FORM NO -

WALLFORT
Financial Services Ltd.

MEMBER : BOMBAY STOCK EXCHANGE LTD., NATIONAL STOCK EXCHANGE OF INDIA LTD.
205 A, 2nd Floor, Hari Chambars, 58/64, Shahid Bhagat Singh Road, Fort, Mumbai - 400 001
Tel.: 022 - 6117 6011 / 6117 6012 • Fax : 022 - 2270 4296 • www.wallfort.com
Investor Griveances email : igr@wallfort.com

SEBI REG. NO. : INZ000234739

ACCOUNT OPENING FORM
FOR INDIVIDUAL

CVLKRA	CKYC	NSE UCC	BSE UCC

Client Name .....

Client ID .....

Branch Name .....

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Details of Trading and Clearing Member

Name of stock broker : WALLFORT FINANCIAL SERVICES LTD.

Registered & Corporate office address : 205 A, 2nd Floor, Hari Chambars, 58/64, Shahid Bhagat Singh Road, Fort, Mumbai - 400 001

Telephone Nos. :..... 022 - 6117 6011 / 6117 6012

FAX No. :..... 022 - 2270 4296

Website : ..... www.wallfort.com

SEBI Registration No. and date: INZ000234739 11/03/2019.

Clearing member : Self Clearing Member
BSE CLEARING NO. 0194
NSE MEMBERSHIP NO. 08524

Compliance officer name : Mayur Nagpure
Phone no.: 022 - 2262 6408
Email id : mayurn@wallfort.com

For any grievance/dispute please contact **WALLFORT FINANCIAL SERVICES LTD.** at the above address or **Investor Griveances email : igr@wallfort.com** and Phone no. **+91-22-6117 6011** In case not satisfied with the response, please contact the concerned exchange(s) at their Contact details given below.

Bombay Stock Exchange Limited (BSE)
Telephone Number: 022-22721233/34
Investor Services email id. : isc.mumbai@bseindia.com
Investor Services Telephone No. : 022-22728571, 2272 8271

National Stock Exchange of India Ltd.(NSE)
Investor Grievance Cell / Arbitration
Email : ignse@nse.co.in
Tel No: 022-2659 8191
Toll Free : 18002660058

PRO Trading Disclosure

Pursuant to SEBI circular no. SEBI / MRD / SE / CIR.- 42 / 2003 dated November 19. 2003, We hereby disclose that we do client based business as well as undertake proprietary trading.

WALLFORT
Financial Services Ltd.

KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in **English** and in **Block Letters**

1st holder

Please affix your recent passport size photograph and sign across it [1]

A. IDENTITY DETAILS

Name of the Applicant	First Name	Middle Name	Last Name
Father's / Spouse Name	First Name	Middle Name	Last Name

Gender :	☐ Male ☐ Female	**Marital Status :** ☐ Married ☐ Single	**Date of Birth**	D D M M Y Y Y Y	
Nationality		**Status:** ☐ Resident Individual ☐ Non Resident ☐ Foreign National			
PAN		**Unique ID No. /Aadhaar**			
Specify the proof of identity submitted :					

B. ADDRESS DETAILS

Correspondence Address :		**Permanent Address :** If different from Correspondence or overseas address mandatory for Non-Resident Applicant)	
City	**PIN**	**City**	**PIN**
State	**Country**	**State**	**Country**
Specify the proof submitted for Correspondence Address		Specify the proof submitted for Permanent Address	

C. CONTACT DETAILS

Tel. Resi.		**Tel. Off.**		**Fax**	
Mobile		**Email**			

D. OTHER DETAILS

Gross Annual Income Details (please specify): Income Range per annum: (Rs. in lacs)

☐ Below 1	☐ 1 to 5	☐ 5 to 10	☐ 10 to 25	☐ Above 25

OR

Net-worth as on date		**Rs.** (Net worth should not be older than 1 year)				
Occupation (please tick any one and give brief details):	☐ Private Sector	☐ Public Sector	☐ Government Service	☐ Business	☐	Student
	☐ Professional	☐ Agriculturist	☐ Retired	☐ Housewife	☐	Others
Please tick, if applicable:	☐ Politically Exposed Person (PEP)	☐ Related to a Politically Exposed Person (PEP)				
Any other information :						

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.

[2] ☞ _____

Signature of the Applicant

Date D D M M Y Y Y Y

FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received ☐ (Self-Attested) Self Certified Document copies received

(A) _____

(Signature of the Authorised Signatory)

Date _____

Seal/Stamp of the intermediary

Know Your Client (KYC)

Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

fields marked * are mandatory

fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

CDSL VENTURES LIMITED

Exploring New Horizons

Application Number:

Application Type*: ❑ New KYC ❑ Modification KYC

KYC Mode*: Please Tick ( )

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

1. Identity Details(please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name*(same as ID proof) _____ _____ _____ _____

Maiden Name+(if any) _____ _____ _____ _____

Fathers/ Spouse's Name* _____ _____ _____ _____

Date of Birth* _____

Zecent passport size pplicant Whoto

Cross Signature across photograph

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other _____

Residential Status* ☐ Resident /ndividual ☐ Non Resident Indian

Wlease dick () ☐ Foreign National ☐ Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card xxxx xxxx __ __ __ __

☐ B — Passport Number _____ (Expiry Date) _____

☐ C — Voter ID Card _____

☐ D — Driving License _____ (Expiry Date) _____

☐ E — NREGA Job Card _____

☐ F — NPR _____

☐ Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details*(please refer guidelines overleaf)

A. Correspondence/Local Address*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/ Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

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

Application-e-Sign

8 . Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line 3 _____

City/ Town/ Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

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

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card xxxx xxxx __ __ __ __

☐ B — Passport Number _____ (Expiry Date) _____

☐ C — Voter ID Card _____

☐ D — Driving License _____ (Expiry Date) _____

☐ E — NREGA job Card _____

☐ F — NPR Letter _____

☐ Z — Others _____ (any document notified by entral Government)

Identification Number _____

3. Contact Details

Email ID _____

Mobile No. _____ _____

Tel (Off) _____ _____ Tel (Res) _____ _____

4. Applicant 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.

I/We hereby consent to receiving information from CVL KRA through SMS/Emai on the above registered number/ mail address.

