

INDEX - NON-INDIVIDUAL FORM

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MANDATORY/OPTIONAL DOCUMENTS AS PRESCRIBED BY SEBI, DEPOSITORY & EXCHANGES			
1.	Account Opening Form-Checklist & Instructions	This Document provides Instructions & Checklist relevant to opening of Trading & Demat Account.	1
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3.	Know Your Client (KYC) Application Form	This Document captures the basic information about the client /Joint Holder for Demat Account.	3-4
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MATALIA STOCK BROKING PVT.LTD.

Registered Office / Correspondence Address : "Matalia House" 21-New Jagnath, Near Jain Bhuvan, Rajkot - 360 001.

Phone No. : 0281-2460014, 2466387, 6697505, **Fax No. :** 0281-3048830

Email : mataliabroker@yahoo.com, **Website :** www.matalia.co.in

Name of Compliance Officer : Mr. Dhyanesh S. Shukla, **Phone No. :** 0281 - 6697532, **Email :** dhyanesh@matalia.co.in

Name of CEO : Mr. Rupesh C. Matalia, **Phone No. :** 0281 - 6697531, **Email :** rupesh@matalia.co.in

Exchanges	Trading Member Code	SEBI Registration Number		
		Capital	Future & Option	Currency Derivatives
National Stock Exchange of India Ltd. (NSE)	12086	INB231208639 (Reg. Date : 18-12-2007)	INF231208639 (Reg. Date : 19-12-2007)	INE231208639 (Reg. Date : 27-08-2008)
Bombay Stock Exchange of India Ltd. (BSE)	937	INB011208635 (Reg. Date : 30-07-2004)	INF011208635 (Reg. Date : 16-02-2005)	INE011208635 (Reg. Date : November, 2013)
Metropolitan Stock Exchange of India Limited (MSEI)	49200			INE261208639 (Reg. Date : 04-12-2008)
NSE, BSE, MSEI		INZ000184932		
National Securities Depository Limited	IN303575	IN - DP - NSDL - 302 - 2008		

For any grievance / dispute please contact stock broker (Matalia Stock Broking Pvt. Ltd.) at the above address or email id : investorgrievances@matalia.co.in and Phone No. 91-0281-6697532. In case not satisfied with the response, please contact the concerned exchange(s) at below mentioned details :

Exchange	Contact	Investor Grievance Email ID	Investor Grievance Contact Nos.
BSE		is@bseindia.com	Ph. : 022 - 2272 8097
NSE		ignse@nse.co.in	Ph. : 022 - 2659 8190
MCX-SX		investorcomplaints@mcx-sx.com	Ph. : 022 - 6731 8933 / 9000

Professional Clearing Member	SEBI Registration No.
GLOBE CAPITAL MARKET LTD	INZ000177137
ICICI SECURITIES LIMITED	INZ000183631
EDELWEISS BROKING LIMITED	INZ000005231

For any query related to DP Department Contact on Email id : ig_dp@matalia.co.in and Phone No. : 0281-6697507

* In all the voluntary/non mandatory documents, if executed by client, the client shall always have right to withdraw/cancel the authority or the voluntary/non mandatory documents and in case voluntary/non mandatory documents/clauses, are found in conflict with any of the clauses in the mandatory documents, rules, bye-laws, regulations, notices, guidelines and circulars issued by the SEBI and the stock exchange from time to time, shall stand null & void.

KYC / KRA MANAGEMENT

Name of Client : _____

PAN : _____

Client Id (Demat Account No.) : _____

Trading Account Code (UCC Code allotted to the Client) : _____

KYC / KRA sent to	Date	Acknowledgement No. from KRA/KYC	Checked by	Verified by	Courier Receipt No.	Remark
<input type="checkbox"/> CVL <input type="checkbox"/> NDML						
<input type="checkbox"/> KYC						
<input type="checkbox"/> KYC done by other intermediary						

#	Particulars	Charges		
		Scheme – A1	Scheme – B1	Scheme - E1
1	A/c Opening /Closing / Custody	Nil	Nil	Nil
2	Life Time Annual Maintenance	Rs. 2120.00*	Nil	Rs. 1000.00 #
3	Annual Maintenance	Nil	Rs.370.00	Nil
4	Dematerialisation *	Rs.5.00 per certificate /Per 100 shares.		
5	Rematerialisation	Rs.15.00 per certificate [(i) A fee of Rs. 15.00 for every hundred securities or Part thereof of (ii) a flat fee of Rs.15.00 per certificate whichever is higher]		
6	Postage per Demat / Remat Request	Rs.75.00		
7	Market / off Market Trade (Purchase)	Nil		Minimum Rs.50.00 per ISIN or 0.02% of the market value whichever is higher.
8	Market / off Market Trade (Sell) (MSBPL)	Minimum Rs.15.00 per ISIN or 0.02% of the market value whichever is higher.	Minimum Rs.17.00 per ISIN or 0.02% of the market value whichever is higher.	
9	For Auto Pay In (For PoA given to MSBPL)	Minimum Rs.10.00 per ISIN or 0.01% of the market value whichever is higher upto Rs.15.00.	Minimum Rs.17.00 per ISIN or 0.01% of the market value whichever is higher.	Minimum Rs.25.00 per ISIN or 0.02% of the market value whichever is higher.
10	Market / off Market Trade (Sell) (other than MSBPL DP)	Minimum Rs.17.00 per ISIN or 0.02% of the market values whichever is higher.	Minimum Rs.25.00 per ISIN or 0.02% of the market value whichever is higher.	
11	Pledge - Creation & Closure	Minimum Rs.50.00 per ISIN or 0.2% of the market value whichever is higher.	Minimum Rs.50.00 per ISIN or 0.2% of the market value whichever is higher.	
12	Pledge - Invocation	Rs.50.00		
13	Additional Statement/client Master	Rs.10.00 & Re.1.00 per page above 10 pages		
<p>* For Scheme A1, there will not be any Annual Maintenance Charge to this account for lifetime (Till Closing or switching of account). The amount is refundable at any point of time or on closure of account. The amount refundable on closing or switching will be Rs.2120.00 less (Rs. 370/-) GST and other levies will be extra as applicable & will be non refundable.</p> <p># Scheme E1: There will be no AMC for this scheme & Rs.1000.00 is one time charge + GST as applicable. This amount is non-refundable & non-transferable.</p>				

NOTE:

- Annual Maintenance charge to be paid upfront.
- Postal Charges will be charged at Rs.75/- per Demat / Remat Request (payable along with DRF/RRF) & for DRF/RRF rejection Rs 25/-.
- All the charges are payable along with instruction.
- DIS and other instruction additional stationery per page Re. 1/- Additional Client master will be charged Rs 10/-.
- Transaction statement will be sent by NSDL/MSBPL every month provided there is any transaction otherwise quarterly as per option chosen.
- The above rates are subject to revision by Matalia Stock Broking Pvt. Ltd. with 30 days notice to client.
- Interest on outstanding amount will be charged monthly at 18% per annum.
- The scheme once selected will be valid for one year and will be automatically renewed at the end of the year unless a written application in the prescribed format is received.
- The client availing auto pay-in facility has to provide PoA in favor of Matalia Stock Broking Pvt. Ltd. and stamping charge for PoA is Rs.100.00 to be borne by the client.
- GST and other levies will be extra as applicable.
- Late fee of Rs 25/- For trade received on payin Day.
- Corporate Account opened will be charged as per NSDL terms and conditions.
- Cheque Dishonor charge Rs 250/-.
- KRA / KYC charges as applicable. CAS charges as charged by NSDL regulations.
- Client modification Request received from client will be charged Rs 10/-.

