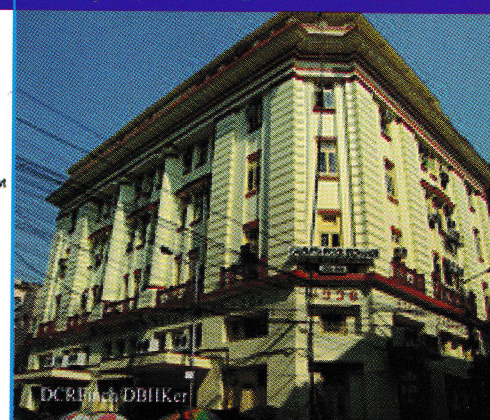
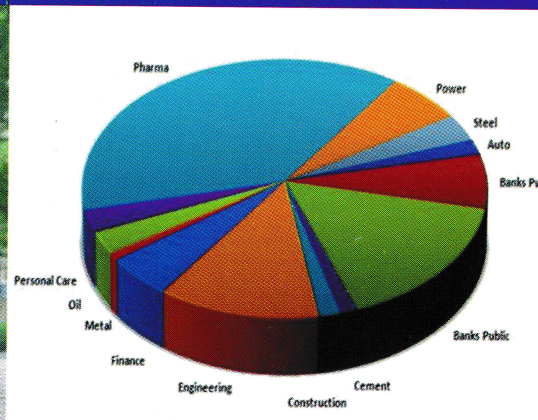


CLIENT REGISTRATION KIT

NSE CM | NSE FO | NSE CURRENCY



Harihar Securities Private Limited



Name

Trading Client Code :

Branch Code :

Account Opening :



Harihar Securities Private Limited

268A, B.B. GANGULY STREET, 4TH FLOOR
KOLKATA - 700012

Dear Clients,

Thank you for choosing us as the preferred platform for your trading & Investment needs. We look forward to you becoming one of our valued Client and give us the pleasure of serving you. Harihar Securities Private Limited offers you diverse opportunities to trade in various segments of various exchanges (as the case may be).

To start with, we request you to complete the relevant forms and submit the required documents. We have designed the form for easy completion with simple instructions at relevant places to guide you along.

Should you face any difficulty in understanding the requirements. please do not hesitate to contact our executive to assist / guide you.

It shall be our endeavor as always to provide you truly personalized & satisfying services.

HARIHAR SECURITIES PRIVATE LIMITED

Registered & Correspondence Office **268A, B.B. GANGULY STREET, 4TH FLOOR**
KOLKATA - 700012

~~Mission Court, 25 P.N. Mukherjee Road, 3rd Floor, Kolkata 700 001~~

Tel : +91 33 2262 4001 / 4002 | Fax : +91 33 2262 4007

Email : info@hariharsecurities.com | Website : www.hairharsecurities.com

Corporate Identity Number (CIN) : U51109WB1997PTC083137

Please Read "HSPL" as "Harihar Securities Private Limited" where ever it appears

Compliance Officer Name, Tel No. & Email ID : Ajit Kumar Kalyani : +94 89810 63035 | Compliance@hariharsecurities.com

CEO Name, Tel No. & Email ID : Mr. Dinesh Kumar Mittal : +91 89810 63001 | info@hariharsecurities.com

SEBI REGISTRATION NUMBER & DATE

NSE-CM	INB 231364135	10 / 01 / 2010
NSE-F&O	INF 231364135	10 / 01 / 2010
NSE-CDX	INE 231364135	12 / 10 / 2012

GRIEVANCES

For any grievance / dispute please contact HSPL at the above address or email us at investor Grievance Email ID grievance@hariharsecurities.com and call us at 2262 4001 in case not satisfied with the response, please contact the concerned exchange(s)

NSE	ignse@nes.co.in	022 2659 8190
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I N D E X

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.NO.	NAME OF THE DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENT	PG. NO.
1	INSTRUCTION / CHECKLIST	Document captures the instruction / checklist for filling KYC Form	B2- B3
2	ACCOUNT OPENING FORM	KYC form - Document captures the basic information about the constituent	1 - 3
		Document captures the additional information about the constituent relevant to trading account	4 - 7
3	RIGHTS & 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).	B4 - B7
4	RISK DISCLOSURE DOCUMENT (RDD)	Document detailing risks associated with dealing in the securities market.	B 8 - B 10
5	GUIDANCE NOTE	Document detailing do's and dont's for trading on exchange, for the education of the investors.	B - 11
6	POLICIES & PROCEDURES	Document describing significant policies and procedures of the stock broker	8-10
7	TARIFF SHEET	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	10-10

VOLUNTARY DOCUMENTS

1	INFORMATION ON PMLA, 2002	B12
2	INFORMATION TO BE PROVIDED BY THE CLIENT IN RELATION TO THE PMLA, 2002	11-11
3	AUTHORITY LETTER FOR RUNNING ACCOUNTS	12-12
4	DECLARATION / LETTER OF UNDERSTANDING	13-13
5	CONSENT LETTER FOR DIGITAL COMMUNICATION - ECN	14-14
6	DECLARATION FOR MOBILE NUMBER	14-14
7	BANK VERIFICATION LETTER	15-15
8	AUTHORITY TO PLACE INSTRUCTIONS	15-15
9	ELECTRONIC PAYOUT REQUEST	16-16
10	AUTHORISING FOR DEBITING DP CHARGES	16-16

KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR INDIVIDUALS

Please fill this form in ENGLISH and in BLOCK LETTERS.