DATE: _____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN	Applicant Wet Signature

5. For Office Use Only.

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested) AMC/Intermediary Name :
mployee ^ignature and ^tamp	/nstitution Eame and ^tamp

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

Important Instructions:

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

For office use only (To be filled by financial institution)

Application Type* ☐ New ☐ Update
KYC Number (Mandatory for KYC update request)
Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

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

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

Date of Birth* D D – M M – Y Y Y Y

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

PAN* ☐ Form 60 furnished

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

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

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

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

☐ PHOTO*

Address

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

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

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

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

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

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed Proof of Address - Document Type code

V ☐ Self Declaration

Address

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

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

Tel. (Off) – Tel. (Res) – Mobile –

Email ID

☐ 5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. Incase 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.

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : D D – M M – Y Y Y Y Place:

7. ATTESTATION / FOR OFFICE USE ONLY

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

KYC VERIFICATION CARRIED OUT BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

TRADING ACCOUNT RELATED DETAILS **For Individuals & Non-individuals**

A. Bank Account Details (First Bank A/c. is default Bank A/c., through which transaction will generally be routed)

Bank Name		
Branch Add.		
Bank A/c. No.		
Account Type	Savings/Current/Other - in case of NRE/NRO	Savings/Current/Others - in case of NRE/NRO
MICR Code		
IFSC Code		
Please provide cancelled cheque leaf for MICR & IFSC Code		

B. Depository Account(s) Details

Depository Participant details of the Client (In order of presence)		
Name of the Beneficiary		
DP Name		
DP ID		
Client ID		
Depository	NSDL / CDSL	NSDL / CDSL
DP Address		

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.

Segments	BSE	NSE
Cash	**(Signature)**	**(Signature)**
F & O	**(Signature)**	**(Signature)**

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

D. Past Action

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
(If yes Please give details) :_____

_____

_____

E. Dealing 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 : _____
_____
Ph. No._____Fax No._____Website:www._____

• 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. Additonal Details

• Whether you wish to receive ☐ physical contract note or ☐ Electronic Contract Note(ECN) Specify your Email id, if ECN: _____ Signature of Client : ✍
• Whether you wish to avail of the facility of Internet Trading / wireless technology ☐ Yes ☐ No Signature of Client : ✍_____ • Number of years of Investment / Trading Experience _____

In Case of non individuals (Details of authorized Person to Deal in Securities on behalf of Company/ Firm / Others)

Name:		Photograph of Authorized Person
Address:		
Designation:	PAN:	
UID:	Signature:	

G. Introducer Details (Optional)

Name of Introducer :- (Surname) (Name) (Middle Name)
Address of the Introducer :-
Status of the Introducer : ❑ Sub Broker ❑ Remisier ❑ Authorized Person ❑ Existing Client
❑ Others, Please Specify
Phone No.: Signature of Introducer :

H. Nomination Details (for Individuals only)

❑ I/We do not wish to nominate ❑ I/We wish to nominate	
Name of the Nominee :	
Relationship with the Nominee :	
PAN of Nominee :	Date of birth of Nominee :
Address of the Nominee :	
Phone No of Nominee :	

Nominee is a minor, Details of guardian :

Name of the guardian :
Address of the gurdian :
Phone No of guardian :
Signature of guardian :

Witnesses (Only applicable in case the account holder has made nomination)

Name :	Name :
Address :	Address :
Signature :	Signature :

DECLARATION

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

2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

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

Place ----------

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 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 Wallfort Financial Services Ltd

Signature of Authorised Signatory

Seal/Stamp of the Stock Broker

Date :_____

INSTRUCTIONS/ CHECK LIST

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

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

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

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

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS
as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.

2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.

4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.

5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.

6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.

8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.

9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.

10 The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker

is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client’s account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. 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 relationship 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.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with

the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights 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 client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete `Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

48. 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 stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.
In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre -determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or 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 or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

Policies and Procedures (Mandatory) of Wallfort Financial Services Ltd

A. Refusal of orders for "Penny Stocks"

Although, the term "Penny Stock" has not been defined by BSE / NSE or any other stock exchange or by SEBI, a "Penny Stock" generally refers to a stock which has following characteristics:
• Has small market capitalization;
• Trades at a price less than its face value;
• Has unsound fundamentals;
• Is illiquid
(A list of illiquid securities is jointly released by NSE and BSE from time to time.)

Stock broker recognizes that it is the client's privilege to choose shares in which he / she would like to trade. However, Stock broker likes to pay special attention to dealing in "Penny Stocks". To this end:
• Stock broker may refuse to execute any client's orders in "Penny Stocks" without assigning any reason for the same.
• Any large order for purchase or sale of a "Penny Stock" should be referred to Head – Dealing before such orders can be put in the market for execution.
• Clients must ensure that trading in "Penny Stock" does not result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny Stock" does not operate as a device to inflate or depress or cause fluctuations in the price of such stock.
• Clients are expected not to place orders in "Penny Stocks" at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of Stock broker
• In case of sale of "Penny Stocks", clients should ensure the delivery of shares to Stock broker before the pay-in date.

B. Setting up client's exposure limit

• Exposure limit for each client is determined by the Risk Management Department based on client's net worth information, client's financial capacity, prevailing market conditions and margin deposited by client in the form of funds / securities with Stock broker. These limits may be set exchange-wise, segment-wise, and scrip-wise.
• The limits are determined by Risk Management Department based on the above criteria and the payment history of the client in consultation with Sales / Sales traders.
• Stock broker retains the discretion to set and modify, from time to time, any client's exposure limit decided as above.
• Whenever any client has taken or wants to take exposure in any security, Stock broker may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients will be told to reduce the position immediately or they will be requested to deposit extra margin to meet the shortfall. Otherwise, Stock broker may refuse to trade on behalf of such client at its own discretion.

C. Applicable brokerage rate

• Brokerage Rate is mutually decided between the Stock broker and each client based on client's net worth, expected trading volume, etc. The maximum brokerage chargeable will not exceed the rates prescribed by SEBI and the exchanges.
• The applicable brokerage rate will be mentioned in the Client registration form and any change in the brokerage rate in future will be communicated to the client as per the applicable laws, rules, ragulations, circulars of SEBI/Exchange.

D. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period

• Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
• If there is delay on the part of the client in satisfying his / her margin obligation or settlement obligation then Stock broker shall levy delayed payment charges at the rate of 12% p.a. on such shortfall for the period of delay on such client. Stock broker shall recover such delayed payment charges from the client by debiting the client's account.
• No interest or charges will be paid by Stock broker to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

E. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues, limited to the extent of settlement margin obligation

• Stock broker has the right to close out / liquidate or square off any open position of the client (limited to the extent of settlement / margin obligation), without giving any prior notice, all or any of the client's positions as well as securities / collaterals placed as margins for non-payment of margin or other lawful amounts due from such client in respect of settlement or any other lawful dues that are recoverable from the client by Stock broker. The proceeds of the same shall be adjusted against the client's liabilities / obligations. Any loss or financial charges on account of such close-out / liquidation shall be debited to the client's account.