I like to join the scheme _____. I have read and understood the schedule of charges prescribed above and agree to abide by the same.

Client Name: .	Client ID:								
 1 st Holder Signature		 2 nd Holder Signature			 3 rd Holder Signature				

**PART I - KNOW YOUR CLIENT (KYC)
 APPLICATION FORM**
Matalia Stock Broking Pvt. Ltd. 21-New Jagnath Plot, Near Jain Bhuvan, RAJKOT-1.

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS														
1	Name of the Applicant													
2	Date of incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation				
3	Date of commencement of business	D	D	M	M	Y	Y	Y	Y					
4	a) PAN									b) Registration No. (e.g. CIN)				
5	Status (please tick any one):													
	Private Limited Co.		Public Ltd. Co.		Body Corporate		Bank							
	Government Body		Society		LLP		Partnership							
	FI		FII		HUF		AOP							
	BOI		Trust		Charities		NGO's							
	Defense Establishment		Non Government Organization		Others (please specify):									
B. ADDRESS DETAILS														
1	Correspondence Address													
		City/town/village					PIN Code							
		State	Country											
2	Specify the proof of address submitted for correspondence address													
3	Contact Details	Tel. (Off.)				Tel. (Res.)								
		Fax No.				Mobile No.								
		Email ID												
4	Registered Address (if different from above):													
		PIN Code	PIN Code											
		State	Country											
C. OTHER DETAILS														
1	Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:					If space is insufficient, enclose these details separately <i>[Illustrative format enclosed]</i>								
2	DIN of whole time directors:													
3	Aadhaar number of Promoters/Partners/Karta													
D. DECLARATION														
I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.														
Name & Signature of the Authorised Signatory(ies)						Date	D	D	M	M	Y	Y	Y	Y
FOR OFFICE USE ONLY														
<input type="checkbox"/> Originals verified and Self-Attested Documents copies received						Date:								
Name and Signature of the Authorised Signatory						Seal/Stamp of the intermediary								

**Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC)
Application Form for Non-Individuals**

Sr. No.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	PAN	Residential / Registered Address	DIN of whole time directors /Aadhaar number of Promoters/Partners/Karta	Photograph
1						
2						
3						
4						
5						

Name & Signature of the Authorised Signatory(ies)	Date							
	D	D	M	M	Y	Y	Y	Y

ACCOUNT OPENING FORM FOR TRADING & DEPOSITORY

ONLINE OFFLINE



Group Code & Name : _____ City : _____
 Client-ID(to be filled by DP) **I N 3 0 3 5 7 5** _____ Client Code _____
 I/We request you to open a Demat Account Trading Account Both (Please fill all the details in CAPITAL LETTERS only)

A. TYPE OF ACCOUNT (Please tick whichever is applicable)

Body Corporate FI FII Foreign Portfolio Investor Mutual Fund Trust Bank CM Others _____
 HUF Partnership Firm Registered Trust Unregistered Trust AOP LLP

B. DETAILS OF ACCOUNT HOLDERS

First Holder/Client _____
 Second Holder _____
 Third Holder _____
 Preferred user ID:(1) _____ (2) _____ (3) _____

C. STANDING INSTRUCTIONS

Sr. No.	Authorisations	Please <input checked="" type="checkbox"/> Relevant
1.	Consent to receive standard account opening documents in electronic form	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Consent to receive credits automatically into my/our Account.(If not ticked, the default option would be "Yes")	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Consent to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not ticked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Consent to send Electronic Transaction-cum-Holding Statement including CAS at Sole/First Holder's email id stated in the KYC	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Consent to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	Consent to receive dividend / interest directly in to my bank account given below through ECS (If not ticked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
7.	Consent to avail of the facility of internet trading / wireless technology	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.	Mode of receiving Annual Reports & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account)	
9.	Mode of receiving Contract Notes & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account)	
10.	Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
11.	Account to be operated through power of attorney (POA)	<input type="checkbox"/> Yes <input type="checkbox"/> No

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Gross Income Range Per Annum (Rs. in Lakhs)	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr
Networth : (should not be older than 1 year)	Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Sources of Wealth / Income	<input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____
Details in case of Employed/Business/Professional (Name of Employer/Establishment & Address & Nature of Business)	Name & Add.: _____ _____ _____ Nature: _____	Name & Add.: _____ _____ _____ Nature: _____	Name & Add.: _____ _____ _____ Nature: _____
Additional Details, if applicable. (Please tick one or more as applicable)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Not PEP / Related to PEP	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Not PEP / Related to PEP	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Formed MP, MLA or MLC <input type="checkbox"/> Current/Formed Head of State <input type="checkbox"/> Not PEP / Related to PEP
Any other information	_____	_____	_____

Remisier Code / Name : _____

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Mobile Number Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option) (If Mobile not provided, MSBPL will add. 6666666666)	I hereby declare that the Mobile number as per KRA/KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Mobile number as per KRA/KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Mobile number as per KRA/KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN/Code _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No
Email Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option) (If Email not provided, MSBPL will add. notprovided@notprovided.com)	I hereby declare that the Mobile number as per KRA/KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Mobile number as per KRA/KYC belongs to <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Partner <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Others _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Email ID as per KRA/CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN/Code _____
In case of FIIs/Other	RBI Approval Reference Number: _____		
	RBI Approval date D D M M Y Y Y Y		
	SEBI Registration Number (for FIIs): _____		
FATCA Declaration			
Whether involved / Providing any of the following services (please tick (√) relevant option)			
Foreign Exchange / Money Changer Services	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Money Lending / Pawning	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Gaming / Gambling / Lottery Services (e.g. Casinos)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is Entity a tax resident of any country other than India ?	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) City of Incorporation _____ Country of Incorporation _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) City of Incorporation _____ Country of Incorporation _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____
If yes, please indicate all countries in which your are resident for tax purpose and the associated Tax ID number below:			
Country of Tax Residency#	_____	_____	_____
Tax Identification Number*	_____	_____	_____
Identification Type	_____	_____	_____

#To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA, India & Canada.

