

CLIENT REGISTRATION FORM

Sl.No.

Client Code

Client Name

PAN Number

BO ID	1	2	0	5	1	9	0	0											
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G.S.V. Securities Pvt.Ltd.

Corporate Member : NSE

Depository Participant : CDSL

Corp. Off.: #49-24-62, 2nd Floor, Coastal Heights,
Shankaramatam Road, VISAKHAPATNAM - 530 016.
Andhra Pradesh, INDIA. Tel: 0891-2547640, Mobile : 93472 03430

Regd. Off.: #206, Sri Dattasai Commercial Complex,
RTC 'X' Roads, Hyderabad - 500 020, Andhra Pradesh, INDIA.
Tel: 040-27620315, Mobile : 93472 03425

SEBI Reg. No. INB231274839, INF 231274839, INE231274839, IN-DP-CDSL-419-2007

www.gsvsecurities.com

e-mail : info@gsvsecurities.com

dp@gsvsecurities.com

G.S.V. Securities Pvt.Ltd. - Check List

CHECKLIST OF DOCUMENTS TO BE SUBMITTED ALONG WITH THE FORM

(A) Xerox copy of PAN card is Mandatory

<p>(B) Proof of IDENTITY (Please provide copy of any one)</p> <p><input type="checkbox"/> Passport</p> <p><input type="checkbox"/> Voter ID Card</p> <p><input type="checkbox"/> Driving License</p> <p>Identity card/document with applicant's photo, Issued by</p> <p><input type="checkbox"/> a) Central / State Government and its departments,</p> <p><input type="checkbox"/> b) Statutory/Regulatory Authorities,</p> <p><input type="checkbox"/> c) Public Sector Undertakings,</p> <p><input type="checkbox"/> d) Scheduled Commercial Banks,</p> <p><input type="checkbox"/> e) Public financial Institutions,</p> <p><input type="checkbox"/> f) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members</p>	<p>(C) Proof of ADDRESS (Please provide copy of any one)</p> <p><input type="checkbox"/> Latest Bank Statement/Passbook (Not more than 2 months old)</p> <p><input type="checkbox"/> Resi. telephone / Electricity Bill (Not more than 2 months old)</p> <p><input type="checkbox"/> Passport</p> <p><input type="checkbox"/> Voter ID Card</p> <p><input type="checkbox"/> Driving License</p> <p>Identity card/document with applicant's photo, Issued by</p> <p><input type="checkbox"/> a) Central / State Government and its departments,</p> <p><input type="checkbox"/> b) Statutory/Regulatory Authorities,</p> <p><input type="checkbox"/> c) Public Sector Undertakings,</p> <p><input type="checkbox"/> d) Scheduled Commercial Banks,</p> <p><input type="checkbox"/> e) Public financial Institutions,</p> <p><input type="checkbox"/> f) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members</p>	<p>(D) For NRI Clients.</p> <p><input type="checkbox"/> Indian Address & Foreign Address with proof</p> <p><input type="checkbox"/> Copy of Passport</p> <p><input type="checkbox"/> Banker certification letter indicating type of a/c as NRE / NRO</p> <p><input type="checkbox"/> Copy of RBI Approval, if available.</p> <hr/> <p>(E) For corporate clients</p> <p><input type="checkbox"/> Pan photo copy of the company</p> <p><input type="checkbox"/> company bank a/c proof</p> <p><input type="checkbox"/> address proof <input type="checkbox"/> demat statement</p> <p><input type="checkbox"/> Certified true copy of MOA</p> <p><input type="checkbox"/> board resolution.</p> <p><input type="checkbox"/> Certified true copy of balance sheet of last two years</p>
<p>(F) For HUF</p> <p><input type="checkbox"/> Photo copy of HUF pan card</p> <p><input type="checkbox"/> Proof of HUF Bank a/c</p> <p><input type="checkbox"/> Proof of HUF Demat a/c</p> <p><input type="checkbox"/> Declaration form duly signed by KARTA with names and signatures of family members</p>	<p>Evidence of Financial details</p> <p>Salary Slip : <input style="width: 50px;" type="text"/></p> <p>Copy of form 16 : <input style="width: 50px;" type="text"/></p> <p>Network Certificate : <input style="width: 50px;" type="text"/></p> <p>Balance Sheet : <input style="width: 50px;" type="text"/></p> <p>Copy of ITR Acknowledgement : <input style="width: 50px;" type="text"/></p> <p>Self Declaration along with relevant supporting : <input style="width: 50px;" type="text"/></p> <p>1. _____</p> <p>2. _____</p>	
<p>(G) ENCLOSURES</p> <p><input type="checkbox"/> Latest photograph of HOLDER</p> <p><input type="checkbox"/> Bank Details with statement /cancelled cheque leaf for MICR code</p> <p><input type="checkbox"/> Proof of Demat a/c (DP Client Master)</p>		

- *. Please use CAPITAL LETTERS while filling up the a/c opening form
- *. In agreement KYC form should be filled by client
- *. Introduction signature is mandatory
- *. Occupation details is mandatory
- *. Please provide cancelled cheque leaf for MICR verification
- *. Please provide one contact phone no & E-mail ID
- *. If any alterations/overwritings, please take client signature
- *. All proofs need self attestation.
- *. All original documents need to be checked while opening the a/c
- *. Checked with originals and signature of the Branch Incharge on the photocopies
- *. Total agreement filling at branch only

THE MEMBER DISCLOSES HERewith THAT IT UNDERTAKES PROPRIETARY TRADING IN ADDITION TO CLIENT BUSINESS.

DECLARATION PURSUANT TO NSE CIRCULAR BEARING REFERENCE NO. NSE/INSP 2006/52 DATED 5 TH JULY, 2006 AND SEBI NOTICE BEARING REFERENCE NO. SEBI/MIRSD/DPS-1/CIR-31/2004 DATED AUGUST 26, 2004 AND CIRCULAR NO. MIRSD/SE/CIR-19/2009 DATED DECEMBER 3RD, 2009.

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PART - A

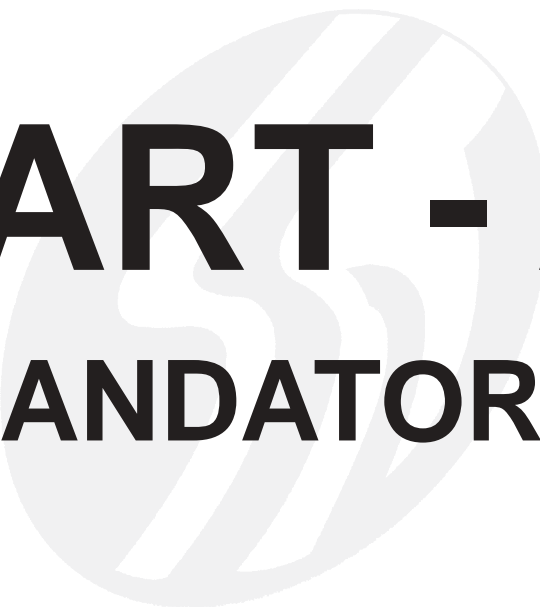
Mandatory Documents as specified by SEBI, NSE AND CDSL.

Sl. No.	Document	Document Description	Page No.
01	KYC	Know Your Client - KYC is designed to capture Personal information like identity, address, occupation, experience and financial details required for registration of a client for Broking and Mutual funds in NSE and Depository participant (CDSL)	01-06
02	MCA- NSE	Member Client Agreement-NSE - An agreement containing mandatory clauses and also explains the Rules, Regulations to be followed and implemented by the Stock broker and Client as per Statutory and Regulatory Authorities.	07-09
03	TRIPARTITE	Tripartite Agreement between Stock Broker, Sub-broker and client - NSE (only for clients registering through Registered sub-broker)	10-14
04	MCA INTERNET	Member Client Agreement-NOW-An agreement and relation between a Stock broker and Client trading through Internet and also explains the Rules, Regulations to be followed and implemented by the Stockbroker and Client as per Statutory and Regulatory Authorities.	15-16
05	CDSL Agreement	Participant Client Agreement - CDSL — An agreement containing mandatory clauses and explains the Rules, Regulations to be followed and implemented by the Depository Participant and Client as per Statutory and Regulatory Authorities. Tariff schedule of BO and SMS alert confirmation from CDSL.	17-24
06	MCA- MUTUAL FUND	Member Client Agreement - MUTUAL FUND- An agreement and relation between a Stock broker and Client and also explains the Rules, Regulations to be followed and implemented by the Stock broker and Client as per Statutory and Regulatory Authorities to Purchase/Redeem MF units.	25-26
07	RDD	Combined Risk Disclosure Document - A detailed note about the Technical and Financial Risks involved in dealing with Equities, Derivatives and Currency markets. Applicant should understand all the risks associated with trading before signing the document.	27-30
08	IRO	Investor's Rights and Obligations- Explains about Investor's Rights while dealing in the markets and the obligations to meet the statutory and regulatory bodies.	30-31
09	Mandatory Policies & Procedures	Mandatory Policies and procedures contains description of nine policies which a Member Broker is required to state as per SEBI Circular No. MIRSD / SE / Cir - 19/2009 December 3, 2009	32-34

PART - B

The List of Documents which are Voluntary

S. No.	Document Description	Page No.
10	Specific Authorization to GSV SECURITIES PVT LTD to execute the transactions related to DP on behalf of client (POA)	35-36
11	Request for Statement of transaction / Holding / Bill / Communication through Electronic Mode	37
12	Authorization - Running Account Authorization to the Stock Broker	38
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14	Authorization Letter for Exposures, Margins, Shortages, Payout of Securities / Funds	40-41
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PART - A
MANDATORY

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G.S.V. SECURITIES PRIVATE LIMITED

Corporate Member : NSE Depository Participant : CDSL

Regd. Office : 206, Sri Dattasai Commercial Complex, RTC 'X' Roads, Hyderabad - 500 020

Corp. Office : 49-24-62, 2nd Floor, Coastal Heights, Shankaramatam Road, Visakhapatnam - 500 016.