F. Shortages in obligations arising out of internal netting of trades

• In case of shortage in meeting the settlement obligation, either party shall endeavor to make good such shortage through securities / value of shortage as per the Rules, Regulations and Bye-laws of the respective stock exchange. In case of Internal shortage of security in NSE or BSE the securities will get auction by Wallfort Financial Services Ltd. On T+2 Day or on settlement day, The seller client will be debited at the highest rate on T+2 day or on settlement day, Securities payout will be passed on to the Buyer. The profit, arising on account of buy rate lower than the sell rate, the benefit, if any, will be passed on to buyer.

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

Stock broker shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- There is shortfall in the margin deposited by client with Stock broker.
- There is insider trading restrictions on the client.
- There are any unforeseen adverse market conditions or any natural calamity affecting the operation of the market.
- There are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- The client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- Stock broker has reached its limit in that scrip.
- The client has breached the client-wise limit.
- The client has taken or intends to take new position in a security which is in the banned period.
- Due to abnormal rise or fall in the market, the markets are closed.

H. Temporarily suspending or closing a client's account based on the client's request:

• Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, further dealing in such client's account will be blocked. Whenever trade has to be resumed in any suspended client account, a request in writing should be made by the client to the management and the management may ask for updated financial information and other details for reactivating such account. After receiving necessary documents, details, etc. and approval from the management, the client account will be reactivated and transaction will be carried out.
• Similarly, any client desirous of closing his / her account permanently is required to inform in writing and the decision in this regard will be taken by the management. After necessary approval from the management, the client code will be deactivated. Only after scrutinizing the compliance requirements and a "no pending queries" confirmation is taken, securities and funds accounts will be settled.

I. Deregistering a Client

Stock broker may, at its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which Stock broker may deregister a client are given below:
• SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
• Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
• Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
• Such client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
• Such client's account has been lying dormant for a long time or the client is not traceable.
• Such client has been declared insolvent or any legal proceedings to declare him / her as insolvent have been initiated.
• Such client has been irregular in fulfilling obligations towards margin or settlement dues.
• Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of Stock broker or may act as detriment to Stock broker's prospects.

J. Policy for inactive /dormant clients account:-

• Inactive client means client who is inactive during last 12 months immediately preceding the end of the previous month.
• A list of inactive clients shall be prepared from the back office software on the last day of every month and shall be submitted to the concerned department after confirmation with the management. The management will approve a final list of inactive clients.
• A copy of the list is also forwarded to dealers who operate our BOLT or NEAT terminals.
• The concerned department shall mark the client status as "inactive" or "dormant" in various front office software of CTCL and IML and back office accounting software.
• After inactive marking, if any orders are received, the dealer shall take reasonable steps to identify the identity of the client and to ensure that the orders are received from the same client. The dealer shall use various techniques like call back, asking personal detail questions, last trade date, outstanding positions etc to confirm the identity of the caller. They may use any other technique which is reasonable. In case of a doubt the case shall be referred to the management or concerned Sub-Broker or introducer.
• Dormant client has to update their KYC details at the time of fresh order, if required.
• Policy for return of clients assets there are shares/client ledger balances.



INACTIVE / DORMANT ACCOUNT
POLICY & PROCEDURE

Wallfort Financial Services Ltd. has formulated policies and procedure to be followed for inactive / dormant client. The policy broadly covers the aspects of time period and procedure for reactivation of account of the clients as stated here under:

About Dormant Account:

Inactive client means client who is inactive during last 06 months immediately preceding the end of the previous month.

A list of inactive clients shall be prepared from the back office software on the last day of every month and shall be submitted to the concerned department after confirmation with the management. The management will approve a final list of inactive clients.

A copy of the list is also forwarded to dealers who operate our terminals.

The concerned department shall mark the client status as "Inactive" or "Dormant" in various front office software and back office accounting software.

After inactive marking, if any orders are received, the dealer shall take reasonable steps to identify the identity of the client and to ensure that the orders are received from the same client. The dealer shall use various techniques like call back, asking personal detail questions, last trade date, outstanding positions etc to confirm the identity of the caller. They may use any other technique which is reasonable. In case of a doubt the case shall be referred to the management or concerned Sub-Broker/Authorized Person or Introducer.

Dormant client has to update their KYC details at the time of fresh order, if required.

Policy for return of Client Asset for Inactive Account:

We have a process of Quarterly Settlement of Client Funds & Securities. The Demat accounts of Clients trading with us are opened with CDSL. The Securities pertaining to the client are transferred on a quarterly basis to the respective client account and the funds are also settled on a quarterly basis.

In case of inactive account where the client are not traceable, we have a procedure of following up with the client through the registered email address and contact no. provided by the client at the time of account opening.

The securities of inactive client who are not traceable are kept in the client individual beneficiary account.

Re-activation of Trading Account:

The dormant account will be activated only after receiving request from the client to re-activate his accounts along with all the required formalities of KYC COMPLIANCE. The re-activating of trading account will require the following details/documents:

1. Proof of identity.
2. Latest Proof of Residential Address.
3. Latest Proof of Bank account.
4. Latest Proof of Demat statement.
5. Financial Details (Applicable for Derivatives Segment).

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges websites www.nseindia.com, www.bseindia.com, mcx-sx.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaing running account, payout of funds or delivery of securities as the case may be, may not be made to you within one working day from the receipt of payout from the Exchange. Thus the stock broker may maintain a running account for you subject to the following conditions:

    a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

    b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

    c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

✍_____

TARIFF SHEET

Brokerage Structure				
Capital Market/Cash Segment of Any Exchange			Other Tariff Charges :	
Trading Accout	% of Rate	Minimum (Rs.)	1. Minimum Brokerage per Contract for Non ECN Client (Rs.)	
Same Day Square off			2. Minimum Brokerage per Contract for ECN Client (Rs.)	
	❑ One Side	❑ Each Side		
Delivery Based Trade			3. Security Deposits / Margins	
Trade To Trade			4. Account Maintenance Charges	
			5. Account Modification Charges	
Futures & Options/Derivatives Segment of Any Exchange				
Trading Accout	% of Rate	Minimum(Rs.)	6. Charge to issue Duplicate Contract Note	
Same Day Square off				
	❑ One Side	❑ Each Side	7. Charges to issue Duplicate Statement of Account	
Futures				
Options			8. Charges to issue Physical Contract Note on Demand (For client who has opted for ECN)	

