes ☐ No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST																									
	<table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)										<table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)									
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Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)																								
Easi	To register for easi, please visit our website www.cdsIndia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.																									

ANNEXURE - B11
CONSENT TO RECEIVE TRANSACTION STATEMENT ON E-MAIL.
APPLICABLE ONLY FOR DP ACCOUNT

TRADEWELL SECURITIES LIMITED

Flat No.204, Anushka Trendz,
 BN Reddy Colony, Road No.14
 Banjarahills, HYDERABAD-500034.

Sub :- Consent to receive Transaction Statement on E-mail.

This is with reference to my/our above Demat Account opening form and the Arrangement between me/us and Tradewell Securities Ltd with regard to the same. I/We understand from you that a facility is being granted wherein I/we can get access to the transaction statements in respect of my/our above demat account in the website of the Depository Participant or in the e-mail address provided by me/us to the Depository Participant. I/We are also aware that the said facility is available subject to me/us complying with certain terms and conditions as prescribed by Central Depository Services (India) Limited (CDSL). I/We have requested Tradewell Securities Ltd to provide me the facility of accessing the transaction statements in the e-mail account provided by me and Tradewell Securities Ltd has agreed to the said request. In consideration of Tradewell Securities Ltd agreeing to allow me/us to avail the said facility I/we agree to the following terms and conditions:

- 1) I/We are aware that on availing this facility transaction statements will not be received in paper form.
- 2) I/We will take all necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/e-mail account.
- 3) I/We am/are aware that the transaction statement may be accessed by other entities in case the confidentiality secrecy of the login name and password is compromised and I/we will not hold responsible Tradewell Securities Ltd for:
any breach of secrecy.
- 4) I/We shall not hold Tradewell Securities Ltd liable if any problem arises with my/our computer network because of me/i us receiving statements.
- 5) I/We are authorized by the other holders to receive the statements on their behalf in e-mail IDs provided to Tradewell Securities Ltd.
- 6) I/We shall immediately inform Tradewell Securities Ltd regarding any change of e-mail address provided by me/us for receiving the transaction statements.
- 7) I/We shall not hold responsible Tradewell Securities Ltd, if we do not receive statement due to incorrect e-mail IDs and/technical reasons.
- 8) I/We are aware that both the parties have the right to terminate the said facility on providing a 10 days advance written notice to the other party.
- 9) Please note the e-mail ID : _____

Name & Signature of Sole /1st Holder

Name & Signature of 2nd Holder

Name & Signature of 3rd Holder

Name _____

Name _____

Name _____



ANNEXURE - B12
MOBILE & E-MAIL DECLARATION

From:

Date:

Name of Client: _____

Client Code (Trading A/c): _____

Demat A/c No. with TSL: _____

Name of Sub Broker: _____

PAN _____

To

Tradewell Securities Limited

Flat No.204, Anushka Trendz,

BN Reddy Colony, Road No.14

Banjarahills, Hyderabad-500034.

Dear Sir,

Sub: Updation of Mobile No. and/or Email

You are requested to please update my Mobile No. and/or Email Id in the Trading/Demat account(s) of myself & my following family members) who is/are also maintaining trading and/or demat account with TSL and record my PAN as Master PAN in the Client Registration System;

Mobile No.	
Email Id	

Details of Clients for whom my Mobile No. / Email Id to be used:

S. No.	Name of Client	Client Code	Demat A/c No	Relationship*	ECN, ST&H & EC# Required	Signature of Client
					Yes / No	
					Yes / No	
					Yes / No	
					Yes / No	
					Yes / No	

***Self / spouse/ dependent major children/minor children for demat a/c only/ dependant parents only**
Electronic Contract Note (ECN), Statement of Transaction and Holding (ST&H) and Electronic Communication (EC)

In case of any change in the Mobile No. and/or Email Id., I/we shall communicate the same in writing.