Ph : 040-27620315, Mobile : 93472 03425, Fax : 0891 - 2784941, E-mail : info@gsvsecurities.com

DP Ph : 0891 - 2788230, E-mail : dp@gsvsecurities.com

SEBI REGN NO. INB 231274839-NSE CM

SEBI REGN NO. INE 231274839-NSE CD

SEBI REGN NO. INF 231274839-NSE F&O

SEBI REGN NO. IN-DP-CDSL-419-2007

Web Site : www.gsvsecurities.com

APPLICATION FORM FOR OPENING ACCOUNT

Broking, Demat & Mutual Funds

(This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except to and with the express permission of clients) (All Columns are to be filled in by the client and copies of the relevant supporting documents need to be attached by the clients)

For Office Purposes :

Constituent code : _____ Verified by : _____ Authorised by : _____

App.No.	DP Internal Reference No.					Date	D	D	M	M	Y	Y	Y	Y
DP ID	1	2	0	5	1	9	0	0	Client ID					

Clearing member for NSE F&O : ISSL SEBI Reg.No.INF 231136630
 Clearing member for NSE CD : ISSL SEBI Reg.No. INE 231308334
 Address : IL & FS Securities Services Limited,
 Plot No. 14, Raheja Vijar, Chandivali, Andheri (E), Mumbai 400 072.

Signature across the Photo

Please affix one recent passport size Photo and Sign across

Sole/First Applicant Information:

1. First Name : _____
 Middle Name : _____
 Last Name : _____

2. Father / Husband Name : _____

3. Date of Birth: _____ / _____ / _____

4. Educational Qualification : _____

5. Unique Identification Number (If obtained) _____

6. Sex : Male Female

7. Permanent/Present Address : _____

City : _____

Pin Code : _____

State : _____

Country : _____

Mobile No. : _____ Fax No.: _____ Tel No. (O/R) _____

8. Marital Status : Married Unmarried

Correspondence / Foreign Address : _____

9. PAN No. : _____

Status : Individual NRI Foreign National

SMS Facility : Yes No

10. Bank Account Details :

(through which transactions will generally be routed, default designated Bank for payouts, dividends, redemption credits & for ECS)

Bank Name : _____ Bank Code (9 digit MICR Code)

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Branch Address : _____

Account No. : _____ Account Type : Savings / Current / NRI / Others : _____

i) Photo Copy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

ii) Photo Copy of the Bank Statement having name & address of the BO and not more than 4 months old. (or)

iii) Photo copy of the Pass Book having name and address of the BO. (or)

iv) Letter form the Bank mentioning the details of bank account.

In case of options (ii),(iii) & (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self - certificated by the BO.

11. Demat Account Details :

Depository Participant Name & Address _____

(through which transactions will generally be routed)

DP ID : _____ BO / Client Account Number _____

12. Occupation Details : (Tick whichever is applicable)Occupation : Employed Self Employed Business Professional Housewife Student Retired Others**13. If Employed :** Central Govt. State Govt. Public / Private NGO Statutory

Bodies

Name of Employer : _____

Office Address : _____

City : _____ Pin Code : _____

State : _____ Country : _____

Telephone Number (Office) : _____ Fax No / Telex No. : _____

14. If self Employed / Business / Professional / Others :

Name of the establishment & Nature of Business : _____

Office Address : _____

City : _____ Pin Code : _____

State : _____ Country : _____

Telephone Number (Office): _____ Fax No / Telex No. : _____

15. Financial details of the constituent : Income Range (Per Annum) : (Tick whichever is applicable)

(The Investments/Trades done by you should be proportionate to your financial details and Income)




 Below Rs. 1 Lakhs Rs. 1 Lakh - Rs. 5 Lakhs Rs.5 Lakhs - Rs.10 Lakhs Rs. 10 Lakhs - Rs. 25 Lakhs Above Rs. 25. Lakhs**Following information is mandatory for applicant opting for trading in derivative segment :**A. Clients opting for derivative segment are requested to provide one or more of the mentioned documents as of their Networth / Income Proof : Bank Statement for last 6 months Statement of DP holdings Networth Certificate from CA IT Returns Proof of Ownership of assets Salary Slip / Form 16 Self declaration with supporting documents**16. Investment / Trading Experience :**

_____ No Prior Experience _____ Years in Stocks

_____ Years in Derivatives _____ Years in Other investment related fields

17. Trading Preference: (Please sign at the relevant Market Segment)

A. Stock Exchanges & Market Segments on which you wish to trade (if the member is registered for such Exchanges) :

1. NSE CASH :  _____
2. NSE F&O :  _____
3. NSE CD :  _____

18. Whether registered with any other broker-member: (if registered with multiple Members, provide details of all)

Name of Broker : _____ Name of Exchange: _____ Client code No. : _____

19. Details of any action taken by SEBI / Stock exchange / any other authority for violation of securities laws / other economic offences. _____

I/We confirm that no action has been taken by SEBI / stock exchange or any authority for violation of securities law or other economic offences during the last 3 years.

20. Reference:

 _____

Introduced by : Another Client Employee Director Sub-broker Others (specify) _____

Name of the Introducer : _____

Address : _____

Client ID / DP ID of the Introducer, if any : _____

Signature : _____ Id Proof : _____ Ph No.: _____

21. In person verification :

(Name and designation of the employee who interviewed & verified in person the client):

This is to confirm that I have met and interviewed the client personally and I have done independent verification of the client's background and financial worthiness. I confirm that I have done in person verification of the client, as per the guidelines.

Name : _____ Employee Code : _____ Date : _____

Designation : _____ Signature of the employee : _____

List of Original Documents Verified: 1. Proof of address _____

2. PAN: _____ Verified with WEB-SITE : _____

 _____

(signature of employee)

(client signature in presence of employee)

22. Declaration :

I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting I/we are aware that I/we may be held liable for it. I/we undertake to provide update the information regarding my/our income and networth on yearly basis. I/we agree to the brokerage rates and the exposure limits as stated in this application form which may change from time to time as decided by GSV.

Place : _____

Date : _____

 _____

(Signature of the constituent)

DOCUMENTARY REQUIREMENTS

Copies of the following documents may be obtained after due verification with the originals thereof

ID Proof - PAN : _____ Address Proof : _____

Bank - Proof : _____

Demat Proof : _____

Details for Demat

(The Personal Information required to register for DP has already been provided in the application. The additional information required is as under):

Second Applicant Details:

First Name : _____
 Middle Name : _____
 Last Name : _____
 Father / Husband Name: _____ Date of Birth : _____
 Permanent Address : _____
 _____ Pin Code: _____
 Telephone: _____ Fax: _____ Mobile: _____ SMS Facility : Yes No
 Occupation: _____ Gender: Male Female
 PAN No.:

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 E-mail : _____

Third Applicant Details:

First Name : _____
 Middle Name: _____
 Last Name : _____
 Father / Husband Name: _____ Date of Birth : _____
 Permanent Address: _____
 _____ Pin Code : _____
 Telephone : _____ Fax : _____ Mobile : _____ SMS Facility : Yes No
 Occupation : _____ Gender: Male Female
 PAN No.:

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 E-mail. _____

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

First Name : _____
 Middle Name : _____
 Last / Search Name : _____
 Relationship with the applicant : _____ Date of Birth: _____
 Permanent Address : _____
 _____ Pin Code: _____
 Telephone: _____ Fax: _____ Mobile : _____ SMS Facility : Yes No
 Occupation: _____ Gender: Male Female
 PAN No.:

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

For NRIs

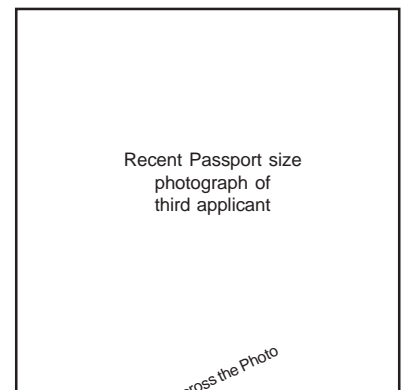
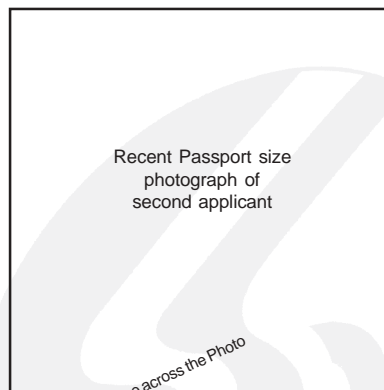
Foreign Address : _____
 _____ Pin Code: _____

Type of Account (Please tick whichever is applicable)

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

10 F 10 S 10 T

I / We authorise you to receive credits automatically into my / our account in accordance with Regulation 42(b) of SEBI (D&P) Regulations (Default is Yes-Resident Indian & No for NRIs		[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
Do you wish to receive dividend / interest directly in to your bank account given in Bank Account Details through ECS? .		<input type="checkbox"/> Yes <input type="checkbox"/> No
SMS Alert Facility	<input type="checkbox"/> Yes MOBILE No. + 9 1	<input type="checkbox"/> No
Refer to Terms & Conditions given as Annexure-A		
Easi	<input type="checkbox"/> Yes. If yes, please contact your DP for details [Facility through CDSL's website: www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	<input type="checkbox"/> No
Account to be operated through Power of Attorney (POA) :		<input type="checkbox"/> Yes <input type="checkbox"/> No



I / We have read the terms and 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 any change (s) in the details / particulars mentioned by me / us in this form. I / We further agree that any false / misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

F  _____ S  _____ T  _____

Nomination Form

To
G.S.V. Securities Pvt Ltd
49-24-62, 2nd Floor,
Coastal Heights, Shankarmatam Road,
Visakhapatnam - 530 016.

Dear Sir/Madam,







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

- I/We do not Wish to nominate anyone for this demat account
(Strike out which is not applicable. (Signatures of all account holders should be obtained on this form))
- I/We wish to make a nomination and do hereby nominate the following person to whom all rights and / or amount payable in respect of securities held in the depository by me/us in the said beneficiary owner account and broking ledger balances shall vest in the event of my/our death. This nomination is in accordance with the section 109A of the Company's Act, 1956 and shall supersede any prior nominee made by me/us and also any testamentary documents executed by me/us.