Statutory Charges & Levies to be charged at the preveiling rates as applicable from time to time	
Turnover/Transaction/Any other charges of Exchanges	Service Tax
SEBI Turnover Based Fee	Stamp Duty
Securities Transaction Tax (STT)	Any Other Charges levied/introduced by Regulators

Event Based Charges to be levied as per actuals	
Bank Charges like RTGS/NEFT/Cheque Return etc.	Demat Auto Payout/Intra Settlement/ Pledge/Unpledge Charges
Penalties Charged by Exchanges / SEBI / Any Regulatory Authorities ONLY if it is due to Client's Defaults / Errors / Violations	
Penalty for Cheque Return	Late Payment Charges

Place :								
Date :								

Signature of the Applicant (Pl. sign within the box only)	✍ _____

VOLUNTARY POLICIES

A. Digitally Signed contract Notes/ Confirmations

The member shall send the contract notes, trade confirmations, bills, account statement, notice, circular, ledger confirmation, margin statement, demat account holding statement and all other communication on the designated Email Id of the client who have opted to receive contract notes in electronic form.

B. DP charges and Exchange of Information

Member shall exchange necessary information with the DP for smooth conduct/ operation of broking/ demat account. Member shall debit the clients account towards the clients outstanding with the DP.

C. Tape recording of conversation

Client is aware that member may tape record the conversation between the client and the member.

D. Display of policy and other information on website of Member/ Exchange/ SEBI

Client is aware that the policies/ procedures of the member and other information are regularly hosted on the website of the member and he shall ensure to keep himself updated with the same. Client also agrees to keep himself updated with the circulars hosted on the SEBI/ exchange website.

Client is also aware that Investor grievance email ID, Policy & Procedures, Copy of Standard KYC, Risk Management Policy, Literature of AML requirement, Links to website of SEBI and stock Exchanges of which Stock Broker is a member, other Information that a trading member is required to furnish to his clients is hosted on member's website as well as available on demand from member's office.

Signature of Client _____

SMS and E-mail alerts to investors by stock exchanges

VOLUNTARY

(Ref: SEBI circular No. CIR/MIRSD/15/2011dated August 02, 2011)

I request you to enroll me for the following facility offered by the Stock Exchanges pursuant to above referred SEBI circular

☐ **SMS Facility** on Mobile No provided in my KYC

1. Mobile No Belongs to	☐ Self	☐ Family Member
2. In case of family member please specify the relationship: ☐ Dependent Child	☐ Dependent Parent	☐ Spouse
3. PAN No. of the family Member whose Mobile No is provided above:		

☐ **Email Facility** on email Id provided in my KYC

1. Email ID Belongs to	☐ Self	☐ Family Member
2. In case of family member please specify the relationship: ☐ Dependent Child	☐ Dependent Parent	☐ Spouse
3. PAN No. of the family Member whose Email ID is provided above:		

Note:

1. Individual Client is invariably required to provide his own Mobile No. except in case of family members where the following relationship exist Dependent Child OR Dependent Parent OR Spouse
2. Non Individual client shall provide the Mobile/ Email details of the person authorized to receive such communication and as provided in the KYC.
3. Client may please note that Mobile No. of Trading Member (TM)/ employees of TM/ Sub broker/ Authorised person are not permitted for receiving the SMS/ Email communication from exchanges
4. Client may note that the circular is available for download on the exchange's website.

Signature of Client _____

AUTHORITY FOR COLLECTION OF DOCUMENTS

VOLUNTARY

Dear Sir,

In reference to my/our dealings with you as your client, 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 except your obligation under SEBI/Exchange guidelines and the same will be binding on me/us:

Sr. No.	Name	Full Signature	Initials
1			
2			
3			
4			

Thanking you,

Date : _____

Client Name:_____

Client Code:_____

Signature of Client _____

To,

Wallfort Financial Services Ltd
205 A , Hari chambers
S.B Singh Marg,
Fort,
Mumbai-400001.

Date:

Dear Sir/Madam,

I have a trading a/c in Wallfort Financial Services Ltd. with Trading code-_____,
I request you to enroll me for the **email and sms** facility provided by the stock exchanges pursuant **SEBI circular - CIR/MIRSD/15/2011.**
I hereby request you to kindly update my Email & Mobile No as mention below for all segments.

1. Mobile No: _____

2. Email Id: _____

☐ SMS Facility on Mobile no. provided in my above

1. Mobile No. Belongs to ☐ Self ☐ Family No.
2. In case of family member please specify the relationship: ☐ Dependent Child ☐ Dependent Parent ☐ Spouse
3. Pan No. of the family member whose mobile no. is provide above: _____

☐ Email facility on email id provided in my above

1. Email Id belongs to ☐ Self ☐ Family No.
2. In case of family member please specify the relationship: ☐ Dependent Child ☐ Dependent Parent ☐ Spouse
3. Pan No. of the family member whose email id is provide above: _____

Note:

1. **Separate** mobile number/E-mail address shall be uploaded for **each client.** The stock broker may, at the specific written request from client, upload the same mobile number/E-mail address of one of the client's family member. 'Family' for this purpose would mean self, spouse, dependent children and dependent parents.
2. Mobile numbers/e-mail addresses of member's employees/sub-brokers/authorized persons should not be uploaded as mobile number or E mail ID of the client.
3. In case where we are unable to get the details from existing clients, we will retain verifiable records of seeking details of email Id and mobile number for such clients. However no fresh trade can be done for such client unless the E mail ID & mobile number. In cases where investors do not have mobile number/email id, they shall send us a declaration regarding the same.