Yours faithfully,

30 

(Signature of Client)

(Signature of Sub-broker)

ANNEXURE - B13
FORM FOR REGISTRATION AND VERIFICATION OF
MOBILE NUMBER AND EMAIL ADDRESS

Date:

TRADEWELL SECURITIES LIMITED

Flat No.204, Aushka Trendz
 BN Reddy Colony, Road No.14
 Banjara Hills, Hyderabad-500034.

We/ I are/ am aware that and Bombay Stock Exchange of India Ltd. (BSE) / National Stock Exchange (NSE) provides SMS / email alerts to the constituents (Clients) of its member for trades executed on its platform. We / I hereby provide and confirm my / our mobile number and / or email address as stated below for the purpose of receipt of SMS / email alerts.

- ☐ I want to receive transaction alerts in SMS as well as Email from BSE / NSE
- ☐ I want to receive transaction alerts only in SMS from BSE / NSE
- ☐ I want to receive transaction alerts only in Email from BSE / NSE
- ☐ I do not want to receive any transaction alerts from BSE / NSE, specify reason
-

The alerts should be sent on :

Mobile number (enter 10 digit mobile number):

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

Email Id:.....

We / I agree to the terms and condition specified by the Exchange in its circular no. as modified from time to time. We / I are/am aware that the receipt of SMS / Email alerts on the above mobile number and/or email address can be stopped only on our / my written request.

31 

Name of the Client:..... Signature:.....

Client ID:.....

ANNEXURE - B14
BSE StARMF / NSE MFSS

VOLUNTARY

Date : _____

TRADEWELL SECURITIES LIMITED

Flat No.204, Aushka Trendz

BN Reddy Colony, Road No.14

Banjarahills, Hyderabad-500034.

Client Name : _____

Address : _____

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StARMF and NSE MFSS.

I/We shall ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and/or Association of Mutual Funds of India (AMFI) and / or any other regulatory authorities.

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Scheme with respect to which I/we choose to subscribe/ redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in BSE StARMF and NSE MFSS.

Thanking you,
Yours faithfully,

Signature of all DEMAT holders.

S.No.	Name	PAN	③② Signature
1			
2			
3			
			

ANNEXURE - B15

POA FOR PAY-IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT

TO ALL TO WHOM THESE PRESENTS SHALL COME I/We _____

(33) 

(name of the BO), India, Indian inhabitant SEND GREETINGS.

Whereas I/We hold a Beneficiary account no. _____ (34) 

(BO-ID) with Central Depository Services (India) Limited, through Tradewell Securities Ltd bearing DP-ID 12052700 and **Trading Account No.** _____ with **Tradewell Securities Limited.**

And Whereas I/We am/are an investor engaged in buying and selling of securities through Tradewell Securities Ltd., a member of a Bombay Stock Exchange Limited (BSE) bearing SEBI registration no. INB 011283539 and National Stock Exchange Limited (NSE) bearing SEBI registration No. INB 231283533 & INF 231283533.

And Whereas due to exigency and paucity of time, I/we am/are desirous of appointing an agent/ attorney to operate the aforesaid beneficiary account on my behalf for a limited purpose in the manner hereinafter appearing:

And Whereas the Tradewell Securities Limited, maintains CM BP a/c No. 1205270000006097 (NSE Cash); a/c No. 1205270000006063 (BSE Cash), 1100001000015983 (BSE Early Pay-in), 1100001100016890 (NSE Early Pay-in) Tradewell Beneficiary accounts 1205270000000023, 1205270000000038 being maintained with CDSL and CM BP a/c No. IN514322-IN301022-21385985 (NSE Cash); a/c No. IN631878 - 21373088 (BSE Cash) a/c No. 21411979-IN301022 (margin) being maintained with NSDL.

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/WE THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT **Tradewell Securities Limited** as my/our attorney and in my/our name to do instruct the aforesaid Depository Participant to debit securities and/or to transfer securities from the aforesaid account for the purpose of delivering the same to the clearing house of the recognized stock exchange or Clearing Member pool account towards any segment in respect of securities sold by me/us through **Tradewell Securities Limited** and for margins towards BSE Cash, NSE Cash, Mutual Funds and F&O Segments.