*Incase tax identification number is not available, kindly provide its functional equivalent

* / We hereby agree to abide by the provision of "Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI).

D. DP TARIFF SCHEME

Scheme A1 Scheme B1 Scheme E1

E. OPTION FOR ISSUANCE OF DIS BOOKLET (*Please refer to the details in Tariff Sheet)

Option 1 : I/we wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

Option 2 : I/we do not wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.

Details of disputes / dues pending from / to such Stock Broker / Sub-broker / Authorised Person:

Whether Employee / Agent / Approved user / Authorised Person / Sub Broker of any other *Trading / Clearing Member: (*Member in equity or commodity Exchange/s) Yes No Name of Member _____ (Please provide consent letter from such Trading/Clearing Member)

Whether Broker of any Exchange Yes No Name of Exchange/s _____ (Please provide consent letter from such Exchange/s)

Whether Declared Defaulter/debarred/suspended By SEBI/FMC/RBI/ANY Other Recognized Stock Exchange/Commodity Exchange: Yes No

Details of any action/proceedings initiated /pending/taken by SEBI/Stock Exchange/any other authority against the Client during the last 3 years for violation of securities law/other economic offences (including action taken against relatives/associates) _____

F. INVESTMENT / TRADING EXPERIENCE & PREFERENCE

No Prior Investment Experience Years in Equities Years In Derivatives Years in other Investment Related Field

G. CLEARING MEMBER DETAILS (TO BE FILLED UP BY CLEARING MEMBERS ONLY)

Name of Stock Exchange	
Name of Clearing Corporation / Clearing House	
Clearing Member ID	
SEBI Registration Number	
Trade Name	
CM-BP-ID (to be filled up by participant)	

G. BANK ACCOUNT DETAILS

Default Bank (Through which payout transactions would be generally routed)	Additional Bank
Name & Address : _____	Name & Address : _____
Account No. <input type="text"/>	Account No. <input type="text"/>
Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____	Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____
MICR Code <input type="text"/>	MICR Code <input type="text"/>
IFSC Code <input type="text"/>	IFSC Code <input type="text"/>

H. DEPOSITORY ACCOUNT DETAILS (Transactions would be generally routed through the below demat account.) (Default for Payout)

Depository : NSDL CDSL DP Name: _____

Beneficiary Name: _____ DP ID : BO ID:

I. DEALINGS THROUGH SUB-BROKERS/AUTHORISED PERSON & OTHER STOCK BROKERS No Yes (If yes, please mention details below)

Name of Sub-broker/ Authorised Person : _____

Registration No: NSE BSE MSEI

R.O. Address: _____ Tel.: _____ Fax: _____ Website: _____

Whether registered with any other Stock Broker / Sub-broker/Authorised Person (If registered with multiple Stock Broker/Sub-broker, provide all details)

Name of Broker: _____ Name of Sub Broker/AP : _____

J. INTRODUCER DETAILS (Optional)

Name & Address of the Introducer: _____

Status of the Introducer: Sub-broker/ Remisier/ Authorised Person/ Existing Client/ Director or Employee of Trading Member/ any other Person (Please Specify) _____ Mobile No. / Tel. No. :

Proof of Identity (POI) : PAN No. Passport No. Driving Licence Voter ID

Subbroker Authorised Person Code : _____ Client Code : _____ Signature: ➤ _____

* In case of Introducer is not related to MSBPL Client/AP/SB, then ID Proof is mandatory.

K. BROKERAGE STRUCTURE (Mandatory) _____ Existing Client Code : _____

	Cash Segment		Derivatives Segment		Currency Derivatives Segment	
	(Percentage)	Min. Rupees/Paisa Per Share	Futures Segment (Percentage)	Options Segment * (Percentage)	Futures Segment (Percentage)	Options Segment * (Percentage)
First Leg						
Second Leg (Same day Sq. off)						
Delivery Brokerage					NA	NA
Next day square off	NA	NA				
Default Brokerage		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>

Minimum Brokerage will be 0.01 paisa per share applicable for futures segment & 0.01 paisa per quantity applicable for currency futures segment

★ Minimum amount per lot would be applicable as per the details provided in the policy and procedures.

- Delivery Handling Charges (DHC) would be levied on each delivery based transaction in case if the value of brokerage levied is less than Rs 14/-.
- The value of DHC would be difference of Rs 14/- and the brokerage charged.
- Expiry handling charges would be charged as applicable
- Statutory cost will be charged as per Exchange / Regulatory Authorities
- Trading Software access charges applicable from time to time
- KYC Registration Agency (KRA/KYC) charges will be levied as applicable.
- Please refer the details of default brokerage, standard brokerage on option segments and schedule of charges in the Policy and Procedures.
- However in any case no brokerage charges/amount can be excess of SEBI Rules & Regulations as prescribed.

OTHER CHARGES :

Particulars	Amount
Duplicate Contract Notes (CN) / Bill	Rs. 10/- per CN / Bill upto 1 month Rs. 25/- per CN / Bill for beyond 1 month
Duplicate Souda Summary / Ledger	Rs. 50/- for 2 month period Rs. 100/- for beyond 2 months
Bounced Cheque / Stop Payment of cheque	Rs. 250/- per instance / instrument
Trade Charges : For delivery of shares from client's pool or margin account to exchange's pool account or to client's demat account	Rs. 10/- + applicable GST per trade

M. STOCK EXCHANGES & SEGMENTS ON WHICH YOU WISH TO TRADE

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off / mentioned as NA.

Segment \ Exchange	BSE	NSE	MSEI
Cash	<input checked="" type="checkbox"/> C5	<input checked="" type="checkbox"/> C6	<input type="checkbox"/>
F & O (Derivative)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Currency Derivative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SLB	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1. Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off / mentioned as NA.
2. In future, if you need to trade in any additional Segment/Exchange, not opted above, separate authorisation letter will be required.
3. In case of trading in Derivatives it is compulsory to submit proof of Financial Details.

DECLARATION

1. I/we hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/we under take to inform you of any changes therein, immediately. In case of any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I may be held liable for it.
2. I/we confirm having read, explained and understood the contents of Policies and Procedures, Terms & Conditions governing Stock Broker, Risk Disclosure Documents & Do's & Don't's for trading on the Exchanges, Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants & the tariff sheet, as available on the website of the company. I am further aware that a copy of Terms & Conditions governing Stock Broker, Risk Disclosure Document Do's & Don't's for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document.
3. I/we have read and agree to be bound by the Rules, Regulations, bye laws, circulars and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository and Depository Participant pertaining to my trading and demat account, as are in force from time to time.
4. I/We understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my account.
5. I, the holder of Aadhaar number as mentioned in the KYC, hereby agree & give my consent to MSBPL to obtain my Aadhaar number, Name and Fingerprint/ Iris for authentication with UIDAI. MSBPL has informed me that my identity information would only be used for Account Opening purpose and also informed that my biometrics will not be stored / shared and will be submitted to CIDR only for the purpose of authentication.