BO Account Details														
DP ID	1	2	0	5	1	9	0	0	CLIENT ID					
Name of the Sole / first Holder														
Name of second Holder														
Name of third Holder														
Nominee Details										Nominee Passport size Photograph _____ Nominee Signature				
First Name														
Middle Name														
Last Name														
Address														
City													State	
													PIN	
Telephone No.													Fax No.	
E-mail ID														
Relationship with BO (If any)														
Date of birth (If nominee is a minor)														

As the nominee is a minor as on date I / We appoint following person to act as guardian:

First name										Age		
Middle name												
Last name												
Address												
City										State		
Country										PIN		
Place: _____										Date: _____		

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature	 F 	 S 	 T 

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

Details of Witness

	First Witness	Second Witness
Names of Witness		
Address of witness		
Signature of Witness		
To be Filled By GSV	Nomination Form accepted and registered wide Registration No.	Date

Agreement between Stock Broker and Client

This agreement is made and executed at _____ this _____ day of _____ 20____ between: **G.S.V.SECURITIES PRIVATE LIMITED**, a body corporate, registered under the Companies Act, 1956, being a member of the **National Stock Exchange of India Limited** (hereinafter called "the Exchange"), and having its registered office at 206, Sri Dattasai Commercial Complex, RTC X Roads, HYDERABAD-500 020 and its corporate office at 49-24-62, 2nd Floor, Coastal Heights, Shankaramatam Road, Visakhapatnam - 530 016 (hereinafter called "the trading member") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the Capital Market / F&O / Currency Derivatives Segment, his/her heirs, executors, administrators and legal representatives/ the partners for the time being of the said firm, the survivor or survivors of them and their respective heir's, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

Mr./Ms/M/s. _____, an individual/a sole proprietary concern / a partnership firm / a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932 / the Companies Act, 1956, having his / her / its residence/ registered office at _____

(hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the trading member is registered as the trading member of the Exchange with SEBI registration number INB231274839 in the Capital Market segment; SEBI registration number INF231274839 in the F&O Segment and SEBI registration number INE231274839 in the Currency Derivatives Segment.

Whereas the client is desirous of investing/trading in those securities/ F&O contracts / currency derivatives contracts other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time.

Whereas the client has satisfied itself of the capacity of the trading member to deal in securities and / or F&O contracts / currency derivatives contracts and wishes to execute its orders through the trading member and the client shall from time to time continue to satisfy itself of such capability of the trading member before executing orders through the trading member.

Whereas the trading member has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment / trading objectives relevant to the services to be provided; and

Whereas the trading member has taken steps and shall take steps to make the client aware of the precise nature of the trading member's liability for business to be conducted, including any limitations, the liability and the capacity in which the trading member acts.

Whereas the trading member and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The client agrees to immediately notify the trading member in writing if there is any change in the information in the 'client registration form' provided by the client to the trading member at the time of opening of the account or at any time thereafter.
2. The trading member declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
 - a. He has read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his investment decisions and trades.
 - c. The failure of the client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client choose to trade.

For **G.S.V.SECURITIES PVT. LTD.**,

- d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the trading member or the Exchange or as may be directed by SEBI from time to time as applicable to the segments in which the client choose to trade. The trading member 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.
 - e. 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 closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate / require.
3. The Client agrees to pay to the trading member 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 trading member renders to the Client. The trading member agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye -laws of the relevant stock exchange / SEBI.
 4. The client agrees to abide by the exposure limits, if any, set by the trading member or by the Exchange or Clearing Corporation or SEBI from time to time.
 5. Without prejudice to the trading member's other rights (including the right to refer a matter to arbitration), the trading member 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.
 6. The trading member agrees 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 trading member for himself / itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars / guidelines / Exchange's Rules / Regulations / Byelaws and circulars.
 7. The client agrees to immediately furnish information to the trading member in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
 8. The trading member agrees to 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 stock exchange.
 9. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving and paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities, the trading member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.
 10. The trading member agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.
 11. The trading member shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
 12. The trading member 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 it may have had transactions in securities.
 13. The client and the trading member agree to refer any claims and / or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
 14. The trading member hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
 15. Information about default in payment / delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). 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 to the relevant stock exchange(s).

For **G.S.V.SECURITIES PVT. LTD.**,

Authorised Signatory

16. The trading member and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
17. The trading member and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The trading member and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange 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 Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo-moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; if the trading member for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the trading member's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
22. The trading member and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month 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 agreement shall continue to subsist and vest in / be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
23. In addition to the specific rights set out in this Agreement, the trading member and the client shall be entitled to exercise any other rights which the trading member or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, 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 of the Exchange and circulars issued there under.
25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
26. The trading member hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person / authority except as required under any law / regulatory requirements; Provided however that the trading member may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and / or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, 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 Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

The client's Signature.

For **G.S.V. Securities Pvt. Ltd.**,

 _____

Authorised Signatory:

Signed by :
Title :
Witness :

Signed by :
Title :
Witness :

- 1.
- 2.

- 1.
- 2.

Note: All references to the specific quantity/rate / fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

Annexure 3

TRIPARTITE AGREEMENT BETWEEN STOCK BROKER, SUB-BROKER AND CLIENT

This Agreement (hereinafter referred to as "Agreement") is entered into on this ____ day of _____ 20__, by and between **G.S.V.SECURITIES PVT.LTD.**, (hereinafter referred to as "the stock broker"), a BODY CORPORATE and having its registered office **206, Sri Datta Sai Commercial Complex, RTC 'X' Roads, Hyderabad – 500 020** , and its corporate office at **49-24-62, 2nd floor, Coastal Heights, Shankaramatam Road, Visakhapatnam - 530 016.** which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

AND

_____ (Hereinafter referred to as "the sub-broker"), a/an (individual / Firm / Corporate) and having his/its office/registered office at _____

which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Second Part;

AND

_____ (hereinafter referred to as "the client"), a/an individual/ Firm / Corporate) and having his /its residence/office/ at _____

_____ which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Third Part;

WHEREAS

1. The stock broker states that it is engaged, in the business of stock broking and is a Member of National Stock Exchange Limited, (hereinafter referred to as "the stock exchange") with SEBI registration Number **INB 231274839 (Cash Segment), INF 231274839 (Derivative Segment), INE 231274839 (Currency Derivative Segment)**
2. The sub-broker states that :
 - a) The sub broker is recognized by **National Stock Exchange of India Limited** as a sub-broker affiliated to the stock broker of the stock exchange with sub-broker SEBI Registration Number(s) _____
 - b) The sub-broker is not affiliated to any other member of the same stock exchange,
 - c) The sub-broker has the necessary infrastructure like adequate office space, equipment and manpower to effectively discharge his/its activities.

For **G.S.V SECURITIES PVT. LTD.**,

 _____

Authorised Signatory

3. The Client is registered with the sub-broker as a client for purpose of availing broking services through the sub-broker affiliated to the stock broker and is desirous of investing/trading in those securities/contracts/ other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder from time to time. A copy of the Client Registration form is annexed hereto.
4. Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and
5. Whereas the stock broker has taken steps and shall take steps to make the client aware of the precise nature of the Stock broker's/sub broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker/sub broker acts.

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN STOCK BROKER, SUB-BROKER AND CLIENT AS UNDER:

1. The stock broker and sub broker hereby acknowledge and confirm that the sub-broker is affiliated to the stock broker and that the sub-broker shall within the scope of the authority given under these presents, be entitled to act as a 'sub-broker' within the meaning and subject to SEBI (Stock Brokers and Sub-Brokers) Rules, 1992 and SEBI (Stock Brokers and Sub-Brokers) Regulations 1992 (hereinafter referred to as the said "Rules" and "Regulations" respectively) as amended from time to time, for assisting the client in buying, selling or dealing in securities through the stock broker.
2. The stock broker, the sub-broker and the client agree that they shall abide by all the statutory responsibilities and obligations imposed on them by the rules, regulations and / or any other rules or regulations applicable to the stock brokers, the sub-brokers and the clients in general either framed by SEBI or by the relevant stock exchange/clearing corporation and/or any Government Circulars.
3. The stock broker and the sub broker declare that they have brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
 - a. He has read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his investment decisions and trades.
 - c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
 - d. He is liable to 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.
 - e. 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 closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
4. The Client agrees to 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 \ the sub-broker renders to the Client. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange/SEBI.

For **G.S.V SECURITIES PVT. LTD.**,

5. The stock broker and the sub broker agree that they shall co-operate and help each other in redressing grievances of the client in respect of transactions routed through them and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the clients of sub-broker from the member and vice-versa.
6. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
7. The stock broker agrees 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 SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Bye-laws and circulars.
8. The stock broker and the sub-broker agree that each of them shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through them and they shall not jointly or severally do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
9. The stock broker agrees to inform the sub-broker/client and keep them 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 sub-broker/client to comply with such schedules/procedures of the relevant stock exchange.
10. The sub broker will provide assistance to stock broker and client to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
11. The stock broker shall issue, individually for each client of his sub broker, contract notes in the format prescribed by the relevant stock exchange. The sub-broker shall render necessary assistance to his client in obtaining the contract note from the stock broker.
12. The stock broker, the sub-broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
14. The stock broker and the sub-broker hereby agree that they will assist and co-operate with each other in ensuring faster settlement of any arbitration proceedings arising out of the transactions entered into between them vis-à-vis the client and they shall be jointly or severally liable to implement the arbitration awards made in such proceedings. In case of an award against a sub broker, if the sub broker fails to implement the award, the stock broker shall be liable to implement the same and would be entitled to recover the same from the sub broker.
15. The stock broker and the sub-broker hereby agree that all transactions in securities on behalf of the clients of the sub-broker shall be settled by delivery and/or payment, between the stock broker and the client in accordance with the provisions of rules, bye-laws and regulations of the relevant stock exchange on which the transactions took place and subject to the procedures for settlement of transactions laid down by the relevant stock exchange from time to time.
16. Information about default in payment/delivery and related aspects by a client, including that of a sub broker as a client shall be brought to the notice of the relevant stock Exchange(s) by the stock broker. In case where defaulting sub-broker/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 to the relevant stock exchange(s) by the stock broker.

For **G.S.V SECURITIES PVT. LTD.,**

17. The stock broker, the sub-broker or the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties at their respective addresses mentioned below. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
18. In the event of sub broker terminating this agreement 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 agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate the agreement by giving a notice in writing of not less than one month.
19. This agreement shall forthwith terminate;
 - (i) 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 issued by the Board is cancelled;
 - (ii) upon the 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. Provided however, in such an event, 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 agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimate to the stock broker or the stock broker intimates to the client his/its intention to terminate the agreement by giving one month notice in writing.
20. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
21. 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 successors, heirs and assigns shall be entitled to any surplus which may result therefrom.
22. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), 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.
23. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange 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 Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
24. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, member shall be entitled to cancel the respective contract(s) with client(s)
25. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.