This authority is restricted to the pay-in obligations arising out of the transactions of sale effected by me/our through **Tradewell Securities Limited** and I/We ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named here in above in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until I/We have given to the Depository Participant fifteen days advance notice in writing to the contrary.

SIGNED AND DELIVERED

By the within named Beneficial Owner

(35) 

Sign: _____

Name: _____

IN THE PRESENCE OF

Sign _____

Name _____

Address: _____

Place :

Date:



I/We Accept

for **Tradewell Securities Limited**

Authorised Signatory

Flat No.204, Anushka Trendz
BN Reddy Colony, Road No.14
Banjarahills, Hyderabad – 500 034.

INTENTIONALLY LEFT BLANK

ANNEXURE - B16
VOLUNTARY MANDATE FORM FOR TRADING ON BEHALF OF CLIENTS

We confirm you that we are one family group and having a Trading accounts with Tradewell Securities Ltd.

We hereby appointed _____ and who is our family member as our Mandate Holder / Authorized person. His/her signature is given below. We, hereby, authorize our Mandate Holder / Authorized Person to undertake the following activities to use the below referred trading account, on our behalf;

1. Trade on our behalf, by placing buy / sell order in the above UCC.
2. Collect payments on our behalf, issued in our favour by Tradewell Securities Limited, against our credit balance in the above UCC.
3. Receive and acknowledge contract notes.
4. Receive and Confirm Ledger balances including Securities balances.
5. Handover Cheques from our bank account, mentioned in the KYC, against our dues.
6. Handover Delivery Instruction Slips of our demat account, mentioned in the KYC, against our delivery obligations.
7. You can send us SMS of trades to our mobile no _____ and E-contract / e-statements to our Email ID: _____. (Already mentioned in the KYC)

We accept that all obligations rising out of the trades executed by _____ in our below trading account and the same will be binding on us and met by us. We also authorize you to accept all instructions given by the above mandate holder, with respect to the above actions, on our behalf.

We also undertake to indemnify Tradewell Securities Limited for all dues, loss, penalties and incidental expenses relating to and arising out of the transactions executed by Mr. _____ in our below mentioned accounts. In case if we wish to withdraw this mandate we shall inform Tradewell Securities Limited in writing and acknowledge by Tradewell Securities Limited at least one week in advance from the date of withdrawal.

Client Codes	Name of the clients	Relationship	Signatures

Place: _____

Date: _____

(Mandate Holder Signature)

Witness Name & Address: _____

Witness Signature: _____

Affix latest
Passport size
photograph of
mandate
holder

(36) 
(Client Signature) _____

ANNEXURE - B17
MOBILE TRADING

Date : _____

TRADEWELL SECURITIES LIMITED

Flat No.204, Anushka Trendz

BN Reddy Colony, Road No.14

Banjarahills, Hyderabad-500034

Sir

Sub.: Securities trading using wireless technology - Mobile

I _____ am registered as your client with Client code No.

(UCC) _____ for the purpose of trading in the Capital Market segment, Futures and Options segment.

☐ National Stock Exchange of India Limited

☐ Bombay Stock Exchange Limited

I am interested in carrying securities trading through use of wireless technology - Mobile which shall include device such as Mobile Phone/Tablet using Internet Protocol (IP).

I understand that the terms and conditions applicable to Internet based trading will also be applicable to securities trading through use of wireless technology-Mobile. I am made aware by you regarding all the possible risks, responsibilities and liabilities associated with securities trading using wireless technology.

I understand that you shall provide information with respect to the addresses of Internet web site/web page where detailed information would be available about securities trading done through the use of wireless technology - Mobile.

I understand that you shall send the Order/Trade confirmation detail on our registered E-mail id on execution of order/trade on the BOLT/ODIN/NEAT system, as the case may be.