Specimen Signature

	Name(s) of holder(s)/client	Designation	Specimen Signature(s) (With Co. Rubber Stamp)
Sole/First Holder			
First Signatory			<input checked="" type="checkbox"/> C7
Second Signatory			<input type="checkbox"/>
Third Signatory			<input type="checkbox"/>
Other Holder			
Second Holder			<input type="checkbox"/>
Third Holder			<input type="checkbox"/>

Mode of Operation for Authorised Signatories (In case of Multiple Signatories, all the holders must sign)

<input type="checkbox"/> Any one singly	<input type="checkbox"/> As per resolution
<input type="checkbox"/> Jointly by	<input type="checkbox"/> Others (Please specify)

Date: _____

Place: _____

POLICY AND PROCEDURES

Matalia as a SEBI registered intermediary is mandated to follow the rules regulations circulars of the exchanges and SEBI issued from time to time and operates through well defined procedures and policies.

The following policies have been mandated by SEBI to be made available to the clients. It should not be construed that these are the only policies followed by Matalia.

A. Refusal of orders for Penny Stocks

Penny stocks are scrips which have a very low value and may or may not be illiquid. Most times there would be very few buyers /sellers for such scrips. The exchange (NSE, BSE and MSEI) releases a list of such scrips and they are termed as illiquid securities. Matalia retains the right to term a particular scrip as illiquid/penny stock based on the parameters it deems fit. These parameters may include, the past volume of the scrip, the volatility in the scrip among others, whether trading in a particular scrip falls within the purview of fraudulent trades or trades deemed to be fraudulent under the SEBI - prohibition of fraudulent and unfair trade practices relating to securities market regulation 2003.

Matalia reserves the right to facilitate clients for placing orders with regards to the penny stocks or illiquid scrips as described above. Matalia is not under any obligation to push orders which are in the nature of penny stocks/ illiquid scrips. Matalia does not encourage trades in penny stock.

Matalia may permit trades in a penny or illiquid scrip subject to certain conditions, such conditions may include :

- Submission of a declaration, by the client, such declaration would include the reasons for entering into the said transaction and also whether the client has abided by the all the relevant regulations.
- In case of a buy transaction the client may be asked to deposit the full value of scrip which the clients intends to purchase, in case of sale transaction, the scrip will necessarily be transferred to Matalia's margin account prior to placing the sale order.
- Assessment of the past trading pattern or records of the client prior to giving permission
- Conducting in-person verification of the said client to establish the genuineness of the intended trade.

Matalia reserves the right to refuse to place such orders whether or not the client fulfills the aforementioned conditions.

B. Setting Up Client's exposure Limits

Exposure is allowed to the clients based on the margin available in form of funds or approved securities valued after deducting an appropriate haircut. Client is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Exchange. Further Matalia at it's discretion may collect such additional margin or may further reduce the margin subject to extant regulations. Clients are supposed to maintain sufficient balance with Matalia pre trade depending on the channel through which they trade. Matalia may levy additional margins or relax the margins earlier imposed based on factors such as, client level positions, volatility in a particular stock or the market in general. Though it shall be our endeavor to ensure that a proper notice is sent to the clients, this may not always be possible taking into consideration the market scenario. Exposure allowed to clients may vary, basis the clients past trading performance, quality of collateral, market circumstances and dynamics and other such factors.

Clients may trade themselves through the internet or may trade through the sub-broker or branch. For clients who trade through the internet, the exposure limit may be ascertained by them on the trading portal. Clients executing trades through subbroker or branches may check their exposure positions with the sub-broker/ Branch.

Matalia shall not be responsible for any variation, reduction or imposition or the Client's inability to route any order through the Stock broker's website on account of any such variation, reduction or imposition of limits. Matalia may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities based on certain risk parameters.

C. Applicable Brokerage

The brokerage applicable shall be as agreed upon from time to time. In case of any modification in the brokerage rate, the client shall confirm the same as required by Matalia. The client agrees to pay to Matalia, brokerage, Exchange related charges, statutory levies and any other charges (including but not limited to security handling charges on settlement) as are prevailing from time to time and as they apply to the client's account, transactions and with respect to the services opted by the client and thereby rendered by Matalia. Matalia does not charge brokerage more than the maximum brokerage permissible as per the rules and regulations and bye laws of the Exchanges/SEBI. However the minimum brokerage as stipulated by the exchanges will be levied. The brokerage shall be charged as a percentage of the value of the trade or as a flat fee or otherwise, together with the statutory levies as may be applicable from time to time on the same. In addition to the brokerage charged the following charges will also be levied.

Schedule of charges

1. Account opening fees.
2. SEBI turnover fees as applicable.
3. Exchange Transaction charges as applicable.
4. Securities Transaction Tax (STT)* :- The STT rates will vary with regards to trades done on delivery basis, non delivery basis and trades done in the derivative segment .
5. Service Tax/GST*.
6. Stamp duty :- Statewise stamp duty as applicable will be levied.
7. Education Cess and higher Education Cess*.
8. In addition to the above Matalia shall debit the demat charges to the trading account.
9. In case there are any bank charges or any other charges levied by the exchange or any other authority on account of any violation done by the client, the same shall be charged to the client.

10. Delivery Handling Charges (DHC) would be levied on each sale transaction in case if the value of brokerage levied is less than Rs 16/-.
The value of DHC would be difference of Rs 16/- and the brokerage charged.
11. In case where the brokerage levied as a percentage on the value of the shares/ contract is less than the minimum brokerage payable per share/contract. The client will be charged such minimum rate of brokerage per share instead of the percentage. *These are government levies and are subject to change from time to time and will be charged in addition to the brokerage as applicable. All the above charges would be subject to change from time to time. Such changes shall be displayed on the website or such other URL used by Matalia from time to time.

In case the brokerage rate is not specified on the brokerage chart within the KYC, the default brokerage as mentioned below will be applicable.

Cash Market Brokerage	%	Min. Paise Per Share
First Leg	0.10	5
Second Leg(Same day Sq.off)	0.10	5
Delivery Brokerage	0.50	10

Standard Brokerage

Percentage	Index / Stock Options Segment Min. amount per lot	Currency Options Segment Min. amount per lot
2.50	250	30
2	225	25
1.50	200	20
1	175	15
0.50	150	10

Default Brokerage

	Derivatives Segment		Currency Derivatives	
	Futures %	Options %	Futures %	Options %
First Leg	0.10	2.50	0.10	2.50
Same day square off	0.02	2.50	Nil	Nil
Next day square off	0.10	2.50	0.10	2.50

In case of futures, the minimum brokerage of 0.01 paise per share will be charged.
In case of futures options, minimum brokerage will be Rs. 100/- per lot or the above whichever is higher.