For **G.S.V SECURITIES PVT. LTD.**,




Authorised Signatory

26. The client agrees to immediately notify the stock broker/sub broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker/sub broker at the time of opening of the account or at any time thereafter.
27. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
28. In addition to the specific rights set out in this Agreement, the stock broker, the sub-broker and the client shall be entitled to exercise any other rights which the stock broker, sub broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
29. The stock broker and the sub-broker hereby undertake to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence 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 or sub-broker may so disclose information about his client to any person or authority with the express permission of the client.
30. The client agrees to immediately furnish information to the stock broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
31. Words and expressions which are used in this Agreement, 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 of the Exchange and circulars issued thereunder.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, 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 Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS WHEREOF, the parties hereto have set their hands and signatures on the day, month and year first above written Signed for and on behalf of the member, the sub-broker and the client

Member	Sub-Broker	Client
GSV SECURITIES PVT. LTD., NSE Membership Code - 12748 49-24-62, 2 nd Floor, Coastal Heights, Shankarmatam Road, Visakhapatnam - 530 016.	X	<div style="text-align: right;">  </div>

For **G.S.V SECURITIES PVT. LTD.,**

Authorised Signatory

MEMBER - CLIENT AGREEMENT - INTERNET

This agreement is made at Visakhapatnam this _____ day of _____ between **G.S.V.SECURITIES PVT LTD.**, (member of National Stock Exchange of India Ltd. with SEBI Registration No.: INB231274839, INF231274839, INE231274839), hereinafter called MEMBER and having its registered office at 206, Sri Dattasai Commercial Complex, RTC 'X' Roads, Hyderabad - 500 020 and its corporate office at 49-24-62, 2nd Floor, Coastal Heights, Shankaramatam Road, Visakhapatnam - 530 016 and _____ a individual/company/trust/firm or any other body duly formed and registered under the relevant Act, hereinafter called the CLIENT, having its residence/registered office at _____

WITNESSTH :

Whereas the **MEMBER** is registered as **TRADING MEMBER** of National Stock Exchange of India Ltd. with SEBI Registration No.: INB231274839 in the Capital Market, INF231274839 in the Futures and Options Segment and INE231274839 in the Currency Derivatives Segment.

Whereas the **CLIENT** is desirous of investing/trading in those securities admitted for dealing on the Exchange as defined in the Bye-Laws of the Exchange.

Whereas the **CLIENT** has satisfied itself of the capability of the **MEMBER** to deal in securities and wishes to execute his orders through him and the CLIENT shall continue to satisfy itself of such capability of the **MEMBER** before executing orders through him.

Whereas the **MEMBER** has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the **CLIENT** and investment objectives relevant to the services to be provided.

Whereas the **MEMBER** has taken steps and shall take steps to make the **CLIENT** aware of the precise nature of the **MEMBER**'s liability for business to be conducted, including any limitations on that liability and the capacity in which it acts.

In consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:


1. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations and guidelines issued by **SEBI** and Stock Exchange rules, regulations and Bye-laws that may be in force from time to time.
2. In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, **MEMBER**

For **G.S.V SECURITIES PVT. LTD.**,

may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result therefrom.

3. The agreement entered into between the **MEMBER** and the **CLIENT** shall stand terminated by mutual consent of the parties by giving at least one month written notice. Such cancellation or termination shall not have any effect on transaction executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have same obligations in respect of such transactions.
4. The instructions issued by an authorized representative of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the client.
5. The **CLIENT** is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the **CLIENT** and/or his authorised representative are not revealed to any third party.
6. The **CLIENT** agrees that the **MEMBER** shall not be liable or responsible for non-execution of the orders of the **CLIENT** due to any link/system failure at the **CLIENT/ MEMBERS/EXCHANGE** end.
7. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, **MEMBER** shall be entitled to cancel relative contract(s) with **CLIENT**.
8. The **MEMBER** shall also send the Order/Trade confirmation slip through E-mail to the **CLIENT** at his request, within _____ (time period as specified by the Client) from the time of execution of order/trade on the **NEAT** system, as the case may be. The **CLIENT** agrees that the information sent by **MEMBER** by E-mail is deemed to be a valid delivery of such information by the **MEMBER**.
9. The **CLIENT** is aware that the **MEMBER** has provided on the web site a facility for reconfirmation of orders, which are larger than that specified by the **MEMBER's** risk management, by the **MEMBER** and is also aware that the **MEMBER** has the discretion to reject the execution of such orders based on his risk perception.
10. The Member and the Client are aware of the provisions of Bye-Laws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
11. All trades, transactions and contracts are subject to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

IN WITNESS THEREOF, the parties to agreement have caused these presents to be executed as of the day and year first above written.

Client Code : _____ Client Name : _____ Signature of Client  _____ Witness Sign: _____ Name : _____ Address : _____	MEMBER G.S.V. SECURITIES PVT LTD., Signed for and on behalf of the member For G.S.V.SECURITIES PVT LTD. Authorised Signatory Witness Sign : _____ Name : _____ Address : _____
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**Agreement Between A Participant And A Person Seeking
To Open A Beneficial Owner's Account**

This Agreement made and entered into at Visakhapatnam this _____ day of _____ 20____, between G.S.V.SECURITIES PVT LTD having its registered office at 206, Sri Dattasai Commercial Complex, RTC 'X' Roads, Hyderabad-500 020 and its Corporate Office at 49-24-62, 2nd Floor, Coastal Heights, Shankaramatam Road, Visakhapatnam-530 016 hereinafter called "**the Participant**" of the One Part; AND _____, having his/ its office/ registered office/address at _____,

hereinafter called "**the Beneficial Owner**" of the Other Part.

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded hereinbelow:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:

General Clause

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

Fees, Charges and deposits

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid not exceeding 18% per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

Statement of Account

3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter.

[The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time.] The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

²*[3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.]*

3.3 *It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.]*




Beneficial Owner shall intimate change of particulars

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

³[Depository] not liable for claims against Beneficial Owner

5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/ or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

Authorised Representative

 _____  _____  _____

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Closure of Account

7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/ its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

Stamp Duty

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

10. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posting. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

Arbitration

11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

Jurisdiction

12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Hyderabad


Governing Law

13. The Agreement shall be governed by and construed in accordance with the laws in force in India. IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/ seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

SIGNED AND DELIVERED
by **Beneficial Owner**

 _____

 _____

 _____

In the presence of

Signature :

Name :

Address :

SIGNED AND DELIVERED
by **Participant**

GSV SECURITIES PVT. LTD.,

In the presence of

Signature :

Name :

Address : 49-24-62, 2nd Floor,
Coastal Heights,
Shankarmatam Road,
Visakhapatnam - 530 016.

G.S.V. Securities Pvt.Ltd.

Regd. Off.: 206, Sri Dattasai Commercial Complex, RTC 'X' Roads, Hyderabad - 500 020, Andhra Pradesh, INDIA.
Corp. Office : 49-24-62, 2nd Floor, Coastal Heights, Shankaramatam Road, Visakhapatnam - 530 016.
Tel: 040-27620315, Mobile : 93472 03425

11. 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 investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

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Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION**

(Please cancel out what is not applicable).

BOID

1	2	0	5	1	9	0	0										
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(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+91																	
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(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____

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

Place: _____

Date: _____

F  _____ S  _____ T  _____



G.S.V. Securities Pvt. Ltd.

Regd. Office : 206, Sri Dattasai Commercial Complex, RTC 'X' Roads, Hyderabad, - 500 020
Corp. Office : 49-24-62, 2nd Floor, Coastal Heights, Shankaramatam Road, Visakhapatnam - 530 016.

TARIFF APPLICABLE TO BENEFICIARY ACCOUNT OPENED ON CDSL

S.No.	Services	Scheme A GSV Investor	Scheme B Only Demat	Scheme C Small Investor	Scheme D Life time
1.	Account Opening Charges	Free	Free	Free	Free
2.	Account Maintenance Charges	Rs. 200/-	Rs. 300/-	Rs. 100/-	Rs. 2000/-
3.	UPFRONT Payment	Rs. 500/-	Rs. 500/-	Rs. 300/-	Rs. 2000/-
4.	Purchase (Market & Off Market)	NIL	NIL	NIL	NIL
5.	Sale (Market & Off Market)	Rs. 15/- (incl. CDSL Charges)	Rs. 20/- (incl. CDSL Charges)	Rs. 25/- (incl. CDSL Charges)	Rs. 15/- (incl. CDSL Charges)
6.	Dematerialisation per certificate	Rs. 2/-	Rs. 2/-	Rs. 2/-	Rs. 2/-
7.	Courier Charges per Demat request	Rs. 25/-	Rs. 25/-	Rs. 25/-	Rs. 25/-
8.	Rematerialisation per certificate	Rs. 2/-	Rs. 2/-	Rs. 2/-	Rs. 2/-
9.	Courier Charges per Remat request	Rs. 25/-	Rs. 25/-	Rs. 25/-	Rs. 25/-
10.	Pledge (Creation / Closure / Invocation) per transaction	Rs. 40/-	Rs. 40/-	Rs. 40/-	Rs. 40/-

Please note that

1. CDSL charges are Rs.5.50 per sale transaction at present
2. Transaction cum billing statement will be sent monthly, provided there would be transactions. If there is no transaction, the statement will be send once in a quarter. If customer wishes to receive account statement Daily / Weekly / Fortnightly an additional of Rs. 15/- per statement will be charged.
3. Rs. 100/- will be charged for the dishonor of every cheque.
4. Interest on outstanding amount will be charged @ 18% per annum.
5. Service tax as applicable would be levied.
6. AMC once charged will not be refunded.
7. Postal / Courier charges etc.,
8. Incase of corporate account an additional AMC of Rs. 500/- per Annum payable to CDSL would be collected.
9. To open an investor account with limited POA customer should have a Trading account or simultaneously open a Trading account with GSV Securities Pvt Ltd. Customer needs to execute one time limited POA (Doc Charges Rs. 150/-) to avail hassle free, paper less " Automated Pay-in facility " for his/her sale in GSV Securities Pvt Ltd., Broking Account.
10. All above rates are subject to revision by CDSL/G.S.V.Securities Pvt. Ltd., from time to time.

Tick Appropriate Scheme : SCHEME-A SCHEME-B SCHEME-C SCHEME-D

The charges and terms & conditions mentioned above are accepted by me/us.

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**Agreement Between A Participant And A Person Seeking
To Open A Beneficial Owner's Account**

This Agreement made and entered into at Visakhapatnam this _____ day of _____ 20____ between G.S.V.SECURITIES PVT LTD having its registered office at 206, Sri Dattasai Commercial Complex, RTC 'X' Roads, Hyderabad-500 020 and its Corporate Office at 49-24-62, 2nd Floor, Coastal Heights, Shankarmatam Road, Visakhapatnam-530 016 hereinafter called "**the Participant**" of the One Part; AND _____, having his/ its office/ registered office/address at _____, hereinafter called

"**the Beneficial Owner**" of the Other Part.