We agree that the information send by you on our E-mail id would be deemed to be a valid delivery of such information by you. The aforesaid information regarding order and trade confirmation shall also be provided to me on the device used for securities trading through the use of wireless technology - Mobile.

I am aware that authentication technologies and strict security measures and required for the securities trading using wireless technology through order routed system and undertake to ensure that our password is not revealed to any any third party.

I therefore request you to enable me for carrying securities trading through use of wireless technology - Mobile.

Thanking you,

Yours faithfully,

37 

Client's Signature

ANNEXURE - B18
OPTION FORM FOR ISSUE OF DIS BOOKLET

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

DP ID	1	2	0	5	2	7	0	0	Client ID	0	0	0					
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,

TRADEWELL SECURITIES LIMITED

Flat Flat No.204, Anushka Trendz

BN Reddy colony, Road No.14

Banjarahills, Hyderabad-500034.

Dear Sir/ Madam,

I / We hereby state that:

[Select one of the options given below]

☐ **OPTION 1**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with **Tradewell Securities Limited**. (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature (38) 			

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 favour of / with **Tradewell Securities Limited** (name of the attorney / Clearing Member / PMS manager) 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.

Yours Faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature (39) 			

ANNEXURE - B19
FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) - (CRS) DECLARATION FORM

[Mandatory for all investors (Guardian in case of minor) and Joint holder(s)]

To,
The Compliance Officer
TRADEWELL SECURITIES LIMITED
Flat No.204, Anushka Trendz, BN Reddy Colony,
Road No.14, Banjara Hills, Hyderabad-500034.

APPLICANT'S INFORMATION

Trading A/c No. _____ Demat A/c No.

1	2	0	5	2	7	0	0	0	0	0	0	0	0	0	0	0	0	0	0
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

Is your Country of Tax Residency other than India - ☐ Yes ☐ No

If Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

Sr. No.	Country of Tax Residency #	Foreign Address	Tax Payer Identification Number / Functional Equivalent	Identification Type "TIN" or other, please specify"
1				
2				
3				

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

DECLARATION & SIGNATURE(S) (To be signed as per mode of holding)

Client agrees to provide the trading member and/or depository participant with any documentation or information requested relating to individual or entity tax status. To the extent required by the trading member and/or depository participant, client hereby consents to the disclosure and reporting of any tax related information obtained or held by the trading member and/or depository participant to any local or foreign regulatory or tax authority ("Tax Authority"). Upon request by the trading member and/or depository participant, client hereby agrees to obtain a written waiver or consent from the entity's "substantial owners" or "controlling persons" and to provide those consents to the trading member and/or depository participant to permit it to disclose and report tax and account specific financial information to any local or foreign Tax authority. The terms "substantial owners" and "controlling persons" shall have the meaning as defined under local or foreign tax laws, regulatory guidance or inter governmental cooperation agreements. The potential consequences for failure to comply with requests for tax information, failure to respond to requests for waivers or consents for tax information disclosure, and/or failure to respond to requests to obtain waivers or consents from substantial owners or controlling persons, include, but are not limited to: (a) trading member and/or depository participant has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b) trading member and/or depository participant has the ability to withhold taxes that may be due from certain payments made to the client's account; (c) trading member and/or depository participant has the right to pay relevant taxes to the appropriate tax authority; (d) trading member and/or depository participant has the right to refuse to provide certain services; and (e) trading member and/or depository participant has the discretion to close client accounts. The client agrees to inform, or respond to any request from, the trading member and/or depository participant, if there are any changes to tax information previously provided.

1st Applicant	2nd Applicant	3rd Applicant
40 		

Date:

Place:



KYC Details Change form (For Individuals Only)



TradeWell

Application No. :

Please fill this update / modification form in ENGLISH and in BLOCK LETTERS (Please strike off Sections that are not used).