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it

A. IDENTITY DETAILS

Name of the Applicant

Father's / Spouse Name

Gender | | Male | | Female

Marital Status | | Single | | Married

Date of Birth | | |

Nationality

Status | | Resident Individual | | Non Resident | | Foreign National

PAN

UID / Aadhaar, if any :

Specify the proof of Identity submitted

B. ADDRESS DETAILS

Address for Correspondence

City / Town / Village

PIN

State

Country

CONTACT DETAILS

Phone (Office)

Phone (Resi.)

Mobile

Fax

Email

Specify the proof of address submitted for correspondence address

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

City / Town / Village

PIN

State

Country

Specify the proof of address submitted for permanent address if any

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 / CLIENT

D	D	M	M	Y	Y	Y	Y

FOR OFFICE USE ONLY

In Person Verification (IPV) Details :

Name of the person who has done the IPV : _____

Designation : _____ Employee ID : _____

Name of the Organization : _____

Date of IPV :

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

 _____ Signature of the person who has done the IPV

Seal / Stamp of the Intermediary

Originals Verified and Self Attested Documents copies received Date _____

Signature of Authorised Signatory

This page is left intentionally

KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR NON INDIVIDUALS

Please fill this form in ENGLISH and in BLOCK LETTERS.

PHOTOGRAPH
Please affix
your recent
passport size
photograph
and sign
across it

A. IDENTITY DETAILS

Name of the Applicant	
Date of incorporation :	& Place of incorporation :
Date of commencement of business :	
PAN	Registration No. (e.g. CIN) :
Status (Please tick any one) :	


- | | | | |
|-----------------------------|-------------------------------|---------------------------|-----------------|
| Private Limited Co. | Public Ltd. Co. | Body Corporate | Partnership |
| Trust | Charities | NGO's | FI |
| HUF | AOP | Bank | Government Body |
| Non-Government Organization | | Defense Establishment BOI | Society |
| LLP | Others (Please specify) | | |

ADDRESS DETAILS

Address for Correspondence :				
City / Town / Village		PIN	State	Country
Contact Details :	Phone (Office)	Phone (Resi.)	Mobile	
Fax	Email			
Specify the proof of address submitted for correspondence address				
Registered Address (If different from above) :				
City / Town / Village		PIN	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/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.


Name & signature of the Authorised Signatory

D	D	M	M	Y	Y	Y	Y

FOR OFFICE USE ONLY

In Person Verification (IPV) Details :

Name of the person who has done the IPV : _____
 Designation : _____ Employee ID : _____
 Name of the Organization : _____

Seal / Stamp of the Intermediary

Date of IPV :

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

 Signature of the person who has done the IPV _____

Originals Verified and Self Attested Documents copies received Date _____ Signature of Authorised Signatory

**DETAILS OF PROMOTERS/PARTNERS/KARTA/TRUSTEES AND WHOLE TIME DIRECTORS
FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM NON-INDIVIDUALS**

Sr. No.	Name	Relationship with Applicant (i.e., promoters, whole time directors etc.)	PAN	Aadhar No.	Residential / Registered Address	DIN/UID	Photograph
1.							
2.							
3.							
4.							
5.							

Use additional sheet if required.



Name & Signature of the Authorized Signatory (ies)

D	D	M	M	Y	Y	Y	Y

A. BANK ACCOUNT(S) DETAILS

	First Account (Default)	Second Account	Third Account
Bank Name			
Branch Name			
Branch Address			
Bank Account No.			
Account Type - Saving/ Current / Others - In case of NRI/NRE/NRO			
MICR Number			
IFSC Code			

B. DEPOSITORY ACCOUNT(S) DETAILS

DP Name			
Depository Name NSDL / CDSL			
DP ID			
Beneficiary ID (BO ID)			
Beneficiary Name 1			
Beneficiary Name 2			
Beneficiary Name 3			

C. TRADING PREFERENCES

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

NSE-CM



SIGNATURE OF THE APPLICANT / CLIENT

NSE-F&O



SIGNATURE OF THE APPLICANT / CLIENT

NSE-IBT



SIGNATURE OF THE APPLICANT / CLIENT

NSE-CURRENCY



SIGNATURE OF THE APPLICANT / CLIENT

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 AND OTHER STOCK BROKERS

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

Sub-broker's Name		SEBI Registration number
Registered office address		
Phone	Fax	Signature of Sub-Broker (optional)
Website		
Email ID		

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 / wireless technology (please specify): _____

Number of years of Investment / Trading Experience

Any other information

G. INTRODUCER DETAILS (optional)

Name of the Introducer (Surname - Name - Middle Name)

Status of the Introducer | | Sub-broker | | Remisier | | Authorized Person

 | | Existing Client | | Others, please specify.....