Thanking you.
Yours sincerely,

Sign
Client Name: _____ **Client Code:** _____

VOLUNTARY

RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES

Date :_____

1. I am / We are regularly Trading with you in various segments / exchanges and I /we hereby authorized you to do following on my /our behalf:

2. I/We hereby give my/our consent to maintain my/our account for fund and securities as RUNNING ACCOUNT The Securities lying in my/our withhold A/c and credit balance lying in my / our account should be considered as margin deposits

3. The actual settlement of funds & Securities shall be done by you as under. You will send statement of Funds & Securities and I/We shall bring any discrepancy to your notice within preferbly 7 working days from the receipt of Statements

4. You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation

5. In case of outstanding obligation on settlement date you may retain an amount of up to Rs.10,000/- (net amount across segment and across stock exchanges

6. I/We have noted the following :-

   A. This running account authorization will continue until it is revoked by me.

   B. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person

   C. I/we may revoke the authorization at any time by giving written notice.

   D. Settlement Periodicity : | Monthly | | Quarterly | |

Yours faithfully,

Signature of Client_____

Name of the client _____

Client Code :- _____

FORMAT

Mandate For Receiving Documents Through Electronic Mode

To
Wallfort Financial Services Ltd.
205 A, 2nd Floor, Hari Chambars,
58/64, Shahid Bhagat Singh Road,
Fort, Mumbai - 400 001

Dear Sir,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail

I / We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE & NSE with you, mandatory and voluntary client registration documents entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
   You can also send me/us my/our margin statement in digital form with contract notes.
2. I / we undertake to check the contract notes and bring the discrepancies to your notice.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail : **igr@walfort.com**
5. Clients can view the digital contract notes using the username & password through the web - site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an interval of preferablely one year. If the client intends to view the digital contract notes for a period prior to preferablely one year client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time.
10. Digital Contract Notes will also be available at our Web-site **www.wallfort.com**
11. Any change in the E-mail ID shall be communicated by us / me through a physical letter.

Other Communication

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. to an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____

My/Our Alternative E-mail ID _____if any

Yours faithfully,

Client Signature

Client Code :

FORMAT

Authority to debit the Demat Account operating charges.

To
Wallfort Financial Services Ltd.
205 A, 2nd Floor, Hari Chambars,
58/64, Shahid Bhagat Singh Road,
Fort, Mumbai - 400 001

Dear Sir

Beneficiary Client Id_____

Trading Account code_____

This is to inform M/s. Wallfort Financial Services Ltd. that...

a. I/We have a beneficiary account with you with client ID as mentioned above.

b. Further I/We have a trading account with Wallfort Financial Services Ltd. (trading code as mentioned above) for investment and trading purpose.

c. I/We find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I/We hereby authorize you to debit my/our trading account maintained with you for the debit charges payable to you for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

Thanking you

Yours Faithfully

Signature of the Client:_____

Name of the client:_____

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

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

Date	D	D	M	M	Y	Y	Y	Y	**UCC/ DP ID**	I	N							**Client ID**								

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

Nomination Details

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

	Nomination can be made upto three nominees in the account.		**Details of 1st Nominee**		**Details of 2nd Nominee**		**Details of 3rd Nominee**	
1	**Name of the nominee(s) (Mr./Ms.)**							
2	**Share of each Nominee**	Equally [If not equally, please specify percentage]	**%**		**%**		**%**	
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.					
3	**Relationship With the Applicant (If Any)**							
4	**Address of Nominee(s)** City / Place: State & Country:							
		PIN Code						
5	**Mobile / Telephone No. of nominee(s)**							
6	**Email ID of nominee(s)**							
7	**Nominee Identification details [**Please tick any one of following and provide details of same] Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identity Demat Account ID		Nominee Photo		Nominee Photo		Nominee Photo	
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:								
8	**Date of Birth {in case of minor nominee(s)}**							
9	**Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }**							
10	**Address of Guardian(s)**							



	City / Place: State & Country:							
		PIN Code						
11	**Mobile / Telephone no. of Guardian**							
12	**Email ID of Guardian**							
13	**Relationship of Guardian with nominee**							
14	**Guardian Identification details** [Please tick any one of following and provide details of same] Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identit\ Demat Account ID							
Name(s) of holder(s)							**Signature(s) of holder***	
Sole / First Holder (Mr./Ms.)								
Second Holder (Mr./Ms.)								
Third Holder (Mr./Ms.)								

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

Note:

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

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Declaration Form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To Trading Dember/ Warticipant's Eame Trading Dember/ Warticipant's ddress	Date	D	D	M	M	Y	Y	Y	Y
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name and Signature of Holder(s)*

1._____2._____3_____

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

I Would like to receive following Documents

E mail ☐ Physical Documents ☐

- Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading);
- Uniform Risk Disclosure Documents (for all segments/exchange)
- Guidance Note detailing Do's and Don'ts for trading on stock exchange.

Confirmation of Receipt of Executed Documents

With reference to my/our registration as Client with you, I/WE hereby confirm that I/We have received copies of the Know Your Client Form (KYC), Rights & Obligations, Risk Disclosure Documents (RDD), Power of Attorney (POA) (if any), & all other executed documents. (All mendatory and voluntary client registration documents)

Name: _____

Client Code No:_____

Signature: ✍_____

Wallfort Financial Services Ltd.

201, Hari Chambers, 58/64, S. B. Singh Marg, Fort, Mumbai-400 001.
Tel.: 2261 1514-2261 1523-6117 6011-6117 6012 • Fax:22704296

CDSL SECURITIES ACCOUNT OPENING FORM (INDIVIDUALS)

DP ID : 12011800 • SEBI REG. NO.: IN-DP-714-2022

(To be filled by the Depository Participant)

Application No.										Date									
DP Internal Reference No.																			
DP ID	1	2	0	1	1	8	0	0		Client ID									

(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											
		UCC											
		Exchange Name & ID											
Second Holder's Name		PAN											
		UID											
Third Holder's Name		PAN											
		UID											

Name*	

*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in 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 Repartible Promoter ☐ NRI - Depository Receipts	☐ NRI Non - Repatriable ☐ NRI Non - Repartiable 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			

Application No.	CDS-

ACKNOWLEDGEMENT RECEIPT

WALLFORT FINANCIAL SERVICES LTD.

DP ID No. : 12011800

Accepted/Rejected the application from Mr/Ms._____as the solefirst holder alongwith _____and_____as the second & third holders respectvely for opening of a depository account. Your Client ID will be intimated to you shortly on acceptance. Please quote the DP ID & Client ID alloted to you in all your future correspondence Date :_____ **Participant Stamp and Signature**

(To be filled by the Depository Participant)

Sole / First Holder's Details

First Name					
Middle Name					
Last Name					
Father / Husband Name					
Title	❑ Mr. ❑ Mrs. ❑ Ms. ❑ Other			Suffix	
Correspondence Address					
City		State			
Country		PIN			
Telephone No.		Fax No.		Mobile	
PAN / GIR No.					
Date Of Birth					
IT Circle Ward / District					
E-Mail ID					
MAPIN Code					

Permanent Address
(if different from Correspondence)
Address)

City	State		
Country	PIN		
Telephone No.	Fax No.		Mobile
E-Mail ID			

Joint Holders - Second Holder's Details

First Name					
Middle Name					
Last Name					
Father / Husband Name					
Title	❑ Mr. ❑ Mrs. ❑ Ms. ❑ Other			Suffix	
PAN / GIR No.			Mobile		
IT Circle Ward / District					
Date Of Birth					
E-Mail ID		MAPIN Code			