A Name of Applicant (Mandatory as per original KYC records)

Title ☐ Mr. ☐ Ms. ☐ Other (Please specify) _____ Aadhaar Number, if any: _____ PAN _____

Name _____

Date of Birth / /

Please Provide the new KYC details which should be updated in your KYC records.

B. Mandatory fields for KYCs done before 1st January 2012

1. Father's/Spouse Name _____

2. Current Marital status ☐ Single ☐ Married

3. Current Nationality ☐ Indian ☐ Other (Please specify) _____

Note "FOR OFFICE USE ONLY": The IPV Column should be mandatorily filled for all KYCs registered before 1st January 2012. Originals Seen and Verified should be mandatorily filled for changes to Identity and Address details.

C. Identity Details (please see guidelines overleaf)

1. New Name (As appearing in supporting identification document).
Name _____

2. New Status Please tick (✓) ☐ Resident Individual ☐ Non Resident (Passport Copy Mandatory for NRIs & Foreign Nationals)

3. PAN _____ Please enclose a duly attested copy of your PAN Card

4. Proof of Identity submitted for PAN exempt cases Please Tick (✓)
☐ Aadhaar Card ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others _____ (Please see guideline 'D' overleaf)

D. Address Details (please see guidelines overleaf)

1. New Address for Residence/Correspondence

City / Town / Village _____ State _____ Country _____ Pin Code _____

2. Contact Details

Tel. (Off.) (ISD) (STD) _____ Tel. (Res.) (ISD) (STD) _____

Mobile (ISD) (STD) _____ Fax (ISD) (STD) _____

E-Mail Id. _____

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

4. New Permanent Address of Resident Applicant if different from above C1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village _____ State _____ Country _____ Pin Code _____

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

6. Any other information: _____

SIGNATURE OF APPLICANT

41

Old signature as per original KYC
Wherever Applicable

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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.

Place: _____

Date: / /

SIGNATURE OF APPLICANT

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FOR OFFICE USE ONLY

IPV Done ☐ on / / AMC/Intermediary name OR code
Tradewell Securities Limited

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

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Dear Sir/Madam,

I/We request you to make the following Additions / Modifications / Deletions to my / our Trading / Demat /Trading & Demat account in your records.

1.Bank & Dividend Details	Trading Account	Addition ☐	Modification ☐	Demat Account	Modification ☐
Bank Name & Branch					
A/c No					
A/c Type					
MICR (Mandatory for DP)					
IF SC Code					
	First / Sole Holder	Second Holder		Third Holder	
Signature* (As per DP)	43				

CI

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients in all type of change request.**
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 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.
- 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:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Aadhaar Number / Passport / Voter ID card / Driving license.
- 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.)

- Aadhaar Number / Passport / Voters Identity Card/Ration

Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- 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.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- 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.

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Please Submit the KYC Documents on A4 Size Paper Only.



TradeWell

Flat No.204, Anushka Trendz
BN Reddy Colony, Road No.14
Banjarahills, Hyderabad-500034.,
Telangana, India
Tel. +91-40-23541258
Fax. +91-40-23541256
Email: info@tradewellmail.com

SEBI SINGLE REGN NO. INZ000171936 CORPORATE MEMBER: BOMBAY STOCK EXCHANGE MEMBER ID: 3187, NATIONAL STOCK EXCHANGE MEMBER ID: 12835
MULTI COMMODITY EXCHANGE OF INDIA LTD MEMBER ID:56265 CDSL DPID NO.12052700,DP SEBI REG.NO. IN-DP-CDSL-432-2007

Account Closure Request Form

Application No.	Date	D	D	M	M	Y	Y	Y	Y
Closure Initiated by	☐ BO ☐ DP ☐ CDSL								

(To be filled by the BO (in case of BO-initiated closure). Please fill all the details in **Block Letters** in English)

To,
Tradewell Securities Limited
Flat No.204, Anushka Trendz,
BN Reddy Colony, Road No.14,
Banjarahills, Hyderabad-500034.