Address of the Introducer

Phone No. of the Introducer Signature of the Introducer

Mobile No. of the Introducer

H. NOMINATION DETAILS (for individuals only)

<input type="checkbox"/> I/We wish to nominate		<input type="checkbox"/> I/We do not wish to nominate		PHOTOGRAPH Please affix your recent passport size photograph and sign across it	PHOTOGRAPH Please affix your recent passport size photograph and sign across it
Name of the Nominee					
Relationship with the Nominee					
PAN of Nominee		Date of Birth of Nominee			
Address of the Nominee					
Phone No. of the Nominee					
If Nominee is a minor, details of guardian					
Name of Guardian					
Address of Guardian					
Phone No. of Guardian			Signature of Guardian		
Mobile No. of Guardian					
WITNESSES (Only applicable in case the account holder has made nomination)					
Name			Name		
Signature			Signature		
Address			Address		

C. OTHER DETAILS

Gross Annual Income Details (please specify) : Income Range per annum:

0-1 Lac
 1-5 Lacs
 5-10 Lacs
 10-25 Lacs
 >25 Lacs

or Net - worth as on date _____ Rs. _____ (Net worth should not be older than 1 year)

Occupation
 Private Sector
 Public Sector
 Government Sector
 Business
 (please tick any one and give brief details):
 Professional
 Agriculturist
 Retired
 Housewife
 Student
 Others (please specify)

Please tick, if applicable
 Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (PEP)

Any Other Information

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 / w e undertake to inform you of any changes therein , immediately. Incase 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.
- 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.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I / We do here by agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

D	D	M	M	Y	Y	Y	Y

--

PLACE



SIGNATURE OF CLIENT / (All) AUTHORIZED SIGNATORY (ies)

FOR OFFICE USE ONLY

| | (Originals verified) True copies of documents received

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

| | (Self-Attested) Self-Certified Document copies received

D D M M Y Y Y Y

UCC Code allotted to the Client File		Reference No.	
	DOCUMENTS VERIFIED WITH ORIGINALS	CLIENT INTERVIEWED BY	IN-PERSON VERIFICATION DONE BY
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature of the Employee			

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

SIGNATURE OF THE AUTHORISED SIGNATORY


SEAL / STAMP OF THE STOCK BROKER
DISCLOSURE INFORMATION OF PROPRIETARY TRADING

To increase transparency in the dealings between us as a Trading Member and you as a Client we do hereby disclose that apart from Client Based Trading, we also do Proprietary Based Trading (self account) in ALL SEGMENTS of ALL EXCHANGES in which we are members. You are requested to please take a note of the same.

INTER - SETTLEMENT OF SECURITIES

Clients are advised not to sell shares unless lying in their Demat Account. However, **Inter - Settlement** of Securities will be provided to the client on request. HARIHAR will debit appropriate charges from the client account for this service. HARIHAR will be not responsible / liable for any profit / loss incurred / sustained by the Client for mistake / failure of whom so ever for Inter-Settlement of Securities.

I / We hereby request you to provide us facility for Inter-Settlement of Securities after having read and agreed to the above.



 SIGNATURE OF THE APPLICANT / CLIENT

POLICIES & PROCEDURES

a) Refusal of Orders for Penny Stocks:

HARIHAR shall have absolute discretion to term a stock as "PENNY". As per our policy, "PENNY STOCK" can be referred to as the stocks which are appearing in the list of illiquid securities issued by the Exchanges (Posted on their website) every month and any other stocks which HARIHAR might consider to be illiquid. The details of such stocks will be posted on the website of HARIHAR.

HARIHAR at its discretion can accept, refuse or partially accept any buy or sell order for execution from the client in respect of such scrips. HARIHAR may allow restrictive acceptance of orders in such scrips and may demand appropriate declarations and additional margin from the client before accepting order of such stocks. HARIHAR may cancel orders in such scrips received by the clients before execution or partial execution or place any other kind of restrictions on the trade on such scrips without assigning any reasons thereof to the client.

HARIHAR shall not be responsible for any consequential opportunity loss or financial loss that a client may incur from delay or non execution of orders in penny stock.

b) Setting up Client's Exposure Limits:

HARIHAR may give an exposure limit which would be a multiple of the clear ledger balance in the account plus value of the shares given as collaterals computed after applying appropriate haircut depending on the risk profile of the client. In F & O segment exposure is given on the value of initial margin after applying appropriate hair cut. The exposure limit may be changed based on the volatility in the market and quality of collaterals.