Permanent Address
(if different from Correspondence)
Address)

City	State		
Country	PIN		
Telephone No.	Fax No.		Mobile
E-Mail ID			

Joint Holders - Third Holder's Details

First Name					
Middle Name					
Last Name					
Father / Husband Name					
Title	❑ Mr. ❑ Mrs. ❑ Ms. ❑ Other			Suffix	
PAN / GIR No.					
Date Of Birth					
E-Mail ID		MAPIN Code			

Permanent Address
(if different from Correspondence)
Address)

City	State		
Country	PIN		
Telephone No.	Fax No.		Mobile

Bank Details (Dividend Bank Details)

Bank Code (9 digit MICR code)					
IFS Code (11 character)					
Account Number					
Account Type	❑ Saving	❑ Current	❑ Others (Specify)		
Bank Name					
Branch Name					
Bank Branch Address					
City	State		Country	PIN Code	

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

Additional Details of Guardian (If First Holder or Second Holder or Third Holder is a minor)

First Name					
Middle Name					
Last Name					
Relation with the applicant					
Correspondence Address					
City		State			
Country		PIN			
Telephone No.		Fax No.		Mobile	
PAN / GIR No.					
IT Circle Ward / District					
E-mail ID					

Other Details Gross Annual Income Details	**Income Range per annum** ❑ Up to Rs. 1,00,000 ❑ Rs. 1,00,000 to Rs. 5,00,000 ❑ Rs. 5,00,000 to Rs. 10,00,000 ❑ Rs. 10,00,000 to Rs. 25,00,000 ❑ More than Rs. 25,00,000
	Net worth as on (Date)
	(Net worth should not be older than 1 year)
	❑ Private / Public Sector ❑ Govt. Service ❑ Business ❑ Professional ❑ Agriculture ❑ Retired ❑ Housewife ❑ Student ❑ Other (Specify)
Please tick, if applicable:	❑ Politically Exposed Person (PEP) ❑ Related to Potitically Exposed Person (RPEP)
Any other information	

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).
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"

Stock Exchange Name/ID	Cleaning Member Name	Cleaning Member ID (Optional)

Easi	To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and Value of the portfolio online.

○ Nomination: Yes / No

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

❑ Sole Holder	❑ Jointly	❑ Anyone of the holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be **first holder.**

❑ First Holder	❑ All Holder	Email Id
	❑ Second Holder	
	❑ Third Holder	

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 ❑ Fornightly ❑ 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 and 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 inmandatory for locations notified by SEBI from time to time]	❑ Yes ❑ No

I/We have read terms & Conditions DP-BO agreement 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 anychange(s) in the details / Particulars mentioned by / 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 accounts liable for termination and suitable action.

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures 1			
Passport size Photograph	(Please sign across the Photograph)	(Please sign across the Photograph)	(Please sign across the Photograph)

(Signature should be preferably in black ink) (In case of minor holder, photograph of guardian has to affixed along with minor's photograph.

For NRI's

Foreign Address			
City		State	
Country		PIN	
RBI Ref. No.		RBI Approval Date	

I / We instruct the DP to receive each and every credit in my / our account in accordance with regulation 42 (B) of SEBI (D&P) regulation				(Automatic Credit) ☐ Yes ☐ No
Account Statement Requirement	☐ Daily	☐ Weekly	☐ Fornightly	☐ Monthly

Introduction

(by an existing account holder of Wallfort Financial Services Ltd.

I confirm the identify & address of the application)

Name _____

Client ID _____

Signature of Introducer (to be verified by DP official)

Nomination

I/We nominate the following person who is entitled to receive securities outstanding in my/our account in the event of the death of the sole holder or the death of all the joint holders

Name of the Nominee

Relationship with the applicant (if any)

Address

Pin Code

***Guardian Details (In case the Nominee is minor)**

Name	
Relationship with the Nominee (if any)	
Address	Pin Code
Date of Birth (of Minor)	

(To be signed by the applicant only in case of nomination)

2 _____ _____ _____

(Sole / First Holder) (Second Holder) (Third Holder)

Instructions to the Applicants (Bos) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signature should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), seprate annexures should be attached to the account opening form.
5. In case of applications applications containing a Power of Attorney, the relevant Power of Attorney or the self certified copy thereof, must be lodged along with the application.
6. All correspondence / quries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

○ Nomination: Yes / No

Documents for Depository Account Opening

	Individual Residents & NRI's
Application Form Specific for each segment alongwith Photographs	Individual A/c Opening Form
Agreement" alongwith Schedule A Signed on all the pages to be executed in presence of DP official - to be stamped as per the 'State Stamp Act'	

A. For Individual Accounts Only.
ALL COPY SHOULD BE SELF ATTESTED

a) Pan Card details
Pan Card is Madatory

b) Proof of Address: (Any one of the following documents should be collected.)
1) Aadhar card
2) Passport (3) Voter ID card.
4) Driving Licence
5) Bank Passbook / Bank Statement (not more than two month old.)
6) Verified copies of
   a) Electricity Bills (not more than two Months old)
   b) Residence Telephone bills(not more than two months old)

B) Proof of bank details
1) Photocopy of the cancelled cheque having the name of the account Holder where cheque book is issued.
2) Photocopy of the Bank Statement having name and address of the BO and not more than 2 months old.

C) Mobile No. / Email ID / Nominee Name

FOR HUF ACCOUNTS ONLY.
1 All the documents, as mentioned above for account opening of individual inverstors, will be required to be submitted for the Karta of HUF.
2 PAN card and bank passbook of HUF indicating its existence.
3 PAN card of the Karta & Individual.
4 Declaration by the Karta giving details of the family members of the HUF with their names, date of birth, sex and relationship with the Karta.
5 The Karta should sign the AOF and the declaration under the stamp of HUF
6 HUF accounts cannot be opened with joint holders.
7 No nomination can be made in HUF account.

Procedure to be followed in case of POA being given by the HUF
* The Power of Attorney (POA) document should be signed by the Karta of the HUF and all the co-parceners.