Dear Sir / Madam,

I / We the Sole Holder / Joint Holders / Guardian (in case of Minor) / Clearing Member request you to close my / our account with you from the date of this application. The details of my/our account are given below:

Account Holder's Details

DP ID	1	2	0	5	2	7	0	0	DP ID	0	0	0					
Name of the First / Sole Holder																	
Name of the Second Holder																	
Name of the Third Holder																	
Address for Correspondence																	
City						State						PIN					

Details of remaining security balances in the account (if any)

Reasons for Closing the Account																	
Balance remaining in the account (if any) to be :																	
☐ Partly rematerialised and partly transferred ☐ Rematerialised																	
☐ Transferred to another account (Number given below) ☐ Not applicable																	
DP ID									Client ID								
Balance present in account for (To be filled by DP, if applicable)									☐ Ear - marked ☐ Pledged ☐ Pending for Dematerialisation ☐ Frozen ☐ Pending for Rematerialisation ☐ Lock-in								

DECLARATION: In case of Account Closure due to SHIFTING OF ACCOUNT:

I/We declare and confirm that all the transactions in my/our demat account are true/ authentic

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature *			

*If DP or CDSL initiates account closure, Signature(s) of account holder(s) not required.

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DECLARATION CUM UNDERTAKING FOR NAME DIFFERENCE IN PAN CARD

To,
 Tradewell Securities Limited
 Flat No. 204, Anushka Trendz
 BN Reddy Colony, Road No.14
 Banjarahills, Hyderabad-500 034.

I S/o, D/o, W/o residing
 at do hereby state as under:-

I refer to my account opening application for a Trading Account/ Demat Account with Tradewell Securities Limited (TSL) in the name of

I do hereby affirm, declare and undertake as under:-

1. That my name as it appears on the PAN CARD is
2. That I have been informed my name as registered with Income Tax Department is

3. That both the names, the name mentioned on the PAN CARD and the name as it appears in IT Department records
4. That the name before my marriage* was and the name after my
 marriage with is
5. That I shall indemnify & keep indemnified Tradewell Securities Limited, its directors, officers, employees and
 agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements,
 actions, suits, proceedings or any liability suffered or incurred or fastened on to TSL due to TSL accepting this
 Declaration cum Undertaking and acting on the same

That the contents of this Declaration cum Undertaking have been explained to me in vernacular and I have understood
 the same before signing it.

That this Declaration cum Undertaking given by me to TSL is by my absolute free will and without any coercion, undue
 influence and at present I am having sound health and mind.

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Signature of the Client/Applicant:

Customer Name: Client ID:

PAN Number

Place:

Date:

*Proof to be enclosed, Strike off if not applicable.

1st / 2nd / 3rd holder has to submit separately in case of Joint Accounts

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From:

Date:

To

Tradewell Securities Limited,
Flat No. 204, Anushka Trendz
BN Reddy Colony, Road No.14
Banjarahills, Hyderabad-500 034.

Sub: (FEMA) Declaration regarding eligibility to trade as a Non Resident India- Reg.

Ref: My application for opening of Demat _____ and/or Stock Broking application
no. _____

With reference to the above subject, I _____ presently
residing at _____

- 1.
- * a) presently I am holding Passport bearing number _____ issued by the Government of India and valid upto _____ and I am a Non- Resident Indian within the meaning of FEMA (Issue or Transfer of Securities by a Person Resident Outside India) Regulations, 2000 or any statutory amendment there to
- and
2. am eligible to invest in the securities of Companies / bodies corporate established in India, through public issues (IPO/FPO) under automatic route within the meaning aforesaid regulations
3. am eligible to invest in the securities of listed Companies / bodies corporate established in India, under Portfolio Investment Scheme (PIS) within the meaning aforesaid regulations
4. am not prohibited from investment either by Reserve Bank of India/ Securities and Exchange Board of India or any such Government agencies and I am not listed in negative list by any International agencies

yours faithfully,

Client Name: _____

④7 

Signature: _____

Place: _____

Date:

From:

To

Tradewell Securities Limited,
Flat No. 204, Anushka Trendz
BN Reddy Colony, Road No.14
Banjarahills, Hyderabad-500 034.