In case of currency futures, the minimum brokerage of 0.01 paise per quantity will be charged. In case of currency options, minimum brokerage will be Rs. 30/- per lot or the above whichever is higher.

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

Delay pay-in charges are levied to clients for non payment or delay in payment of their fund obligation on time which may be due on account of charges, margins or any other sum due to Matalia. Clients are required to pay margins before placing any trades. Clients are allowed to place margins in form of funds or securities. Exposure is given to the client based on the stocks submitted by the client towards margin of Matalia. Appropriate haircut is applied on such stocks. They are then expected to make the full payment for the purchase on the settlement date. In case there is a debit balance in the clients account, the same shall be liable for the delayed payment charges. The calculation of these charges is an automated process. The charges to be levied would be up to 2% per month. These charges have been introduced so that they act as a deterrent for delaying the payment of funds.

In case where any penalty / charges / fees / taxes etc. of whatever nature, is levied on Matalia on account of trades or orders placed by clients, such penalty / charges / fees / taxes etc. shall be debited to the client's account. No interest will be paid on the credit balance lying in the client account or funds retained for margins etc.

E. 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 obligation)

Margin collection – Margin is collected upfront from the client's i.e prior to executing any trades. Based on the margin thus available with Matalia - exposure is given to the client. The applicable margin may vary and the client may be asked to replenish the margin by tendering additional funds or securities.

In accordance with Exchange guidelines, Matalia retains the right to square off the position without giving any notice to the client.

- The client agrees to pay for the shares purchased through Matalia before the pay-in date in order to enable Matalia to make the requisite pay-in to the exchange. In case the client fails to make the payment, Matalia may liquidate the securities in the clients account in order to ensure that adequate credit is received for the shares purchased. This square off may be done on or before the 5th day from the settlement date.
- The client also agrees to maintain adequate margin for the positions taken in any segment. However in case the credit available is lower than the minimum margin required, the client's positions would be liquidated in a manner that there is no shortfall of margin.
- Matalia shall endeavor to ensure that adequate prior information is given to the client for such liquidation. It shall inform the client through the mobile number and or email id updated with Matalia. For clients to whom a login and password is given to access their account on the website www.matalia.co.in, or such other URL that may be provided by Matalia from time to time, where they are required to login and check the limit statement uploaded therein. It shall be the clients' responsibility to ensure that adequate credit balance is available in the account.
- The above guidelines may be changed based on the discretion of Matalia and in terms of the market conditions. In cases where the market is volatile and there is a sudden spurt in scrip price then Matalia may square off position without any notice due to the paucity of time and other such circumstances
- Whenever Matalia endeavors that the positions are to be liquidated, it shall not be responsible for any liabilities in case the same cannot be liquidated.
- The priority of the positions to be squared off, i.e. which positions to be squared off first, would be at the discretion of Matalia.

Matalia may follow the following priority for squaring-off positions :-

- a) Lower Margin scrip's will be squared off first.
- b) Only futures position will be squared off (option position to be square off manually)
- c) In case where there is a position in cash and derivative segment, futures positions would be squared off first then cash positions would be square off in case shortfall still exist.

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

Internal Shortage Policy

BSE has a window wherein internal short deliveries can get auctioned as per the normal auction process. Internal short deliveries are not covered by the Auction conducted on the NSE. It is due to this limitation on the NSE we follow the procedure as mentioned below:

1. The client may not receive shares on T+2 in case there is an internal shortage situation within Matalia, i.e. the buyer and seller are both Matalia clients and the seller defaults in delivery due to which the buyer may not receive the shares.
2. In case of an internal shortage, firstly the defaulting seller would be debited with a value being the highest of T day closing price or T+1 day closing price.
3. In case there is an internal shortage in BSE, the exchange conducts an auction through which the shares would be purchased and delivered to the buyer. The seller would be debited at the rate at which the exchange would have purchased these shares. Additionally, brokerage, statutory costs and other incidental charges including penalty for non-delivery may be debited to the client. In case, the exchange is unable to purchase these shares, the exchange will inform Matalia of a close out rate, at which the buyer would be allowed credit and the seller would be debited for the same amount. In case of any corporate action for internal shortages, if original trade was executed at cum-rate, then Matalia will repurchase the shares at ex-rate in its Internal Shortage a/c. The amount / quantity of corporate action, as applicable will be debited to the Seller's a/c and will be credited to the Buyer's account. In case of securities being delisted from trading / unable to buy on account of corporate action, Matalia will close out internal shortages at last traded price / last traded cum rate price + 10% (credit to buyer & debit to seller). Due to any circumstances, if BSE internal shortage position not informed to BSE, in such case same process as mentioned in below points for NSE will be followed.
4. In case there is an internal shortage in NSE, Matalia purchases the shares from the normal market and provides the shares to the buyer, on receipt of delivery. The defaulting seller would be debited with the rate at which these shares were purchased, including the brokerage, statutory charges and other incidental charges including penalty if any. In case of non receipt of delivery to purchase the shares, the buyer would be offered credit at a close out rate applicable on T+4 day + 3% or and the new seller would be debited at the same rate. In case where Matalia is unable to purchase the shares on account of the scrip being in buying circuit, the position would then be closed out on the closing price of the exchange on T+2 at the circuit percentage of 2 days (Maximum upto 20%). In case of any corporate action for internal shortages, if original trade was executed at the cum-rate, then Matalia will repurchase the shares at ex-rate in its Internal Shortage a/c. The amount / quantity of corporate action, as applicable will be debited to the Seller's a/c and will be credited to the Buyer's account. In case of securities being delisted from trading / unable to buy on account of corporate action, Matalia will close out internal shortages at last traded price / last traded cum rate price + 10% (credit to buyer & debit to seller).
5. Matalia may also levy charges on the defaulting seller for non-delivery of stocks within the stipulated time.

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

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off / close out without giving notice due to shortage of margin / non making of payment for their payin obligation / outstanding debts.

H. Temporarily suspending or closing a client's account at the client's request

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

I. Deregistering a client

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

- I. If the action of the client are prima facie illegal or such as to manipulate the price of any securities or disturb the nor
- II. malfunctioning the market, either alone or in conjunction with others;
- III. If there is any commencement of a legal process against the client under any law in force;
- IV. On the death / lunacy or other disability of the Client;
- V. If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- VI. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- VI. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

- VII. If the Client is in breach of any term, condition or covenant of this Agreement;
- VIII. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- IX. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- X. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- XI. If the Client has become the subject of proceedings under any bankruptcy or insolvency law or being accompany, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- XII. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

J. Proprietary Trading

The stock broker (Matalia Stock Broking Pvt. Ltd.) hereby informs and declares to the client that, in addition to the client level trading, the stock broker undertakes Proprietary Trading.