Nomination Form for Demat Accounts

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal								
Nomination Details								
	Mandatory Details						**Additional Details ******	
	Name of nominee	**Share of nominee (%)****	**Relation ship**	**Postal Address**	**Mobile Number & E-mail**	**Identity Number *****	**D.o.B. of nominee**	**Guardian**
Nominee 1								
Nominee 2								
Nominee 3								

***Joint Accounts:**

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

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

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

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

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

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

○ **Name of nominee(s)**

○ **Nomination: Yes / No**

[Signature(s) – As per the mode of holding in demat account(s)

Nomination Form for Demat Accounts

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

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

Rights, Entitlement and Obligation of the investor and nominee:

- **You can make nomination or change nominee any number of times without any restriction.**
- **You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.**
- **The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.**
  - **'Either or Survivor' Accounts - any one of the holder can sign**
  - **'First holder' Accounts - only First holder can sign**
  - **'Jointly' Accounts - all holders have to sign**

Transmission aspects

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

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

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

Declaration Form for opting out of nomination

Date								

DP ID	1	2	0	1	1	8	0	0
Demat account								

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my our demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account.

Name and Signature of Holder(s)*

1. **2.** **3**

Witness details*

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

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

========== (Please Tear Here) ==========

Acknowledgement Receipt

Application No.: **Date:**

We hereby acknowledge the receipt of the Account Opening and nomination Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

Depository Participant Seal and Signature

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

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 relevent notificaions 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, suporting 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 Qwner shall immediately notify the DP in writing, if there is any change in details provided in the account opening from 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 dematerialised from 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 cieculars/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 Bys 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 oeder, instruction, direction or mandate duly suthorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorization.

12. The Beneficial Owner reserves the right to give standing instruction with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

5

(Sole / First Holder) (Second Holder) (Third Holder)

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 transactions 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 forwards the statement of demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction staement as mandated by SEBI and/or Depository from time to time.

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 provisded 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 intitiate the procedure for transferring such security balances or rematerialize such security balances or rematerialize such security balances within a period of thirty days as per procedure specifiedd 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 prejidice 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 Depositories Act, 1996.

    1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficiail owner due 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, shall have the right to recover the same from such participant.

6 _____ (Sole / First Holder)

_____ (Second Holder)

_____ (Third Holder)

Freezing/Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account mainted with the DP in accordnace 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 Owner on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grivance

24. The DP shall readress all grivances of the Beneficial Owner against the DP within 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 altertions 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 requries, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and cieculars/notices issued there under by the depository and / or SEBI.

30. Any changes in the rights and obligations which are specified by SEBI/Depositors 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.

32 **Additional Rights And Obligations :-**
"The stock broker / stock broker and depository participant shall directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the Client if the client refuses to excecute PoA or DDPI."

33. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority

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(Sole / First Holder) (Second Holder) (Third Holder)

Terms And Conditions for availing Transactions 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 "Services Provider" means a celluer service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST serivice 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 provide 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 reponsible 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 message 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 condusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be liable for acting on SMS so recived.

6. The BO shall be responsible for submitting reponse to the 'Reponsive SMS' within the specified time period. Transactions for which no positive or negetive confirmation is received from th BO, will not executed except for transactions for deregistration. Further, CDSL shall not reponsible 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 from by all joint holders shall mean that instructions executed on the basis of SMS received from the 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 vis different from the mobile number recorded for SMART and TRUST. If the mobile number provide for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as wel 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. In case 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 message for confrimation of a transaction to the BO only if the Cleaning Member (registered by the 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 reponse, 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 eefected after entry of such request by the DP in CDSL system if the request is received through the DP.

13. Depository reserve the right to charge such fees from time to time 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 divilgence 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 the 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 reponsible for any claim made by the BO informing that same was not originated by him.

17. Indemnity:

In consideration of providing the servicde, 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 conseauencw of or arising out of interference with or misuse, improper or fraudlent use of the service by the BO.

18. Disclaimer:

Depository shall be absovled of any liability in case :-

a. There is loss of any information during processing or transmission or any unauthorised 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 provider.

c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

8 _____ (Sole / First Holder)

_____ (Second Holder)

_____ (Third Holder)

Terms And Conditions-Cum-Registration / Modification Form For Receiving SMS Alerts From CDSL

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of Dps who are allowed to open demat accounts for ivestors.
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 Services"
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. "Services" 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 / indenfinite 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 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 reponsible for promptly intimating to the sepository 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 indemnity the depository for any loss or damage suffered by it on account of SMS alerts sent 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 reponsible for any event of delay or loss of message in the regard.
2. The BO acknowledge that alerts will be received only if the mobile phone is in 'ON' 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 redability accuracy and timeless 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 distortonb of the alert in any way whatsoever.
4. The BO further aqcknowledge 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 authorize the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO, agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL, and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unsuthorised transfer of securities from his BO account, immediatley, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com The BO is advised not to inform the service provider about any such unauthorised 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 slert on the mobile phone number shall be demand 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 made 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 findsthat the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:
Depotory reservse the right change such fees from time t otime as it deems fit for providing this service to the BO.

Disclaimer:
The depository shall make reasonable efforts to ensure that 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 make 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 however 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 repect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorised use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

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

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

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

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

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

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

I/We am/ are aware that more 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 | 1 | 1 | 8 | 0 | 0 | | | | | | | | |
(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which message 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)

Signatures 9 _____ Sole / First Holder _____ Second Holder _____ Third Holder

Place _____ Date _____

Wallfort Financial Services Ltd.
201, Hari Chambers, 58/64, S. B. Singh Marg, Fort, Mumbai-400 001.
Tel.: 2261 1514-2261 1523-6117 6011-6117 6012 • Fax:22704296

DP ID	1	2	0	1	1	8	0	0	Client ID								

To,
The DP
Wallfort Financial Services Ltd
Fort, Mumbai.

CKYC Consent Form

Dear Sir/Madam

I, _____ give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC record includes my KYC Records / Personal information such as my name, address, date of birth, PAN number etc.

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature 10			

UCC code -_____

Wallfort Financial Services Ltd.
201, Hari Chambers, 58/64, S. B. Singh Marg, Fort, Mumbai-400 001.
Tel.: 2261 1514-2261 1523-6117 6011-6117 6012 • Fax:22704296

DP ID	1	2	0	1	1	8	0	0	Client ID								

To,
The DP
Wallfort Financial Services Ltd
Fort, Mumbai.

CKYC Consent Form

Dear Sir/Madam

I, _____ give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC record includes my KYC Records / Personal information such as my name, address, date of birth, PAN number etc.

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature 10			

UCC code -_____

Wallfort Financial Services Ltd.