HARIHAR may set different exposure limits varying for different clients depending on the credit worthiness, integrity and past conduct of the client. The client agrees that HARIHAR shall not be responsible for such variation, reduction or imposition or the clients inability to route any order through HARIHAR's trading system on account of any such variation, reduction or imposition of limits.

c) Applicable Brokerage Rate:

HARIHAR follows the policy of charging brokerage not more than the maximum permissible brokerage as per the rules and regulation of the exchange/ SEBI. Brokerage shall be charged as per the rates agreed upon with the client at the time of registration. The brokerage is however subject to change at the discretion of HARIHAR in consultation with the Client. The brokerage amount debited to the client does not include any

exchange related charges, statutory levies and any other charges. Any other applicable taxes imposed by statutory authority including securities transaction taxes, duties, service tax, etc will be paid by the client separately as may be levied on the transactions from time to time. Total Brokerage including other charges and excluding statutory levies will not exceed the 2.5% limit.

d) Imposition of Penalty/Delayed Payment Charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Clients will be liable to pay late pay in/delayed payment charges not exceeding 2% per month for not making payment of their payin obligation on time as per the exchange requirement or net ledger debit as applicable.

The client agrees that HARIHAR may impose fines/penalties for an orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where HARIHAR has to pay fine or bear any punishment from any authority in connection with/as a consequence of/ in relation to any of the orders/ trades/deals/actions of the client, the same shall be borne by the client.

e) The right to sell clients' securities or close clients' positions, with giving notice to the client, on account of nonpayment of client's dues (This shall be limited to the extent of settlement/margin obligation)

HARIHAR shall be entitled to liquidate client's securities, both unpaid securities as well as collaterals deposited towards margins or close out client's open position, with giving notice to the client for non-payment of margins or other amounts including the pay-in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations. Any and all losses and financial charges on account of such liquidations/closing out shall be charges to and borne by the client.

In case the payment of the margin/security is made by the client through a bank instrument, HARIHAR shall have absolute discretion to give the benefit/credit for the same only on the realization of clear proceeds in HARIHAR bank account. Where the margin/security is made available by way of securities or any

other property, HARIHAR is empowered to decline its acceptance as margin/security and/or accept it at such reduced value as HARIHAR may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as it may deem fit. HARIHAR has the sole discretion to decide referred stipulated margin percentage depending upon the market conditions.

In event of death or insolvency of the client, HARIHAR may close out all outstanding positions of the client, adjusting the loss incurred on such closures with the margin deposited by the client and claim further shortfalls, if any, against the estate of the client.

The successors or heirs of the client shall be entitled to any surpluses which may result there from. The above action is at the sole discretion of HARIHAR and may vary from client to client. It shall not be under any obligations to undertake the exercise compulsorily. HARIHAR shall therefore not be under any obligation to compensate or provide reasons of any omission or delay on its part to sell client's securities or close open positions of the client.

f) Shortages in obligations arising out of internal netting of trades

Policy for settling shortage in obligation arising out of internal netting of trades is as under:

The securities delivered short are purchased from the market on T + 3 day and the purchase consideration (including all statutory taxes & levies) along with a penalty is debited to the short delivering seller client. In case the shares are not available for purchase for any reason then the shortage will be closed out as per the prevailing rules of the respective exchanges. Currently, the penalty levied amounts to- NSE clients charged a flat rate of Rs 0.40 on value of purchase consideration.

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

Client unable to meet his pay-in obligation as per exchange requirement irrespective of the value of collaterals available.

Long pending debit balance in the client's account.

Margin shortfall not compensated by the client.

Dishonor of Cheque

Client dealing in "illiquid" stock as declared by HARIHAR.

Transactions which may appear to be suspicious in nature

Where based on the happening of an event,

HARIHAR has a risk perception that further trading in the contracts/ securities may not be in the interest of the clients and /or the market.

h) Temporarily Suspending or Closing a Client's account at the clients request:

HARIHAR may carry out periodic review of the client accounts and may suspend the accounts from trading (i.e. prohibiting any market transactions, only allowing client shares/ledger balance settlement to take place) under any of the following circumstances:

Where the Client is inactive for the last twelve months.

Where the Client has not cleared his dues after repeated reminders

Where Physical statements or contract notes, etc are received back undelivered and the client is not responding to update the correct address.

Where the client is reported or known to have expired.

Where client lodges a complaint either directly with HARIHAR or through the Exchange relating to alleged unauthorized Trades being executed in his account.

Where the account is under investigation by any regulatory body.

As per direction of the Exchanges, SEBI or any other regulatory body.

On written request received from the client and the same can be activated on the written request of the client only.

The Client account can be closed on the written request of the client provided the client account is settled. If the client wants to reopen the account then the client has to again complete the KYC requirement.

i) Deregistering a client:

Notwithstanding anything to the contrary stated in the agreement, HARIHAR shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

If the action of the client are prima facie illegal/improper or such to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.

On the death/lunacy or other disability of the Client.

If the client being a partnership firm/any other organization, has any steps taken by the Client and/or its partners for dissolution or liquidation.

If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock Broker.

If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security.

If the Client is in breach of any term, condition or covenant of this Agreement.

Any suspicious information found by HARIHAR in sites like CIBIL, world check, etc or if there is any commencement of a legal process against the client under any law in force.