Sub: Declaration expressing the consent of coparceners for registration of POA

Ref: Our Demat Application no. _____.

With reference to the above subject I, _____ hereby
declare my consent for executing the power of attorney in the name of Tradewell
Securities Limited for transfer of shares from our demat account towards our settlement
obligation for the trades done through Tradewell Securities Limited.

This consent is irrevocable unless modified, revoked and informed to you accordingly

Thanking you,

Client Name: _____

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Signature: _____

Dt.
From

To
Tradewell Securities Limited,
Flat No. 204, Anushka Trendz
BN Reddy Colony, Road No.14
Banjarahills, Hyderabad-500 034.

Dear Sir,

Sub: Declaration of address for Correspondence.

Ref: Opening of Trading and Demat Account with Application No. _____ and/or
Stock Broking Application no. _____.

This has reference to the above. I _____ presently
residing at _____ having the Post Office
Box Number (P.O. Box No. _____) may be accepted as valid correspondence address provided in
the application as referred above and the valid proof for the same is also enclosed for your reference. And my
permanent address is _____
provided in the application as referred above and the valid proof for the same is also enclosed for your reference.

I hereby give the undertaking to **M/s. Tradewell Securities Limited** that whenever there is a change in the
correspondence address and / or permanent address for communication I shall intimate same to the company with
the valid proof for the same.

Yours faithfully

Client Name: _____

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Signature: _____

Place: _____

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Undertaking of Trading Account for Reactivation

(To be taken in the letterhead in case of non –individual client)

Date:

To
Tradewell Securities Limited,
Flat No. 204, Anushka Trendz
BN Reddy Colony, Road No.14
Banjarahills, Hyderabad-500 034.

Sir,

I/we _____ (Name of the client individual / Non –individual),
having trading account with Unique Client Code _____ allotted to me/us by your
broking house situated at _____ (Branch name) since _____ (date
of activation of the account)

I/we am / are not trading in Securities / Derivatives contracts on the Equities / Equity Deriva
tives / currency Derivatives trading platform since _____ (Last trade rate).
However, I / we am / are desirous to start trading again in securities, Derivatives contracts
On the Equities / Equity Derivatives / Currency Derivatives platform. In this regard, you are
requested to reactive my /our trading account and allow trading with immediate effect .

I/we here undertake that:

1. I/we have completed all the KYC formalities and submitted all the required documents
thereof (Proof of identity, Address Proof ,Bank Proof ,PAN etc.), at the time of
Opening the trading account originally and enrolling as a client with you.
2. There are no changes in respect of my /our Address ,Bank account , PAN details, as
Provided to you earlier. Further, there is no material change in the other information
Provided to you in KYC Form

I/we declare that the information given above is true to my/our Knowledge. I/we therefore,
request you that the requirement of fresh KYC may not be instead upon

Yours Faithfully,

Name of the client _____

(50) 

Signature of the client _____

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Acknowledgement of KYC Registration Received & Confirmation of Personal Details (Format A)

Form No.:

To
Tradewell Securities Limited,
Flat No. 204, Anushka Trendz
BN Reddy Colony, Road No.14
Banjarahills, Hyderabad-500 034.

Dear Sir / Madam,

With reference to my / our request to register with you for dealing in Cash / Derivatives / Currency Derivatives segment, I / we hereby declare and confirm as under.

1. I / We have received Welcome Letter from you and I / We have noted my / our Unique Client Code as and BOID as..... I / We confirm that the particulars mentioned in Welcome Letter are correct and same as filled by me / us in the Account Opening Form.

2. My / our email ID is..... and the same will be checked by me / us on regular basis. All communications like bills / contract notes / statements / margin statements etc. send to me / us on this email-id shall be legal and binding upon me / us. For non-receipt of any of these documents I / We shall intimate you in writing either through e-mail or letter.