K. Investor Grievances

Investor can send in their grievances to "investorgrievances@matalia.co.in".

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision / clauses this document any circumstances whatsoever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.



(Signature of Client)

MANDATE FOR MAINTAINING THE ACCOUNT ON RUNNING ACCOUNT BASIS

To,
Matalia Stock Broking Pvt. Ltd., 21-New Jagnath Plot, Nr. Jain Bhuvan, Rajkot – 360 001.



Dear Sir,

Notwithstanding anything contrary contained in any of the document or correspondence, I/We hereby severally give mandate to you for maintenance of my account with you on running account basis. This mandate shall be applicable to all segments across exchanges maintained with you including Mutual funds availed through NSE MFSS and / or BSE STAR MF or such other platform and without limitation to securities/funds/currencies/units of mutual funds.

This mandate is voluntarily given by me/us as it is cumbersome for me to settle the accounts with you frequently. This will facilitate me in my transactions through you. I /We also request you to consider the balances in my funds, securities, mutual fund units and currency account with you for the purpose of margins/any other obligations due to you.

In view of the above it would be proper for you to release the funds, mutual fund units and securities due to me on my specific request, either written or oral. You may debit the charges of holding units/securities to my account with you.

Further, I/We, authorise MSBPL to retain such amount of funds payable to me, not exceeding Rs. 10,000/- (Rupees ten thousand only) during any monthly/quarterly settlement of my account. I/We, Further agree that my account shall be deemed to have been settled as per SEBI CIRCULAR MIRS/SE/Cir-19/2009 dated December 3,2009/Exchange guidelines for respective quarter/month notwithstanding the said retention by Matalia Stock Broking Pvt. Ltd.

I hereby agree to settle my funds/securities/mutual funds account on *Monthly/Quarterly basis as per SEBI guidelines. Further, I /We hereby declare that I / W e retain the right to revoke this authorization at anytime.



(Signature of Client)

Date : _____

Place : _____

* Kindly tick relevant option. If not struck off, the option will be considered as "Quarterly".

AML MEASURES

Why to Monitor Money Laundering

- Huge amount of funds are generated from illegal activities. These funds are mostly in the form of cash. Money laundering is the processing of these criminal proceeds to disguise their illegal origin.
- The groups or individuals (criminals) who generate these cash funds need to be brought into the legitimate financial system.
- All intermediaries in the financial market are therefore required to monitor the money laundering activities to identify entry of these illegal funds into the legitimate financial system.

Consequences of Money Laundering

- Finances Terrorism: Money laundering provides terrorists with funds for financing their activities.
- Undermines rules of law and governance: The use of illegal money increases anti social activities and leads to undermining of rules of law and governance.
- Affects macro economy: Money laundering if not checked would lead to unusual changes in money demand, risk to bank soundness, corruption, crime, undermining of democracy and rule of the law.
- Hinders integrity of banking and financial system: The processing of illegal funds through an institution would result in the institution becoming a part of the criminal network which would have damaging effect on the integrity of the system as a whole.
- Reduces Revenue and Control: Money laundering reduces government tax revenue and weakens government control over the economy.

Steps in which money is laundered

Money laundering basically involves three independent steps.

- Placement:** This refers to movement of cash from its source. This is done by placing funds into circulation through financial institutions, businesses, etc.
- Layering:** This stage aims at creating complex layers of financial transactions thereby making it more difficult to trace the source of these illegal funds.
- Integration:** This is the movement of previously laundered money into the economy mainly through the banking system and thus such monies appear to be normal business earnings. This is dissimilar to layering, for in the integration process detection and identification of laundered funds is provided through informants.

Global Framework - Financial Action Task Force

- Financial Action Task Force was established by the G-7 summit in

Paris in 1989 in response to mounting concern over money laundering.

- The Task Force was given the responsibility of examining money laundering techniques and trends, reviewing the action which had already been taken at a national or international level, and setting out the measures that still needed to be taken to combat money laundering.
- Works to generate the necessary political will to bring about national legislative and regulatory reforms to combat money laundering and terrorist financing.
- FATF comprises of 34 member jurisdictions including India and 2 regional organizations.

Indian Scenario

- The Prevention of Money Laundering Act, 2002 (PMLA) forms the core of the legal framework put in place by India to combat money laundering. PMLA and the Rules notified there under came into force with effect from July 1, 2005.
- Financial Intelligence Unit - India (FIU-IND) was set by the Government of India vide O.M. dated 18th November, 2004 as the central national agency responsible for receiving, processing, analyzing and disseminating information relating to suspect financial transactions.
- The PMLA and rules notified there under impose obligation on banking companies, financial institutions and intermediaries to verify identity of clients, maintain records and furnish information to FIU-IND. PMLA defines money laundering offence and provides for the freezing, seizure and confiscation of the proceeds of crime.

Obligation of the clients

- The clients need to provide complete details like Address Proof, PAN, Income details etc. in order to help establish the identity and thereby help in tracing source of funds.
- Periodically update the financial details.
- The transaction executed need to commensurate with the disclosed income details.

For any queries, please contact at compliance@matalia.co.in

Reference for websites.

1. <http://fiuindia.gov.in>
2. www.sebi.gov.in
3. www.nseindia.com
4. www.bseindia.com
5. www.msei.in

I/We have read and understood the aforesaid Anti Money Laundering write up.

C10 

(Signature of Client)

*Strike off whichever is not applicable/acceptable to you.

POWER OF ATTORNEY (POA)

This Power of Attorney (POA) is executed by the persons mentioned in the Schedule to the POA in favour of "MATALIA STOCK BROKING PVT. LIMITED", a company incorporated under the provisions of the Companies Act, 1956 in India (hereinafter referred to as 'MSBPL', an expression deemed to mean and include its successors and assigns) and having its registered office at "Matalia House", 21-New Jagnath, Near Jain Bhuvan, Rajkot - 360001.

WHEREAS MSBPL is a member of the National Stock Exchange of India Limited ("NSE"), Bombay Stock Exchange Limited ("BSE") and Metropolitan Stock Exchange of India Limited ("MSEI") on the Capital Market Segment, Futures & Options Segment and Currency Derivatives Segments.

WHEREAS MSBPL is also a "Depository Participant" registered with (NSDL) bearing Regn No. IN-DP-NSDL-302-2008.

AND WHEREAS MSBPL is registered with Association of Mutual Funds in India (AMFI) as Mutual Fund Distributor having Registration no. ARN 27732.

AND WHEREAS, I/We wish to avail or I/We am/ are a client availing of the services offered by MSBPL and have entered into agreement(s) with MSBPL for transacting in securities with / without On-Line trading / E-broking & web based necessary documents/ facilities and/ or services through its website www.matalia.co.in or any other website used for offering said Services. Details of my/ our Trading and Demat account with MSBPL are provided in Schedule to this POA.