If the client forms a part of the list of debarred entities published by SEBI and/or any action is taken by SEBI/Exchanges or any other body on the client.

j) Inactive Client:

Inactive client account will be considered as inactive if the client does not trade during a full financial year. Calculation will be done at the beginning of every year. In such cases HARIHAR may block or deactivate a clients account. A written request has to be made by the client for reactivation of their deactivated account along with requisite documents.

Changes in Internal Policies and Procedures:

HARIHAR reserves right to make changes in the Internal Policies and Procedures, as may be required from time to time. Such changes shall be notified to the clients and shall also be uploaded on HARIHAR's website. Such changes shall deemed to be accepted and agreed by the clients unless otherwise informed to HARIHAR within 15 days of the notification thereof.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses in this document under any circumstances whatsoever. These Policies and Procedures may be amended/changed unilaterally by the broker, provided the change is informed to me/us through any one or more means/ methods. I/We agree never to challenge the same on any grounds including delayed receipt/non-receipt or any other reason whatsoever.

These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and HARIHAR before any court of law/judicial/adjudicating authority including arbitrator/ mediator, etc.

TARIFF SHEET / BROKERAGE SLAB

SEGMENT	DELIVERY (%)	DELIVERY (Minimum)	SQUARE OFF (%)	SQUARE OFF (Minimum)	Risk Category
NSE-CASH					
NSE EQ-FUTURE					
NSE EQ-OPTION					
NSE CD-FUTURE					
NSE CD-OPTION					

(The above rates are exclusive of STT, Service Tax, Stamp Duty, SEBI Charges and Transaction Charges which will be separately charged as per prevailing rates from time to time.)


SIGNATURE OF THE APPLICANT / CLIENT

INFORMATION PROVIDED BY THE CLIENT IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002

Name of the Client: _____ Client Code : _____

If Business / Profession : Nature of Business: _____
Industry : _____

Details of my / our Relatives, having account with HARIHAR

Name	Relationship	UCC (Client Code)
1.		
2.		

Details of the Corporate / Partnership Firm / Trust etc. where I / We am / are affiliated

Name	Entity Type	Nature of business	Relationship	UCC (Client Code)
1				
2				
3				
4				

I / We agree to submit every year any one of following documents to HARIHAR :

- | | |
|--|-------------------------------------|
| 1. Profit & Loss Account and Balance Sheet | 2. Form No. 16 (Salary Certificate) |
| 3. Self attested copy of Income Tax Return | 4. Networth Certificate |
| 5. Demat Transaction Statement & Bank Statement (for 6 months) | |

I / We confirm that I / We will immediately inform HARIHAR in case I / We am / are convicted under any grounds or any action is taken against me / us by any authority (ies).

I / We hereby declare that I / We do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002, or

I / We declare that I / We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under) :

- | | |
|--|---|
| <input type="checkbox"/> Non resident Client | <input type="checkbox"/> High Net - worth Clients |
| <input type="checkbox"/> Politically Exposed Persons | <input type="checkbox"/> Companies offering foreign exchange offerings |
| <input type="checkbox"/> Non face to face client | <input type="checkbox"/> Clients with dubious reputation as per public information available etc. |
| <input type="checkbox"/> Companies having close family shareholdings or beneficial ownership | |
| <input type="checkbox"/> Trusts, Charities, Non - Governmental Organisations (NGOs) and organizations receiving donations | |
| <input type="checkbox"/> Clients in high risk countries where existence / effectiveness of money laundering controls is suspect etc. | |

I / We intend to invest in the stock market with : Own Funds Borrowed Funds

(If Borrowed Funds, then please specify below Sources of Funds):

Sources of Borrowed Funds (if any)	Amount (Rs.)

I / We hereby declare that I / We am / are beneficial owner of the Trading / Online Account opened with HARIHAR



SIGNATURE OF THE APPLICANT / CLIENT

FOR OFFICE USE ONLY RISK CATEGORY : VERY HIGH HIGH MEDIUM LOW VERY LOW

VOLUNTARY

To,
HARIHAR SECURITIES PRIVATE LIMITED
 25 B.N. Mukherjee Road, 3rd Floor, Kolkata - 700001
268A, B.B. GANGULY STREET, 4TH FLOOR
KOLKATA - 700012

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I / We as a Client of Capital Market and / or Futures & Options of NSE hereby authorizes Hairhar Securities Pvt. Ltd. (Member of NSE) for the following :

That to maintain a running account, instead of settlement to settlement clearance of funds / securities due to me / us. In this regard, I have been i nformed about the SEBI circular no. MIRSD/SE/Cir-19/2009 dated December 3,2009.1 read and understood the same. Ihere by authorize HSPL to maintain a running account in all segments across the exchange (NSE)

I / We here by confirm you to settle my / our account of funds and securities once in

| | **A Calendar Quarter** | | **A Calendar Month.** (Tick whichever is applicable)

Such settlement will be done on any day at its discretion in a calendar month or quarter (hereinafter referred as "settlement period ") as t h e case may be. I / We agree that I / we shall be liable to pay the debit standing to my account on the settlement date or any other date at least once in a calender quarter / calender month as per the option ticked above.