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded hereinbelow:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:

General Clause

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

Fees, Charges and deposits

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid not exceeding 18% per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

Statement of Account

3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter.

[The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time.] The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.

3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.]

Beneficial Owner shall intimate change of particulars

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

[Depository] not liable for claims against Beneficial Owner

5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/ or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

Authorised Representative

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Closure of Account

7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

Stamp Duty

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

10. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posting. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

Arbitration

11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

Jurisdiction

12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Hyderabad

Governing Law

13. The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/ seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

SIGNED AND DELIVERED
by **Beneficial Owner**

SIGNED AND DELIVERED
by **Participant**

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GSV SECURITIES PVT. LTD.,

In the presence of

In the presence of

Signature :
Name :
Address :

Signature :
Name :
Address : 49-24-62, 2nd Floor, Coastal Heights, Shankarmatam Road, Visakhapatnam - 530 016.

G.S.V. Securities Pvt. Ltd.

Regd. Office : 206, Sri Dattasai Commercial Complex, RTC 'X' Roads, Hyderabad, - 500 020
Corp. Office : 49-24-62, 2nd Floor, Coastal Heights, Shankaramatam Road, Visakhapatnam - 530 016.

TARIFF APPLICABLE TO BENEFICIARY ACCOUNT OPENED ON CDSL

S. No.	Services	Scheme A GSV Investor	Scheme B Only Demat	Scheme C Small Investor	Scheme D Life time
1.	Account Opening Charges	Free	Free	Free	Free
2.	Account Maintenance Charges	Rs. 200/-	Rs. 300/-	Rs. 100/-	Rs. 2000/-
3.	UPFRONT Payment	Rs. 500/-	Rs. 500/-	Rs. 300/-	Rs. 2000/-
4.	Purchase (Market & Off Market)	NIL	NIL	NIL	NIL
5.	Sale (Market & Off Market)	Rs. 15/- (incl. CDSL Charges)	Rs. 20/- (incl. CDSL Charges)	Rs. 25/- (incl. CDSL Charges)	Rs. 15/- (incl. CDSL Charges)
6.	Dematerialisation per certificate	Rs. 2/-	Rs. 2/-	Rs. 2/-	Rs. 2/-
7.	Courier Charges per Demat request	Rs. 25/-	Rs. 25/-	Rs. 25/-	Rs. 25/-
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9.	Courier Charges per Remat request	Rs. 25/-	Rs. 25/-	Rs. 25/-	Rs. 25/-
10.	Pledge (Creation / Closure / Invocation) per transaction	Rs. 40/-	Rs. 40/-	Rs. 40/-	Rs. 40/-

Please note that

1. CDSL charges are Rs.5.50 per sale transaction at present
2. Transaction cum billing statement will be sent monthly, provided there would be transactions. If there is no transaction, the statement will be send once in a quarter. If customer wishes to receive account statement Daily / Weekly / Fortnightly an additional of Rs. 15/- per statement will be charged.
3. Rs. 100/- will be charged for the dishonor of every cheque.
4. Interest on outstanding amount will be charged @ 18% per annum.
5. Service tax as applicable would be levied.
6. AMC once charged will not be refunded.
7. Postal / Courier charges etc.,
8. Incase of corporate account an additional AMC of Rs. 500/- per Annum payable to CDSL would be collected.
9. To open an investor account with limited POA customer should have a Trading account or simultaneously open a Trading account with GSV Securities Pvt Ltd. Customer needs to execute one time limited POA (Doc Charges Rs. 150/-) to avail hassle free, paper less Automated Pay-in facility " for his/her sale in GSV Securities Pvt Ltd., Broking Account.
10. All above rates are subject to revision by CDSL/G.S.V.Securities Pvt. Ltd., from time to time.

Tick Appropriate Scheme : SCHEME-A SCHEME-B SCHEME-C SCHEME-D

The charges and terms & conditions mentioned above are accepted by me/us.

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G.S.V. Securities Pvt.Ltd.

Regd. Office : 206, Sri Dattasai Commercial Complex, RTC 'X' Roads, Hyderabad, - 500 020
Corp. Office : 49-24-62, 2nd Floor, Coastal Heights, Shankaramatam Road, Visakhapatnam - 530 016.
Tel: 040-27620315, 0891-2788230. Mobile : 93472 03425

Acknowledge Receipt

Received Nomination request from
(To be filled by the Depository Participant)

DP ID	1	2	0	5	1	9	0	0	Client ID										
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--	--	--




Name	
Address	
Nomination in favour of	
Registration No.	
Registered on	____/____/____

Depository Participant Seal and Signature

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

Acknowledge Receipt

Specimen Signature for Client's Record

	First / Holder	Second Holder	Third Holder
Name			
Specimen Signatures	 F	 S	 T

Applicant No

Date :

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

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

Depository Participant Seal and Signature

Mutual Fund Service System facility

Date: _____

To
G.S.V. Securities Pvt. Ltd.
49-24-62, 2nd Floor, Coastal Heights,
Shankaramatam Road,
Visakhapatnam - 530 016.

Sir,

Sub: Mutual Fund Services System (MFSS) facility

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

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

For the purpose of availing the MFSS facility, I/We state that Know Your Client details as submitted by me / us for the stock broking may be considered for the purpose of MFSS and I/We further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.

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

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

I/We therefore request you to register me/us as your client for participating in the MFSS

Thanking you,

Yours faithfully,

37

 _____

Client Name & Code: _____

Details of terms & conditions for the Investor / Client for using New MFSS facility

1. Pre-requisites for becoming Investor / Client for the New MFSS facility

- 1.1 The Client who is desirous of investing in units of Mutual Fund Schemes through the New MFSS.
- 1.2 The Client intends to execute his instruction for the subscription / redemption of units of Mutual Fund Schemes through the participant of the New MFSS.
- 1.3 The Client has satisfied itself of the capacity of the participant to deal in Mutual Fund Units and wishes to execute its instruction through the participant and the client shall from time to time continue to satisfy itself of such capability of the participant before executing transacting through the Participant.
- 1.4 The Client has approached to the participant with the application for availing the New MFSS facility.
- 1.5 The Client has submitted relevant K Y C (Know Your Client) details to the Participants.

2. Terms and Conditions

- 2.1 The Client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2 The Client shall notify the Participant in writing of there is any change in the information in the 'Client registration form' provided by the client to the participant at the time of registering as a client for participating in the New MFSS or at any time thereafter.
- 2.3 The Client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- 2.4 The Client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5 The Client shall be wholly responsible for all his investment decisions and instruction.
- 2.6 The Client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
- 2.7 The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the client's account, transaction and to the services that participant renders to the client.
- 2.8 The Client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9 In the event of non-performance of the obligation by Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
- 2.10 In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and/or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.



Client Name & Code: _____

COMBINED RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET / CASH SEGMENT AND FUTURES & OPTIONS AND CURRENCY DERIVATIVES SEGMENT (TO BE GIVEN BY THE TRADING MEMBER TO THE CLIENT)

This document is issued by the member of the National Stock Exchange of India (NSE) which has been formulated by the Exchange in coordination with the Securities and Exchange Board of India (hereinafter referred to as "SEBI") and contains important information on trading in Equities / F&O / Currency Derivatives Segments of NSE. All prospective constituents should read this document before trading in Equities / F&O / Currency Derivatives Segments of the Exchange.

NSE /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 has NSE /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 contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, F&O contracts, Currency 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 NSE and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE, 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 member. 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 currency derivative contract being traded on NSE.

It must be clearly understood by you that your dealings on NSE through a member shall be subject to your fulfilling certain formalities set out by the member, which may inter alia include your filling the know your client form, client registration form, execution of an agreement, etc., and are subject to the Rules, Byelaws and Regulations of NSE and its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE or its Clearing Corporation and in force from time to time.

NSE 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 trading member of NSE 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 / F&O contract / currency derivatives contract undergoes when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security / F&O contract / currency derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / F&O contracts / currency derivatives contracts than in active securities / F&O contracts / currency 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 / F&O contracts / currency 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 / F&O contracts / currency 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 / F&O contracts / currency derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / F&O contracts / currency derivatives contracts as compared to active securities / F&O contracts / currency 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 / F&O contracts / currency derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / F&O contracts / currency 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 / F&O contract / currency 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 / F&O contract / currency 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 / F&O contracts / currency 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 / F&O contract / currency 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 / F&O contract / currency derivatives contract, and such order gets activated if and when the security / F&O contract / currency 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 / F&O contract / currency 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 / F&O contract / currency 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 / F&O contract / currency 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 Rumours:

Rumours 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 rumours.

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 / F&O contract / currency derivatives contract due to any action on account of unusual trading activity or security / F&O contract / currency derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on NSE 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 Futures and Options segment and Currency 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 involves daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / F&O contract / currency 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 broker/member 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 F&O contracts/ currency 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 Exchange 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. GENERAL

3.1 Commission and other charges

Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

3.2 Deposited cash and property

You should familiarise yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which has been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the member, the same shall be subject to arbitration as per the byelaws/regulations of the Exchange.

- 3.3 For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.
- 3.4 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of currency derivatives contracts through the mechanism provided by NSE.
- 3.5 The term 'member' shall mean and include a trading member, a broker or a stock broker, who has been admitted as such by NSE and who holds a registration certificate from SEBI.
I hereby acknowledge that I have received and understood this risk disclosure statement and Annexure-1 containing my rights and obligations.

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Customer Signature

(If Partner, Corporate, or other Signatory, then attest with **company seal**)

Date:

ANNEXURE - 1

INVESTORS' RIGHTS AND OBLIGATIONS:

- 1.1 You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the Cash Market / F&O market / Currency Derivatives market or the broking firm's insolvency or bankruptcy.
- 1.1.1 Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.
- 1.1.2 Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE and the scheme of the Investors' Protection Fund in force from time to time.
- 1.1.3 Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE or its Clearing Corporation.
- 1.2 Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.
- 1.3 You should exercise due diligence and comply with the following requirements of the NSE and/or SEBI:
- 1.3.1 Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE and whether they are enabled to trade may be verified from NSE website (www.nseindia.com).
- 1.3.2 Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.
- 1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving License or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by NSE/ SEBI at any time, as is available with the investor.
- 1.3.4 Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE or its Clearing Corporation from time to time, because this may be useful as a proof of your dealing arrangements with the member.
- 1.3.5 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. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.
- 1.3.6 Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order number, trade number, trade time, trade price, trade quantity, details of the currency derivatives contract, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/ sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic

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form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE, without delaying.