Whereas in the course of availing the services and for meeting the settlement obligations thereof on the Exchanges, I/We do hereby nominate, constitute and appoint MSBPL acting through their Directors, officers and/or duly authorized staff for the purpose, as my/our true and lawful constituted attorneys for my depository account (s) as provided in the Schedule to the POA and at my risk and costs to do, execute, exercise and perform all or any of the following acts, deeds, matters and things:

1. To have and exercise the powers and / or authority, and to do and / or execute the acts, deeds matters and things specified in agreement between MSBPL and the Client as may be applicable in relation to the transactions executed by the client
2. To operate depository account(s) for giving / receiving instructions, for the purpose of transferring any collateral to the margin account and / or honoring delivery obligations, for any transactions executed through MSBPL on recognized stock exchanges, under my/our instructions, in any form or format and at any time either electronically or otherwise or through the portal of the MSBPL or through the internet or any other mode.
3. To instruct the DP to debit securities to my / our aforesaid demat account and/or transfer securities from the said account and/or instruct the DP to execute the share transfer request given by me/us in electronic form or otherwise through MSBPL to pool/margin/collateral/any other beneficiary account of MSBPL as per the Schedule to POA, to the extent of shares sold through MSBPL for pay-in obligation as well as for upfront margins/settlement obligations towards Stock Exchanges across all segments and to meet such obligation which may arise on account of my/our availing of any service from MSBPL.
4. To sign instructions on my behalf with respect to debit/credit/ the depository account/(s) for the credit or benefit of my/our account with MSBPL, for the transactions carried by me / us with MSBPL.
5. To validate on my/our behalf any such instruction so given to the Depository Participant(s), in written / physical or any other form as may be required by the concerned depository participant.
6. For these purposes and to this extent, MSBPL is empowered by me/us, to affix their signatures to any document, form or any other record, being a delivery instruction given by me/us to the said depository participant, as required by the concerned depository.
7. I/We also undertake to pay such demat charges/fees and such other charges incurred by the MSBPL under this power of attorney and that I/We further authorize MSBPL to debit my/our account with MSBPL with the said charges as and when the same becomes due for payment and I/We hereby undertake to pay the same immediately on demand made by Matalia.
8. To register this Power of Attorney with the Depository Participant and/ or with any other party concerned as is require within the parameters of this Power of Attorney
9. To sign all applications, apply for, subscribe to or enter into correspondence with respect to any Initial Public offers/offers for Sale of Securities of the companies /Units of mutual fund, Asset Management company or any other "Investment Products" offered through the website www.matalia.co.in (owned by MSBPL) or any other means as per the instructions made available to them by me/us by electronic mail or through the website or any other mode as specified on the website or otherwise.
10. To make payment to any party with respect to the aforesaid products mentioned in point 9 above on my/our behalf to fulfill the transaction requested by me/us.
11. To enter into correspondence with any party with respect to any transaction in any Investment Products.
12. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/issuer of "Investment Product".
13. To receive intimation from the Exchange and any other party regarding the allocation / allotment / rejection / regret of the securities or such other "Investment Product" applications / (Voluntary)subscriptions/withdrawal or any other communications.
14. To authorize MSBPL to invest on behalf of me/us and to hold the mutual fund /asset management company(ies) based on the request given by me/us. I confirm not to hold such mutual fund/asset management company /MSBPL liable for any transaction processed on the based on my/our request To correspond with and give notice to the corresponding asset management company / body corporate(s)/issuer/registrars and transfer agent of securities including giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated, pursuant to the authorization given by me to MSBPL in this regard.
15. To deposit/transfer on allotment, the securities, debentures, units of the mutual funds and/or all other investments products applied through MSBPL, on allotment, to my/our Beneficiary Ownership Demat Account opened for the purpose with the MSBPL-DP.

16. To do all other acts and things as may be necessary to effect the subscription/purchase /redemption or any other transaction in any Investment Product for which services availed from MSBPL.
17. To debit my Trading account towards monies/fees/charges etc. payable to MSBPL service provider / any of the affiliates / subsidiaries of MSBPL by virtue of fees / charges incurred under this POA, demat charges, or any such costs incurred for I / We using / subscribing to any of the facilities / services provided either by MSBPL or through a Third Party service provider or by any other security or financial instrument on behalf of me/us though MSBPL or any third party. To bind ourselves with respect to any.
18. In case of any erroneous transfer done by the attorney, the attorney may return the same to my account as soon it comes to their notice.
19. To send the consolidated summary of client wise scrip wise buy and sell position with average rates by email or SMS.
20. To authorize MSBPL to transfer the securities to any of the demat accounts of MSBPL mentioned in Schedule to the POA.
21. We, the joint holders (first, second, third holders) of demat account agree, ratify and confirm to bind ourselves to any instructions given by the first holder of the demat account, being the trading account holder, as herein above mentioned, who shall be the exclusive beneficiary of the transactions carried out pursuant to this Power of Attorney, the Director/s and/or Authorised Signatories, who have in token thereof, subscribed their signature thereto.
That the Power of Attorney herein referred to is revocable at any time by giving notice in writing to MSBPL subject to such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA.
This document shall be subject to the jurisdiction of the courts in Mumbai.
In witness whereof I/we have executed this revocable Power of Attorney on the day, date and year herein as mentioned.

Schedule to the POA

	Name	Address
Authorized Signatory (1) / Karta / Partner of the First / Sole Holder (Trading Account Client)		
Authorized Signatory (2) / Co-parcener / Partner		
Authorized Signatory (3) / Co-parcener / Partner		
Authorized Signatory (4) / Co-parcener / Partner		
Second Holder		
Third Holder		
Demat Account No.		

MSBPL Designated Demat Account Nos.