3. My / our mobile number is for the purpose of SMS alert for trade confirmation and same shall remain active. I / We shall intimate you in writing either through e-mail or letter for non-receipt of SMS alert, if any.

4. I / We have read and understood the Policies & Procedures, terms & conditions, agreement and Risk Disclosure Document of the account opening form and I / We, am / are also aware of risks involved with regard to dealing in the stock market.

5. I / We shall intimate you in writing any change in the email-id, Mobile No., address, bank details or any other personal details.

6. I / We have received copies of the following documents:

- (A). Copy of Account Opening form for Trading account
- (B). Copy of Policies & Procedures
- (C). Copy of Tariff sheet for Trading
- (D). Copy of Risk Disclosure Document.
- (E). Copy of Guidance note
- (F). Copy of Prevention of Money Laundering Act 2002. (PMLA)
- (G). Copy of all Non-mandatory and other related Documents.
- (H). Copy of Power of Attorney.
- (I). Copy of rights and obligations

Thanking you.

Signature 

Client Name :

Client Code :

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Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

(52) 

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that *"no charges are payable for opening of demat accounts"*
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/ Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

(53) 

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

TRADEWELL SECURITIES LIMITED

Corporate Office: Flat No.204, Anushka Trendz, BN Reddy Colony, Road No.14, Banjara Hills, Hyderabad-500034

TARIFF APPLICABLE TO BENEFICIARY ACCOUNT OPENED ON CDSL

S.No.	Description	A) Investor having Broking A/C with TSL	B) Investor not having Broking A/C with TSL
1.	Account Opening Charges	NIL	NIL
2.	Annual Maintenance Charges	Rs.200/-	Rs.300/-
3.	Purchase(Market & Off Market)	NIL	NIL
4.	Sale (Market & Off Market)	Rs12/- per transaction (Including CDSL charges)	0.02% of value of the transaction. Minimum Charges Rs.17/- per transaction. Maximum Rs.25/-
5.	Dematerialisation	Rs.2/- per certificate+ Rs.25/- per Courier Charges	Rs.2/- per certificate+ Rs.25/- per Courier Charges
6.	Rematerialisation	A fee of 20/- for every 100 securities or part thereof subject to maximum fee of 5,00,000/-or a Flat fee of 20/- per certificate, whichever is higher payable on confirmation of the request.(Rs.25/- courier charges)	A fee of 30/- for every 100 securities or part thereof subject to maximum fee of 5,00,000/-or a Flat fee of 50/- per certificate, whichever is higher payable on confirmation of the request. (Rs.25/- courier charges)
7.	Pledge (Creation/Closure/Invocation)	0.02% of value of the . pledge Minimum Charges Rs.24/- per transaction. Maximum Rs.50/-	0.02% of value of the pledge. Minimum Charges Rs.36/- per transaction. Maximum Rs.50/-
8.	Mutual Fund	Rs12/- per transaction (Including CDSL charges)	0.02% of value of the transaction. Minimum Charges Rs.17/- per transaction. Maximum Rs.25/-

Scheme Opted : ☐ A ☐ B

- Transaction cum billing statement will be sent monthly, provided if there would be transactions. If there is no transaction, the statement will be send once in a quarter. If customer wishes to receive account statement Daily / Weekly/ Fortnightly (refer the point "A/c Statement required" in application) an additional of Rs.15/- per statement will be charged.
- The above rates are based on the existing CDSL charges and will be revised on revision by CDSL. The Charges are also subject to revision by Tradewell Securities Ltd., from time to time with 30 days prior Notice.
- Service Tax as applicable would be levied.
- To open an investor account with limited Power Of Attorney customer should have a brokerage account or simultaneously open a brokerage account with Tradewell Securities Ltd. customer needs to execute one time limited POA (Doc Charges Rs.100/-) to avail hassle free, paperless "Automated Pay-in facility for his/her sale in Tradewell Securities Ltd., Broking Account

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