That to with hold any credit balance as collateral/margin against my / our future trades / obligations and/or adjust outstanding fund / securities receivable from you against my / our purchase in subsequent settlement with no interest accruing on the above fund / securities .

I / we authorize you to set off a part or whole of the margin deposited by me / us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.

I / we agree that fund given towards collaterals / margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.

I / we agree that (a) in respect of derivatives market transactions, the Trading Member may retain the requisite securities/ funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the exchange, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligations of funds & securities due from me/us as on the date of settlement and for next day's business, Member may retain funds / securities / margin to the extent of value of transactions executed on the day of such settlement.

That to keep my / our shares purchased from you , in your margin account and t o deliver and / or adjust said shares against our sales in subsequent settlement i.e. inter transferring the shares from one settlement (purchase) to another settlement (sales) i n Capital Market Segment and / or F & O Segment of Exchange unless you receive any verbal or written instruction from me / us to deliver the same to my / our Depository Account. Similarly, I / We authorize you to issue the cheque against our fund pay out after getting the telephonic or written instruction from me / us , other wise the same will remain with you against my / our margin obligation towards Capital Market Segment and / or F & O Segment

I / We confirm you that I / w e will bring to your notice any dispute arising from the statement of account or settlement made in writing within 7 working days from the date of receipt of funds / securities or statement of account or statement related to it, as the case may be at your registered / corporate office. After that I / W e shall have no right to dispute the transaction, funds and / or securities ever and agree that y o u shall not be liable for any incidental loss / damage caused due to retention of funds and / or securities.

I / We further declare that this authorization will remain in force unless revoked by me / us in writing.

Thanking You,
 Yours Faithfully,



 SIGNATURE OF THE APPLICANT / CLIENT

To,
 HARIHAR SECURITIES PRIVATE LIMITED
~~25 R N Mukherjee Road, 3rd Floor, Kolkata - 700001~~

D	D	M	M	Y	Y	Y	Y

**288A, B.B. GANGULY STREET, 4TH FLOOR
 KOLKATA - 700012**

Dear Sir/Madam,

1. I/We authorise Harihar Securities Private Limited to set off outstanding in any of my / our accounts against credits available or arising in any other account maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of margin or collateral shares provided to HSPL by us.
2. I/We hereby authorise HSPL not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request HSPL to kindly accept my/our mandate holder's verbal orders/instructions in person or over phone and execute the same. I/We shall get the required details from the contract notes issued by you. I/We understand the risk associated with placement of verbal orders and accept the same. I/We shall not disown orders under the plea that the same was not placed by me.
 I/We indemnify HSPL and keep you indemnified against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my/our orders placed verbally. In case I wish to withdraw this consent I shall inform HSPL in writing and get the same acknowledged by HSPL at least one week in advance from the date of withdrawal.
3. I/We hereby authorise HSPL to deposit securities received from me/us or purchased through HSPL lying in my\our account to the Stock Exchange(s)/NSCCL or their custodian appointed by them for the purpose of margin/other obligation and/or to facilitate my/our transaction in the normal course of securities business. Further, HSPL shall release the securities to me/us on my/our request, if the same is releasable to me/us.
4. Trading of all Exchanges is in Electronic Mode, based on VSAT, Leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing of buy or sell orders either in part or in full. I/We shall be fully liable and responsible for any such problems/fault and shall not claim any notional profit or equivalent from HSPL.
5. I/We agree not to hold HSPL liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
6. I/We hereby confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
7. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
8. I/We am/are agreeable for & authorise HSPL to with hold funds pay-out towards all applicable margins and debits
9. All fines/penalties and charges levied upon HSPL due to my acts/deeds or transactions may be recovered by HSPL from my account.
10. Any queries related to security delivered by HSPL, would be brought to the notice of HSPL within seven days of the receipt of such securities in my/our Demat Account or otherwise it can be presumed that I / We have checked all the security received by me / us and that they are good as per the prevailing norms.
11. Any queries related to my/our Contract cum Bill, shall be brought to the notice of the HSPL within 24 hours of the receipt of Contract cum Bill, however not after than 7 days from the execution of the trade.
12. HSPL is hereby advised to keep this instructions in force unless specifically informed by me / us in writing.
13. I / We hereby reconfirm and accept all the terms & conditions mentioned herein above.
14. I/We will be extending all co-operation to HSPL in their endeavour towards Anti-Money Laundering. HSPL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
15. I/We understand that information about me/us and my/our transactions" may be reported by HSPL to FIU/concerned authorities without any intimation to me/us and have no objection to the same.