- 1.3.7** Facility of Trade Verification is available on NSE website (www.nseindia.com), where details of trade as mentioned in the contract note may be verified from the trade date up to five trading days. 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 NSE.
- 1.3.8** Ensure that payment of funds against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE or its Clearing Corporation. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member.
- 1.3.9** In case pay-out of funds is not received on the next working day after date of pay-out announced by NSE or its Clearing Corporation, please follow-up with the concerned member for its receipt. In case pay-out is not received as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE.
- 1.3.10** Every member is required to send a complete 'Statement of Accounts', for both settlements and margins, to each of its constituents, at such periodicity as may be prescribed from time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE, without delaying.
- 1.3.11** In case of a complaint against a member, you should address the complaint to the Office as may be specified by NSE from time to time.
- 1.4** In case where a member surrenders his membership, NSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE, ensure that you lodge a claim with NSE /Clearing Corporation within the stipulated period and with the supporting documents.
- 1.5** In case where a member is expelled from trading membership or declared a defaulter, NSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE, ensure that you lodge a claim with NSE within the stipulated period and with the supporting documents.
- 1.6** Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye - laws and the scheme under the Investors' Protection Fund (IPF) may be payable as prescribed by SEBI.

Notes:

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE for the purpose of buying and/or selling of securities/F&O contracts/currency derivatives contracts through the mechanism provided by NSE.
2. The term 'member' shall mean and include a trading member or a broker or a stock broker, who has been admitted as such by NSE and who holds a registration certificate from SEBI.
3. The term 'contract' refers to a F&O / currency derivatives contract and the term 'underlying' refers to the underlying index / stock / currency of such contract.

**Mandatory document dealing with Policies and Procedures pursuant to SEBI's Circular
MIRSD/SE/Cir - 19/2009 dated 03rd December 2009**

Policies and Procedures forms integral part of the Member Constituent Agreement :

1. **Refusal of order for Penny Stocks:** GSV shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stocks, illiquid stocks, stocks having low liquidity, illiquid options, far month options, writing of options and any other contracts / shares which are extremely volatile or subject to Market manipulation.

GSV may permit restrictive acceptance of orders in such scrips / contracts in controlled environments like orders received from clients being forwarded by branches / sub brokers to HO instead of allowing them at branch / sub broker level. GSV may cancel orders in such scrips received from clients before execution or after partial execution without assigning any reasons there of GSV may take appropriate declarations from the clients before accepting such orders. GSV shall not be responsible for delay in execution of such orders and any opportunity / financial loss to the client.

2. **Setting up Client's Exposure Limits:** GSV may have its own policy to allow differential purchase limits and sell limits varying from client to client, depending upon credit worthiness, integrity and past trading record of each client and volatility in the market which may vary from time to time.

GSV may provide an exposure limit for intra day and delivery to a client which would be a multiple of the clear ledger balance in the account of the client along with collateral values after appropriate haircut. The value of multiple and haircut shall be decided as per Market volatility, quality of collaterals, credit worthiness, integrity and past trading record of each client which may vary from client to client and from time to time.

GSV may provide a sell limit to the client equivalent to the value of securities held by the client in his POA enabled Demat account with our CDSL DP and the collaterals held with us in our Beneficiary / Margin account on behalf of clients after making appropriate adjustments for the unsettled delivery positions of the client.

GSV may provide Exposure for Futures and Options writing in Derivatives segment based on availability of Initial Margin (Span+ Exposure + MTM) in the form of clear ledger balance. Considering collaterals after appropriate haircut is at the sole discretion of GSV. However the buying of Options in Derivatives segment may be allowed on the premium value against the clear ledger balance available in Client's account.

3. **Applicable Brokerage rates:** Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client subsequently through a written agreement between the client and GSV. The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye laws.

The slab rates of brokerage fixed by us are function of the quality and cost of services provided to the client and the volume and revenue expected from an account. It shall be reviewed by us from time to time and may be increased with prospective effect at a notice of 15 days sent to the email address or postal address of the client registered with us.

The Brokerage shall however be exclusive of DP Charges, Account opening charges, delayed payment charges, penalties levied by Exchanges, courier charges, bank charges towards cheque bounces and SEBI/ Exchange / CM turnover or any other charges levied by regulatory and statutory bodies from time to time.

4. **Imposition of penalty / delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws) :** As per the Exchange bye laws, the Member has to make pay in of funds to the Exchange by T+2 morning and arrange delivery of securities to the Exchange latest by T+2 morning. Further Member broker is also required to maintain adequate upfront margins with the exchange to avail exposure for trading. The exchanges have also defined the ratios in which the cash and collaterals are to be maintained by the Member broker.

In order to manage its operations, GSV requires full cooperation of the clients in meeting their respective obligation towards pay in and margins.

GSV is therefore authorized by the client to charge a delayed payment penalty not exceeding 0.10% Per day on account of delays / failure by the client in meeting the pay in obligations on the scheduled date in both Cash & F&O Segment. While levying delayed payment charges in the running account of a client, GSV may not consider any credit balance in the other family or group accounts of the client.

Penalties levied by the Exchanges: Further Exchanges levy various penalties on the member brokers on auction resulting from short deliveries, non adherence to client wise exposure limits, client wise shortfalls in F & O Margin and for other reasons which may be defined by the Exchanges from time to time. GSV is therefore authorized by the client to pass on any penalty imposed by the Exchange/SEBI and or any other regulatory authority to the client, which arises on account of the client.

GSV provide exposure against the upfront margins received in the form of cash / collateral from the client and the client also has the right to withdraw Cash and collaterals at his/ her discretion, GSV shall not pay any interest other benefit to the client for maintaining cash balances or depositing collateral margins.

5. **The right to sell client's securities or close client's positions without giving notice to the client, on account of non payment of client's dues (This shall be limited to the extent of settlement / margin obligations):** GSV is having the right to sell client's securities, both unpaid securities as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is a delay / failure of the client to meet the pay in obligations and / or there is a failure of the client to bring additional margins to cover the increase in risk in the dynamic market conditions.

In case of unpaid obligations on T+3 basis, GSV may sell the unpaid / partially paid securities. In addition GSV may sell the collaterals deposited by the client towards margins and or paid securities purchased by the client in earlier settlements where the sale proceeds of unpaid securities are inadequate to cover the pay in obligations and where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required. GSV may follow LIFO method for liquidation of securities but it may not binding on it to follow this method in all cases.

Margin shortfalls in F & O: Positions of the client may be closed out to the extent of margin shortfall on the T+1 basis. While computing margin shortfall value of unapproved securities shall not be considered. GSV reserves the right to consider the collateral.

Intra day Positions: GSV shall have right to close out any intra-day positions taken by the client after a defined "Cut off" time (Presently 15 minutes before close of market).

While selling the securities / closing the client's positions, GSV may take into account the sales made by the client, positions closed by the client or collections received from the client till a cut off time. While selling the securities / closing the client's positions, GSV may not take into consideration cheques / drafts/ pay orders deposited by the client with it until clear proceeds of such instruments are received by it in its bank account.

GSV shall have the right to sell client's securities or close out client's open positions but it shall not be under any obligations to undertake this exercise compulsorily. GSV shall therefore not be under any obligation to compensate / or to provide reasons of any delay or omission on its part to sell client's securities or close open positions of the client. The ultimate responsibility risk and liability of the trades are binding on the client.

6. **Shortages in obligations arising out internal netting of trades:** GSV shall have the right to adopt a policy of its choice for internal auctions arising out of internal netting of trades and charge to defaulter seller and compensate the impacted purchaser as per the policy.
7. **Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client:** Where the client is not having adequate margins as per conditions defined in Risk Management Policy.

In Cash Segment : Where the client has not able to meet his pay in obligation in cash by the schedule date of pay in, irrespective of the value of collaterals available with GSV. Clear proceeds of



the cheque deposited by the client to meet the pay in obligations has not yet been received by GSV. Client is trading in "illiquid" securities and volumes in his account exceed internal cut off limit fixed by GSV. GSV exposure at "house level" in a specific scrip / contract exceeds the internal limits fixed by it.

In Derivatives: Where the client has not met the margin and has not met Market to Market loss in cash. Where the open positions in a contract exceeded or are close to market wide cut off limits. Where the client's position is close to client wise permissible "open" positions.

Intraday: Clients may not be able to place intra day orders after a cut off time fixed by us. (Presently 15 minutes prior to close of market)

8. **Temporarily suspending or closing a client's account at the client's request:** GSV may carry a periodic review of the client accounts and may suspend the accounts from trading in the following circumstances:

- Where the client is inactive for more than 3 months.
- Where the client account is under investigation by any regulatory body.
- Where the client has not cleared the naked or uncovered debits which are more than 7 days' old.
- Non-delivery of statement of accounts sent on period basis.
- Physical contract notes are received back undelivered due to reasons like "No such person", "addressee left", refusal to accept, or other reasons which create suspicion.
- DCN failed (Bounced email) on more than 3 instances until client submits and registers new email id.
- Non-updation of communication details like email id, mobile number, land lines details or if it is found to be belonging to the third person.
- On notices received from Statutory, government or local authorities and Income Tax, Service Tax authority etc.
- Where a client is reported to or known to have expired.
- Any other reason at the descretion of GSV.
- Written request from the client for suspension.

9. **Deregistering a Client:** GSV may deregister a client on the following circumstances:

- Any action taken by SEBI / NSE or being part of list of debarred entities published by SEBI.
- On basis of information found in sites of CIBIL, Watch out Investors, or client having suspicious back ground, link with suspicious organization etc.
- GSV shall have right to close out the existing positions; sell the collaterals to recover its dues, if any, before de registering the client.
- GSV shall have the right to deregister a client after serving a 15 days written notice without assigning any reason thereof.

I / we have clearly understood and agree to abide by aforesaid policies and procedures.

I /we also understand and agree that these policies and procedures can be changed from time to time.

I /we understand that GSV shall have the right to implement all the above policies but shall not be under any obligations to undertake this exercise compulsorily. The ultimate responsibility, risk and liability of the trades are binding on the client

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Client Name & Code : _____

Date: _____



PART - B
NON - MANDATORY

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

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

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

Whereas I / We hold a Beneficiary Account No. 12051900 (BO-ID) with Central Depository Services (India) Limited, through G.S.V SECURITIES PVT LTD bearing DP-ID 12051900

And Whereas I / We am / are investor engaged in buying and selling of securities through **G.S.V SECURITIES PVT LTD** a Member of National Stock Exchange Limited (NSE), bearing SEBI registration nos. INB 231274839, INF 231274839, INE 231274839

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

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

This authority is restricted to the pay-in Obligations arising out of the transactions of sale affected by me/ us through **G.S.V SECURITIES PVT. LTD.**, and I / We ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named here in above in the manner specified herein.