201, Hari Chambers, 58/64, S. B. Singh Marg, Fort, Mumbai-400 001.
Tel.: 2261 1514-2261 1523-6117 6011-6117 6012 • Fax:22704296

Consent Letter

DP ID	1	2	0	1	1	8	0	0	Client ID								

Sole / First Holder's Name	
Second Holder's Name	
Third Holder's Name	

Email ID : _____

Client Email ID belonging to : ☐ Self ☐ Spouse ☐ Dependent Childern ☐ Dependent Parents

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

Mobile Number on which massages are to be sent										

The Mobile number is Registered In the Name of : _____

Mobile Number belonging to : ☐ Self ☐ Spouse ☐ Dependent Childern ☐ Dependent Parents

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature 11			

Date : _____

Place : _____

Tariffs Card

DP ID: 11800

WALLFORT FINANCIAL SERVICES LTD

Statutory Charges at the time of Account Opening	NIL
Advance / Deposit	NIL
Account Maintenance	300/-
Demat	Rs.3/- per Certificate or Rs.30/- per request whichever is high
Remat	Rs.3/- per Certificate or Rs.30/- per request whichever is high
Transaction (Debit)	Rs.10/- or 0.02% whichever is high
Pledge Creation	Rs.30/- or 0.02% whichever is high
Pledge Creation Confirmation	Rs.30/- or 0.02% whichever is high
Pledge Clouser	Rs.30/- or 0.02% whichever is high
Pledge Clouser Confirmation	Rs.30/- or 0.02% whichever is high
Pledge Invocation	Rs.30/- or 0.02% whichever is high
Failed Instruction Charges	Rs.10/-
Other Charges	NIL
Designated Director Under PMLA	Deepak Lahoti
Email ID of Designated Director	deepak.lahoti@wallfort.com

BSDA CHARGES

Value of Holdings in the Demat Account (Debt as well as other than debt Securities Combined)	Maximum Annual Maintenance Charges
Up to Rs.4 Lakhs	NIL
More than Rs 4 lakhs but up to Rs.10 lakhs	Rs.100
More than Rs 10 lakhs	Not a BSDA Regular AMC may be levied

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(Sole / First Holder) (Second Holder) (Third Holder)

INDIVIDUAL SELF CERTIFICATION FOR THE PURPOSE OF SECTION 285BA OF THE INCOME-TAX ACT,

Section 1 : Individual Identification

Identification of Accountholder

Name of the Accountholder :

Client Id (Demat Account No.) :

Date Of Birth :

Place of Birth :

Country of Birth :

Citizenship :

Nationality :

Address :

Number, Building Name, Street, Locality : City/Town

State/Province/Country Post Code Country

Mailing address (if different from above) :

Number, Building Name, Street, Locality City/Town

State/Province/Country Post Code Country

Section 2 : Declaration of Tax Residency

For the purpose of taxation, I am a resident in the following countries and my Tax Identification Number (TIN)/functional equivalent in each country is set out below or I have indicated that a TIN/functional equivalent is unavailable (kindly fill details of all countries of tax residence if more than one):

Country/Countries of tax residency	Tax identification number (TIN)/ functional equivalent number	TIN/Functional equivalent Number issuning country	Validity Of documentary evidence

Documentary evidence to be collected

1) In case of Us Citizenship, US Nationality, and / or unambiguous place of birth in US **BUT** not resident in us for tax purpose, please provide-
   a) Copy of a non-U.S. passport or other government-issued identification evidencing your citizenship or nationality in a country other than the United States of Ameraica; **AND**
   b) Copy of Certificate of Loss of Nationality of the United States of America held by you or a reasonable explanation of:
      - The reason you do not have such a certificate despite relinquishing U.S. citizenship; or
      - The reason you did not obtain U.S. citizenship birth.

2) If tax resident outside India - A certificate of residence issued by an authorized government body, including a government agency or a municipality, of the country or territory in which payee claims to be a resident; or certified copy of TIN card/statement or functinal equivalent.

Section 3 : Declaration and Undertakings

I/We Certify that:

a) the information provided above is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.

b) the information provide by me/us above as well as in the documentary evidence provided by me/us are, to the best of my/our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as Reportable account or otherwise.

c) I/We permit/authorise the Company to collect, store, communicate and process information realting to the Account and all transactions therein, by the Company and any of its affiliates where ever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.

d) I/We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided above as well as in the documentary evidence provided by me/us or if any certificate becomes incorrect and to provide fresh self certification alongwith documentary evidence.

e) I/We also agree that my/our failure to disclose any material fact known to me/us, now or in future, may invalidate my/our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI)/RBI for the purpose or take any other action as may be deemed appropriate by the Comapny if the deficiency is not remedied by me/us within the stipulated period.

f) I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.

g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.

h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.

i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.

Signature of the Account holder: _____ 14

Name :_____

Place :_____

Date :_____

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201, Hari Chambers, 58/64, S. B. Singh Marg, Fort, Mumbai-400 001.
Tel.: 2261 1514-2261 1523-6117 6011-6117 6012 • Fax:22704296

HUF DECLARATION LETTER

To,
The DP
Wallfort Financial Services Ltd.
Fort, Mumbai.

Dear Sir,

This is to certify that hereby we have no objection to opening a Demat account with you under name _____

Kindly do the needful,

Thanking You,

Yours truly,

SR. NO.	COPERCENERS/FAMILY MEMBERS	RELATION	DATE OF BIRTH	SIGNATURE

(When there is HUF Account you are requested to Sign in the Box with the Stamp)

Wallfort Financial Services Ltd.
201, Hari Chambers, 58/64, S. B. Singh Marg, Fort, Mumbai-400 001.
Tel.: 2261 1514-2261 1523-6117 6011-6117 6012 • Fax:22704296

Annexure 2.5

OPTION FORM FOR ISSUE OF DIS BOOKLET

									Date										
DP ID	1	2	0	1	1	8	0	0	Client ID										
First Holder Name																			
Second Holder Name																			
Third Holder Name																			

Dear Sir / Madam,
I / We hereby state that: (Select one of the options given below)

☐ **OPTIONS 1:**

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

Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature 15			

OR

☐ **OPTIONS 2**

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/registered for eDIS / executed PMS agreement in favour of / with _____(name of the attorney / Cleaning Member / PMS manager) for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. 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			

Freezing/Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account mainted with the DP in accordnace 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 Owner on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grivance

24. The DP shall readress all grivances of the Beneficial Owner against the DP within 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 altertions 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 requries, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and cieculars/notices issued there under by the depository and / or SEBI.

30. Any changes in the rights and obligations which are specified by SEBI/Depositors 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.

32 **Additional Rights And Obligations :-**
"The stock broker / stock broker and depository participant shall directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the Client if the client refuses to excecute PoA or DDPI."

33. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority

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(Sole / First Holder) (Second Holder) (Third Holder)