Thanking You,
 Yours Faithfully,



SIGNATURE OF THE APPLICANT / CLIENT

BANK VERIFICATION LETTER

VOLUNTARY

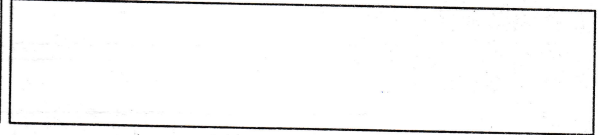
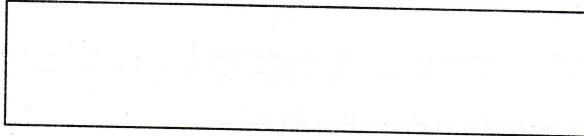
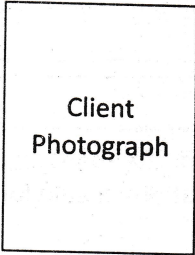
To,
HARIHAR SECURITIES PRIVATE LIMITED

D	D	M	M	Y	Y	Y	Y

268A, B.B. GANGULY STREET, 4TH FLOOR
 KOLKATA - 700012

THIS IS TO CERTIFY THAT Mr. / Ms. / M/s. (Name of the Client) _____
 resident of (full address) _____

_____ is holding a Savings/Current Bank Account No. _____
 jointly with _____ at _____ with our
 _____ branch since _____. His / her / their
 specimen signature(s) and photograph(s) as per the specimen recorded with us is being attested below :



(Bank Stamp and
 Client Signature
 across photograph)

Date

 Name of Branch Manager

AUTHORITY TO PLACE INSTRUCTIONS WITH HSPL ON MY/OUR BEHALF

VOLUNTARY

To,
HARIHAR SECURITIES PRIVATE LIMITED

D	D	M	M	Y	Y	Y	Y

268A, B.B. GANGULY STREET, 4TH FLOOR
 KOLKATA - 700012
 Dear Sir / Madam,

I/We hereby authorize the following persons whose specimen signatures are appended hereunder:

- a. To give instructions/place orders with HSPL for buying and selling of securities and contracts on any Exchanges
- b. To sign, execute and / or acknowledge any document including Contract Notes, Statement of Margins and Statement of Accounts etc on my / our behalf.

Sl. No.	Name	Relationship with Client	Mobile Number	Specimen Signature

Thanking You,
 Yours Faithfully,

 SIGNATURE OF THE APPLICANT / CLIENT

ELECTRONIC PAYOUT REQUEST**VOLUNTARY**

To,
HARIHAR SECURITIES PRIVATE LIMITED
~~25 R N Mukherjee Road, 3rd Floor, Kolkata - 700001~~
268A, B.B. GANGULY STREET, 4TH FLOOR
KOLKATA - 700012

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

I furnish below the details of my account held with _____ Bank to enable transfer of funds payable to me against sale of securities.

Bank :	Branch :
Type of Account: <input type="checkbox"/> Savings <input type="checkbox"/> Current	MICR No.:
<input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> Others (Specify).....	A/c. No.:
Copy of cheque must be enclosed.	IFSC CODE (RTGS/NEFT)

Name of Joint Account Holder (if any) : _____ |

hereby declare that the particulars mentioned above are correct, complete and true and I request Harihar Securities Private Limited to transfer the funds against payments due to me into the above mentioned Bank Account until any other instruction from my side. It is also agreed by me that the above facility is being provided to me at the instance of HSPL and it can be discontinued/withdrawn by HSPL at its discretion at any point of time, as and when required without prior notice.

1. The transfer of funds to my bank account will continue to be governed by the terms and conditions as per the Member Client Agreement entered by and between HSPL and myself.
2. I shall review, upon first receipt, all transfers of funds made into the aforesaid bank account. In case fund payment is not received in my account on the scheduled date then I will notify the same to HSPL within two days. After two days, I am solely responsible for any losses due to such delay and it shall be assumed by HSPL that the funds have been received by me.
3. If the transaction is delayed or not effected at all for incomplete or incorrect information provided by me, I would not hold HSPL responsible and/or indemnify HSPL from any loss or damage met by me under such circumstances.
4. All charges levied by Bank for the said facility shall be borne by me.

Thanking You,
 Yours Faithfully,



 SIGNATURE OF THE APPLICANT / CLIENT

AUTHORISING FOR DEBITING D.P. CHARGES**VOLUNTARY**

To,
HARIHAR SECURITIES PRIVATE LIMITED
~~25 R N Mukherjee Road, 3rd Floor, Kolkata - 700001~~
268A, B.B. GANGULY STREET, 4TH FLOOR
KOLKATA - 700012

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

Ref.-DPID _____ DP Client ID _____

Sub: Debiting my Trading Account towards depository charges.