I / We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until I / We will be revocable at any time, without notice in writing to the contrary.

SIGNED AND DELIVERED

By the within named Beneficial Owner



Name _____
(Sole/ First Holder)



Name _____
(Second Holder)



Name _____
(Third Holder)

IN THE PRESENCE OF

Sign _____
Name _____
Address : _____

Place :

Date :

POA - ID
2205190000000013

I / We Accept
for **GSV Securities Pvt Ltd.**

**Authorised Signatory
(POA Holder)**

49-24-62,2nd Floor, Coastal Heights,
Shankaramatam Road,
Visakhapatnam - 530 016.

POA Reg Date :

POA Entered :

POA Authorised :



To
G.S.V. securities Pvt. Ltd,
Corp. Off.: 49-24-62, 2nd Floor, Coastal Heights,
Shankaramatam Road, VISAKHAPATNAM - 530 016.
Andhra Pradesh, INDIA. Tel: 0891-2547640, Mobile : 93472 03430

Date:

Sub : REQUEST FOR STATEMENT OF TRANSACTION /HOLDING / BILL / COMMUNICATION THROUGH ELECTRONIC MODE.

Ref : BOID: 12051900 _____ Name: _____

Dear Sir,

I / We Authorize you to provide the statement of transaction / holding, any other documents, information and communications including but not limited to billing statements, holding statements, policies, procedures, notices, FAQs etc electronically through internet by sending it on my / our e-mail id given below or by publishing / displaying it on the website of the Participant or by making it available as a download from the website of the Participant www.gsvsecurities.com.

[E-MAIL Address: _____]

I / We are fully aware of the risks involved in using the facility to receive communications in electronic form such as but not limited to misusing of passwords, internet frauds, technology risks etc.,

I / We will not hold the Participant responsible for late / non receipt of the same for any reasons including failure of email servers, loss of connectivity or the mail box being full or otherwise becoming incapable of receiving the email or due to any technical reasons beyond the control of the Participant and agrees to completely rely on the log reports of the dispatching software of the Participant as a conclusive proof of dispatch to our email and will not to dispute the same.

I / We undertake the sole responsibility for the usage, confidentiality, protection and secrecy of all security codes, passwords, customer user identification numbers, etc., by whatever name name called and will not hold the Participant or any of its officers, employees or service providers, responsible for any losses / consequences due to any access to the communications by use of such codes, passwords, customer user identification numbers etc. including cases where these security codes etc. are acquired by any person through theft, hacking or mimicked by forgery / electronic forgery or any other modes or manner.


In case I come to know of any unauthorized access or use of any services or systems by any unauthorized person on account of breach of security, theft of password, breach of confidentiality, crime etc., I shall take every necessary step including but not limited to informing the Participant of the same. Inform the Participant in writing that such breach has occurred and request the Participant for facilities to be disabled, notwithstanding such information to Participant, I / We unconditionally agree to accept all instructions / transactions / executed / accepted by the Depository Participant under a bonafide belief that these are from or under my or my attorneys or authorized person direction, notwithstanding any loss(s) of passwords / security codes, hacking of the systems etc. by any person.

In the event of change in my / our / its aforesaid email address, the same shall be immediately informed to you in Writing by either registered post or through a digitally signed E-mail.

Thanking you,

Yours truly,

 _____

 _____

 _____

To

G.S.V. Securities Pvt. Ltd.,
 49-24-62, 2nd Floor, Coastal Heights,
 Shankaramatam Road, Visakhapatnam - 530016

Dear Sir,

Sub: Consent for Maintenance of Running account - reg.

Due to practical difficulties, I / we may not be in a position to settle my / our trades within the Exchange specified settlement schedule. Hence I / we request you to offer the facility of maintaining a running account with you. In this connection, I/we understand and agree to the following:

1. You can retain the funds and securities with you, received as pay outs from the Exchanges on my / our behalf. The same can be used towards margins for my / our future transactions or outstanding positions, if any.
2. In case of any sale transactions done by me / us, you can automatically deliver the shares to the Exchange towards pay in, out of my/ shares lying with you, on my / our behalf.
3. In case of any debit balance, in my / our account, you can square off my / our securities held with you by me/us, to the extent of my / our debit balance, without any notice to me / us.
4. You can transfer funds / securities from my / our account in one segment against my obligations in another segment in the same Exchange or different Exchanges. These funds can be done either by way of a Journal entry or by way of physically exchange cheques.
5. You can transfer funds / securities from my / our account in one segment against collaterals / margins for my / our trade in another segment in the same exchange or different exchanges.
6. In case I / we require funds or securities, I/we will inform you of the same in writing, after which you can make the payments / transfer the securities to me / us on my / our request.
7. I / we will not hold you responsible for any loss / damage arising out of such transfers and or sale done by us, on my / our behalf, pursuant to these instructions.
8. I / we authorise you to retain securities / funds to meet margin obligations for the next five trading days calculated in the manner as specified by the Exchanges.
9. I / we know that you are doing trading in your own account "PRO", Proprietary Trading along with client business.
10. I / we understand that this consent of maintenance of running account is revocable. In case if I / we wish to withdraw this consent, I / we shall inform you in writing and get it acknowledged by you at least 15 days in advance from the date of withdrawal.
11. I / we undertake and agree that in case of any discrepancy in my / our account or any other trades made in my / our account or any trade dispute or dispute relating to charges / fees debited to my / our account, I / we shall inform in writing to you within 7 working days from the date of receipt of funds/ securities in my / our account or statement as part of periodic settlement.

Thanking you,

Yours truly,

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Client Name & Code : _____.

VOLUNTARY DOCUMENT
Undertaking for Accepting Electronic Communication

FROM :

Client Code : _____

Name : _____

Mobile No. : _____

To,

G.S.V. SECURITIES PVT. LTD.

49-24-62, 2nd Floor, Coastal Heights,
Shankaramatam Road, Visakhapatnam - 530 016

Dear Sir,

Sub: Request for sending Contract Notes / Documents etc. on my e-mail id's

1.

2.

1. To receive contract notes, bills, ledgers, transaction statement (statement of funds/securities), report, letter, circular etc. in electronic form through above mentioned e-mail id provided by me/us to G.S.V. Securities Pvt. Ltd. (Stock Broker) in relation to trades / transaction done on the exchanges through G.S.V. Securities Pvt. Ltd.
2. To complete the necessary formalities those are required under the provisions of the Information Technology Act, 2000 for getting the above facility. I/We shall initially download the specified software (Signature Verifier utility) or any other software as may be advised by the Stock Broker from time to time on our computer and the same shall be used for receiving, viewing, storing the contract notes, bills, ledgers, transaction statement (statement of funds / securities), report, letter, circulars, etc. sent by G.S.V. Securities Pvt. Ltd. from time to time in respect of the trades / transactions that have been executed by me/us through the terminal of the Stock Broker.
3. Contract notes, bills, ledgers, transaction statement (statement of funds/securities), report, letter, circulars, etc. sent by G.S.V. Securities Pvt. Ltd. from time to time to my/our e-mail id shall be deemed to have been delivered to me and it shall be presumed that the same is in order unless any discrepancies are given in writing to G.S.V. Securities Pvt. Ltd. within 24 hours of the receipt of the same. I/We confirm that non - receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above mentioned e-mail id.
4. In case of my/our request for physical contract notes, bills, ledgers, transaction statement (statement of funds/securities), report, letter, circulars and any other such documents in addition to digital copy, the stock broker is authorized to debit the charges decided by broker to my / our account.
5. I/We hereby state that the handling over of the said contract(s)/ bill(s)/ confirmation notes or any communication in respect of my / our transactions relating to my / our trading account with G.S.V. Securities Pvt. Ltd. to any of the aforesaid addresses shall be treated as due discharge of obligation of the Member under the Rules and Regulations and bye -laws of SEBI and the stock exchange(s).
6. Contract notes, bills, ledgers, transaction statement (statement of funds/securities) may be kept for seven days on the web server of G.S.V. Securities Pvt. Ltd. i.e., on www.gsvsecurities.com which can be downloaded by me/us through the login id and password provided by G.S.V. Securities Pvt. Ltd. to me/us.
7. The above service may require using password/digital signature and I/we will be responsible for confidentiality and proper use at all time of password/digital signature for all transactions initiated through the service.
8. I/we or the stock broker do have right to terminate the service at any time with a prior request of 15 days notice to the other party.

Yours faithfully,

Place :

Date :

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Signature of the Client

Optional Member Constituent Agreement

This is an Optional agreement over and above the mandatory Member Constituent Agreement prescribed by SEBI. The following clauses have been added in order to ensure smooth functioning of trading and to ensure the transparency of Member client relation. It is left to the discretion of the client to sign this Optional agreement or not.

A. Exposures:

1. Stock Broker will normally give the exposure, equivalent to a pre-determined multiple / times of the net credit balance in the ledgers (across all segments) and the value of the collaterals given by the client (after applying appropriate hair cut). The level of exposure granted to the client will also depend on the track record of the client and / or market conditions and / or regulatory directives. The client agrees to abide by exposures norms decided by us, from time to time.
2. The client agrees that Stock Broker has the discretion to decide the stocks which can be provided as margin / collateral. In case of shares given as margin / collateral. by the client, Stock Broker has the right to apply appropriate hair cut, at their sole discretion, while arriving at the value of the collateral shares. This will depend on the shares offered and / or market conditions and / or the track record of the client's dealings with Stock Broker. The client will not have any objection on the hair cut percentage decided by Stock Broker from time to time. The Client understands and agrees to the same.
3. The client understands and agrees that, under normal market situations, the previous day's closing price will be taken as the base price for arriving at the value of the securities and the same will be done on a continuous basis. However, during volatile market conditions, Stock Broker has the discretion to change the valuation method while arriving at the value of the shares given as margin / collateral.
4. However Stock Broker reserves the right at its sole discretion, to modify on the level of exposure to be given to a particular client and / or change the method of calculating the exposure, without giving any advance notice to the client. The client understands and agrees to the same.