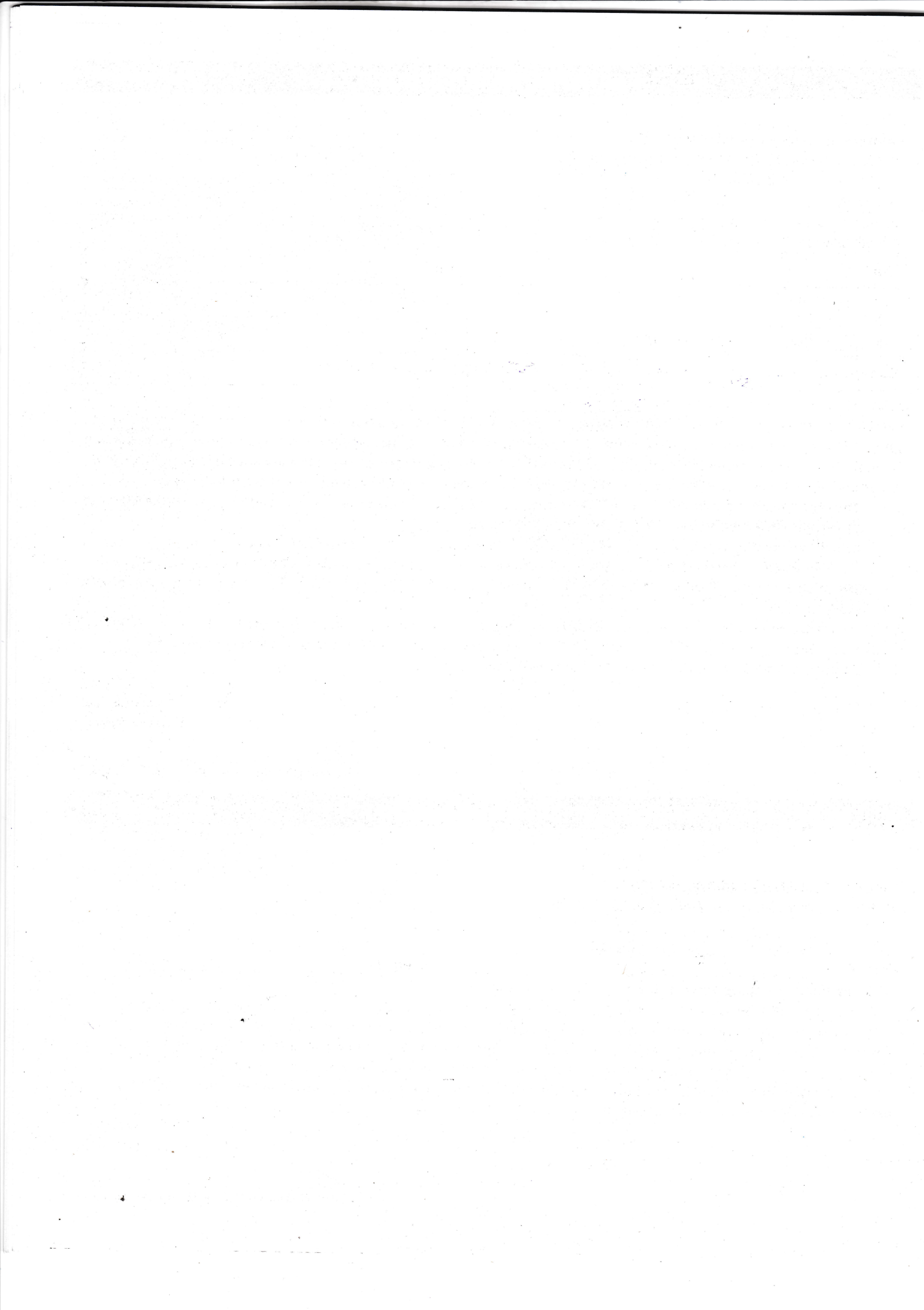
I / We hereby authorise you to debit my / our Trading Client Code _____ for all the charges relating to the above mentioned Demat Account. I / We understand that the said charges in the Demat Account, are incurred time to time and this authorisation of transferring the same to my trading account shall remain valid from time to time. I / We also authorise you to retain my/our shares till the clearance of the dues in the trading as well as demat account.

In case I/We wish to withdraw this authorisation, I/We shall inform HSPL in writing and acknowledge the same at least one week in advance from the date of withdrawal.

Thanking You,
 Yours Faithfully,



 SIGNATURE OF THE APPLICANT / CLIENT



ACKNOWLEDGMENT

From

D	D	M	M	Y	Y	Y	Y

To,
HARIHAR SECURITIES PRIVATE LIMITED
~~25 R. N. MUKHERJEE ROAD, 3RD FLOOR, KOLKATA 700001~~

**268A, B.B. GANGULY STREET, 4TH FLOOR
KOLKATA - 700012**

Dear Sir / Madam,

Ref. : Acknowledgment for the receipt of documents

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

Client Registration Form (KYC)

Right & Obligations

Risk Disclosure Documents

Guidance Note

Policies & Procedures

A copy of any other document executed by me as a client

I here declare that I have the full intimation of the trading code and the Unique Client Code allotted to me and the email Id for the purpose of receiving statements and other details incase provided by me, has been confirmed by Harihar Securities Private Limited through their KYC.

Thanking you,

Yours faithfully,



SIGNATURE OF THE APPLICANT / CLIENT



HARIHAR SECURITIES PRIVATE LIMITED

268A, B.B. GANGULY STREET, 4TH FLOOR
KOLKATA - 700012

Registered & Correspondence Office

~~10, Park Street, Kolkata - 700016~~

Tel : +91 33 2262 4001 / 4002 | Fax : +91 33 2262 4007

Email : info@hariharsecurities.com | Website : www.hairharsecurities.com

Corporate Identity Number (CIN) : U51109WB1997PTC083137