B. Margins:

1. The client agrees and undertakes that he/she/it will pay all the applicable margins within the stipulated time prescribed by Exchanges / SEBI/ Stock Broker. Even though the client might be having adequate margins in the form of stocks, Stock Broker, may demand margins, in cash, depending on market conditions and / or track record of the client. The client understands and agrees to the same.
2. Depending upon the market conditions and / or track record, history etc of the client, Stock Broker may demand additional margin (over and above the mandatory margins) from clients, as a part of their risk management. Such margins may vary from client to client. The client understands and agrees to pay the additional margins also.
3. In case the client fails to pay the requisite margins / settle the transactions within the stipulated time, then Stock Broker has the discretion to square off the open positions and the collaterals, at an appropriate time as it deems fit, without any notice to the clients. The client does not have the right to decide on the timing of selling and the open positions and / or the collaterals that needs to be sold / closed, The client understands and agrees to the same and undertakes that he/she/it will not hold Stock Broker responsible for any loss or damages arising out of such square offs.
4. After such square offs of open positions by Stock Broker, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Stock Broker shall have the right to liquidate the shares of the client (kept as collateral/ margin) to the extent of the debit balance, without any intimation to the client. The client also agrees that it does not have the right to decide on the timing of such liquidation of collateral/ margin shares and the shares that needs to be sold. The client undertakes that it will not hold Stock Broker responsible for any loss or damage arising out of such selling / close off.

C. Shortages:

In case of purchase of securities by the client, at times of the Stock Broker may be unable to deliver the securities to the said purchaser on the payout day due to non receipt of the securities from the Stock Exchange, the securities shall be delivered to the purchaser on the deliveries received from the exchange or in



case of non receipt of the said securities from another client of the Stock Broker who has sold the securities against the said purchase transaction, the securities shall be delivered to the purchaser as per the policy of the Stock Broker or may be closed out at the rate as amended from time to time.

D.Payout of securities / Funds :

The client agrees that the stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received the Stock Broker from the Exchange, the Clearing corporation or other entity liable to make the payment. In order to facilitate operations, the client authorizes the Stock Broker to maintain a running account with Stock Broker, instead of settlement to settlement clearance of Securities / funds due to client. The payout of securities / funds may be retained by the Stock broker and no interest shall be payable by the Stock Broker on such Securities / funds so retained. The client authorizes the Stock broker to transfer the securities so retained in any settlement or inter settlement towards the pay in obligation of the client against future sale. The client also authorizes the Stock Broker to consider the Securities / funds so retained by the Stock Broker towards collateral margin for allowing enhanced gross exposure to the client. The client agrees that the Stock Broker shall not be liable for any claim for loss or profit or for any consequential, incidental, special or exemplary damages, caused by the retention of such securities / funds under this agreement or otherwise. On written request of the client the Stock Broker may release securities / funds to him, if sufficient margins in respect of his trading, across the Stock Exchanges and across the segment of the Stock Exchanges are available with the Stock Broker.

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Name and Code of the Client _____

AUTHORISATION LETTER FOR DEBITING D.P. CHARGES

To

G.S.V. Securities Pvt. Ltd.,
49-24-62, 2nd Floor, Coastal Heights,
Shankaramatam Road, Visakhapatnam - 530016

Ref: Broking Alc No. _____ DP ID : 12051900 Client ID _____

Dear Sir,

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

In case if I wish to withdraw this authorisation I shall inform you in writing and acknowledge by you at least one week in advance from the date of withdrawal.

Thanking you,

Your's Sincerely,

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PMLA - DECLARATION

I / We _____ having the trading code No. _____

BOID 12051900 _____ confirm and declare that I / We had read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained to me in detail. I / We further declare that I / We shall adhere to the rules, regulations and requirements mentioned in the PMLA Act, 2002 and any other amendments that may come from time to time. I / We hereby confirm you that I / We will be investing my / our own funds in the Financial Markets. I / We will be keeping GSV informed of my / our borrowed funds from outside for investments in the markets.

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Client Name and Code - _____

ANNEXURE - CONFIRMATION

I / We here by confirm as under

1. That I have a running accounts with your Company for all segments of **NSE**
 2. Members and / or its agents will not be liable for losses caused directly or indirectly by government restriction, exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquake, floods, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond the members control.
 3. In case there is debit balance in my account, you are authorised to sell at any point of time the shares/ collateral purchased by me in previous settlements at your sole discretion. Any profit or loss made on such transactions will be to my account as it would have occurred on normal purchase/sale made by me. I also agree to pay the balance amount, if any after deducting credit of sale of shares.
 4. I also request you not to issue cheques / make payments settlement wise unless specifically demanded by me, as pay in and payouts are very close and therefore exchange of cheque becomes unnecessary paperwork.
 6. I / We request you to kindly accept and execute all my / our orders placed over phone as it is not possible for me / us to visit your office and sign the order form every time for the orders placed with you. I / We am / are fully aware that you place the orders in my / our unique client code which are recorded and verified by me / us through the website of the exchange. I / We confirm that I / We accept and settle the trades accordingly with out any dispute whatsoever.
 7. I/We request you to kindly arrange to dispatch my/our contract note through courier/post within 24 hours of the trade, as it is not possible for me/us to visit your office for collection of the contract note and signing the duplicate contract note within 24 hours of trade.
 8. All payments and receipts shall be made payable or receivable at Hyderabad only.
 9. If for any reason, a cheque given by the client, is returned unpaid, G.S.V. SECURITIES PVT. LTD., reserves the right to square up the particular transaction/s at the then prevailing rate and to stop any further transaction/s with the Constituent without assigning any reasons whatsoever.
 10. All transactions carried shall be subject to jurisdiction of Hyderabad courts only.
- The above standing instructions are for your records.

Thanking you,

Yours sincerely,

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ORDER PLACEMENT INSTRUCTIONS

To

G.S.V. Securities Pvt. Ltd.,
49-24-62, 2nd Floor, Coastal Heights,
Shankaramatam Road, Visakhapatnam - 530016

Dear Sir,

I am having a broking account under UCC No. _____ with you.

I understand that you require written instructions from me/us for placing / modifying / cancelling orders. However, since it is not practical for me/us to give written instructions for placing/modifying/cancelling order, I hereby request you to kindly accept my/our/mandate holder's verbal orders/ instructions, in person or over phone and execute the same. I/we understand the risk associated with placement of verbal orders and accept the same. I/ we shall not disown orders under the plea that the same was not placed by me.

I/we indemnify GSV Securities Pvt. Ltd and keep you indemnified against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my/our orders placed verbally.

In case if I wish to withdraw this consent I shall inform GSV Securities Pvt. Ltd., in writing and acknowledge by you atleast one week in advance from the date of withdrawal.

Thanking you,

Yours sincerely,

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DOS :

- * Transact only through Stock Exchanges.
- * Deal Only through SEBI registered intermediaries.
- * Complete all the required formalities of opening an account properly (Client registration, Client agreement forms etc.)
- * Ask for and sign "Know Your Client Agreement"
- * Read and properly understand the risks associated with investing in securities / derivatives before under taking transactions.
- * Assess the risk - return profile of the investment as well as the liquidity and safety aspects before making your investment decision.
- * Ask all relevant questions and clear your doubts with your broker before transacting.
- * Invest based on sound reasoning after taking into account all publicly available information and on fundamentals.
- * Give clear and unambiguous instructions to your broker / sub brokers / depository participant.
- * Be vigilant in your transactions
- * Insist on a contract note for your transactions
- * Verify all details in contract note, immediately after receipt.
- * Cross check details of your trade with details as available on the exchange website.
- * Scrutinize minutely both the transaction and the holding statements that you receive from your depository participant.
- * Keep copies of all your investment documentation.
- * Handle Delivery Instruction Slips (DIS) book issued by Dp's carefully
- * Insist that the DIS number are preprinted and your account number (Client ID) be pre stamped.
- * In case you are not transacting frequently make use freezing facilities provided for your demat account.
- * Pay the margins required to be paid in the time prescribed.
- * Deliver the shares in case of sale or pay the money in case of purchase within the time prescribed.
- * Participate and vote in general meetings either personally or through proxy. Be aware of your rights and responsibilities.
- * In case of any complaints approach the right authorities for redressal in a timely manner.

DON'TS :

- * Don't undertake off-market transaction in securities.
- * Don't deal with unregistered intermediaries.
- * Don't prey to promises of unrealistic returns.
- * Don't invest on the basis of the hearsay and rumours; verify before investment.
- * Don't be misled by rumours circulating in the market.
- * Don't follow the herd or play on momentum-it could turn against you.
- * Don't try time the market.
- * Don't be misled by so called hot tips.
- * Don't leave signed blank Delivery Instruction Slips of your demat account lying around carelessly or with anyone.
- * Don't be influenced into buying into fundamentally unsound companies (penny stocks) based on sudden spurts in trading volumes or prices or non-authentic.
- * favorable looking articles / stories.



PAN CARD UNDERTAKING
Declaration for Name difference in PAN CARD

To
 GSV Securities Pvt Ltd.,
 49-24-62, 2nd Floor, Coastal Heights,
 Shankaramatam Road, Visakhapatnam - 530016.

Date : _____

I _____ S/o,D/o,W/o _____

Residing at _____

do hereby state as under.

I refer to my account opening application for a Trading Account with GSV Securities Pvt. Ltd., in the name of _____ I do hereby affirm, declare and undertake as under.

1. That my name as it appears on the PANCARD is _____
2. That my name as it appears on the IT website is _____
3. That both the Surname, the name mentioned on the PAN CARD and the Surname as it appears on the IT website pertains to me.
4. That the name before my marriage was _____ and the name after my marriage with _____ is _____

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

 _____

PAN : _____

Client Name & Code : _____

Annexure - Brokerage

Brokerage:	%	Min.	Flat	
Trading				
Delivery				
Futures				
Options				
Currency				

Transaction Charges, Stamp Duty, Service Tax, STT and any other services as applicable. I have read, understood, accepted and agree to pay the Brokerage/Charges.

 _____

*(The Charges Subject to revision by member/sub-broker)



For Office Use Only

CDSL

Verified by	Entered by	Authorised by	Uploaded by	Sign Scanned

Agreement Received on _____ at _____ by _____ Checked by _____

	Uploaded by			Updated in back office by		
	Name	Sign	Date & Time	Name	Sign	Date & Time
NSE CM						
NSE F&O						
NSE CD						

- 
- 
- ⇒ Equities
 - ⇒ Derivatives
 - ⇒ Commodities
 - ⇒ Currency Futures
 - ⇒ Internet Trading
 - ⇒ Depository
 - ⇒ Mutual Funds
 - ⇒ IPO'S
 - ⇒ Advisory Services

For Grievance if any :

TRADING : grievance@gsvsecurities.com

DEPOSITORY : dpgrievance@gsvsecurities.com