DP Name	DP id	Type	CMBP ID & Client ID
Matalia Stock Broking Pvt. Ltd.	IN 303575	PAYIN	BSE CMBP ID : IN655275/(FOR BSE MF) IN620031 10001905, NSE CMBP ID IN564756 10001201, MSEI CMBP ID IN472410 10051882, (FOR BSE MF CDSL) 1100001000020972
Matalia Stock Broking Pvt. Ltd.	IN 303575	MARGIN	10003079, 10001622, 10001315, 10052301, 10052310, 10040841
Matalia Stock Broking Pvt. Ltd.	IN 303575	MARGIN FUNDING	10220015 (NSE), 10211498 (BSE)

IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year herein above written Signed and Delivered

	Authorized Signatory (1) / Karta / Partner of the First / Sole Holder	Authorized Signatory (2) / Co-parcener / Partner	Authorized Signatory (3) / Co-parcener / Partner
Signature	C11 👉	👉	👉
	Authorized Signatory (4) / Co-parcener / Partner	Second Holder	Third Holder
Signature	👉	👉	👉

The Common Seal of _____ has been affixed hereunto in accordance to the Articles of Association and pursuance to the resolution of the Board of Directors dated _____ in the presence of below witnesses:

CLIENT'S WITNESS TO THE POWER OF ATTORNEY (For and on behalf of the client)

<p>Witness 1</p> <p>Name _____</p> <p>Address _____</p> <p>_____</p> <p>Signature W2 👉 _____</p>	<p>Witness 2</p> <p>Name _____</p> <p>Address _____</p> <p>_____</p> <p>Signature W3 👉 _____</p>
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We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned herein above.
For Matalia Stock Broking Private Limited

Authorised Signatory
(HO purpose only)

Date: _____

LETTER OF AUTHORITY

To,
Matalia Stock Broking Pvt. Ltd.
"Matalia House", 21-New Jagnath Plot,
Nr. Jain Bhuvan, Rajkot - 360 001.
Ph. : 0281-2460014, 2466387, 6697505

Client Name : _____

Client Code : _____

Dear Sir,

Date : _____

Sub: **Letter of Authority - CASH/F&O/Currency Derivative/Interest Rate Future Segment of
NSE/BSE/MCX-SX/other stock exchange if any**

I/We are dealing in securities with you at NSE/BSE/MCX-SX/any other proposed exchange incorporated in future of which MSBPL will be trading member in Capital Market, F&O, Currency Derivative & Interest Rate Future Segment and / or other investment product in order to facilitate ease of operations, I/We authorize you as under :

1. I/We authorize you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by us.
2. I/We hereby authorize you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorize you to retain pay out of securities, all the securities which we give you in margin and corporate benefits if any for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of stock exchanges / clearing house for meeting margin / pay-in obligation or for giving the same as margin to the Stock Exchange or otherwise.
4. I/We request you to retain credit balance includes corporate benefits like dividend etc. in any of my/our account and to use the credit balances / funds towards our margin/future obligations at any or all the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf, transfer of security from your demat account to meet my/our pay in obligations on for transferring the securities in my/our Demat accounts as per my/our request. I/We also authorize you to debit the financial charges @ 2% p.m. for the debit balances if any, in my/our account and not settled as per the exchange requirements.
5. I/We request you to bill me/us on monthly basis or at your convenience for derivatives segments. You can collect mark to market, initial margin on daily basis debiting my/our account.
6. I/We authorize you to utilize the margin of cash or securities lying with you in all the form for placing it with stock exchanges.
7. Further I/we hereby authorize you to transfer, adjust, pass journal voucher for my/our cash margin pay out of funds, my/our running ledger balance, share margin, payout of shares between my/our various accounts held with you in same segment or different segment, viceversa. I/We hereby willfully and unconditionally issue standing instructions for transfer of credit/debit balance from Mark to Market/Premium Account to Margin Account viceversa for transfer of credit/debit balance from Margin account to Mark to Market / Premium Account. I/We also hereby unconditionally issue standing instructions to you to maintain a running account in my/our case with you. I/We hereby authorize you to withhold my/our funds pay-out (if any) towards margin and open interest as and when warranted and similarly debit my/our account with you for fresh Mark to Market differences, Margin etc. on a daily basis if required.
8. I/We hereby undertake and confirm that we will not make any cash payment to the company or its representative under any circumstances and if so paid to any of the representative/employee/authorized person/sub-broker, it shall not be the responsibility of Matalia Stock Broking Pvt. Ltd. We clearly understand that the company never accepts money in cash.
9. I/We hereby undertake and confirm that we shall deliver shares for pay in to the company account and share will not be delivered to company's employee's / authorized person's/sub-broker's demat account under any circumstances.
10. The Client is aware that Matalia Stock Broking Pvt. Ltd. (MSBPL) is providing various services in furtherance to the activities of securities broking and we wish to avail of such service and in pursuance whereof we hereby agree, undertake and authorize MSBPL to levy various financial charges for rendering services and collect or recover the same from my trading account maintained with it towards services as may be provided by it and availed by me or us.

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(Signature of Client)

I I./We hereby also undertake that :

- (a) I/we are doing business/dealings only for me/us and not on account of any clients.
 - (b) I/We have not to issue any further contract notes, whatsoever to anybody in relation to my/our dealings with you.
 - (c) I/we further undertake that I/We shall not effect any third party transactions during the course of my/our dealing through you. Further undertake to indemnify you against any losses/damages suffered by you if I/We indulge in third party transaction.
12. That all securities shall be valued at current market prices and credit (referred as collateral amount) shall be assigned only after applying the due hair-cut percentages, which shall vary from security to security.
 13. That I shall intimate MSBPL at least 5 working days in advance for any release of securities from your custody / from such entity with which those securities may have been deposited/pledged. I/We accept that MSBPL shall not be releasing the securities in the case of any pending /any outstanding positions or dues in my account with MSBPL. That I shall intimate MSBPL at least 2 trading days in advance, to adjusting my securities with you against my sale obligation in the same securities in any exchange segment. I hereby undertake to fulfill any shortfall in the collateral amounts arising out of such adjustment of securities, before the scheduled securities pay-in-date at the exchange, failing which MSBPL shall not be responsible for shortage in securities pay-in.
 14. I hereby declare, agree and state that as far as possible and practicable, I will place the order for purchase/sell of the equity, equity derivatives strictly as per mode and manner prescribed/provided/approved by SEBI/Stock Exchange from time to time. However, in any circumstances/situation for my convenience, if it is not possible for me to adhere to the guidelines in this regard, you may for my convenience execute the order for purchase/sell of the security as per my oral/verbal order during the live market. Considering the market movement and situation, the instant written confirmation may not be possible, but as a matter of general practice, I will receive information about execution of trade (for purchase/sale of the security) via email/SMS or internet at my given email id or registered mobile No. in due course as per directives of SEBI/STOCK EXCHANGE and it will be my responsibility to verify or check the same in due course. I hereby declare and agree such intimation given to me will be sufficient compliance on your part of the rules and regulations of SEBI/Stock Exchange and transaction so done will be treated as valid and authorized transaction and if I do not raise specific dispute immediately (or latest within 24 hours of receipt of email or SMS) the execution of trade will be valid, authorized, final and binding to me and no dispute/complaint in that regard will be raised by me. I hereby admit and acknowledge that I will be responsible for placing order for purchase/sell of security and no burden will lie on the broker/you in that regard.
 15. I/We request that you may send/despatch me/us contract notes & other documents on my designated e-mail address. We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e- mail to me/us and will not dispute the same. I/We will inform you the change my/our e-mail, if any, in future either by regd. post or through a digitally signed e-mail.
 16. I/We authroize Mr./Ms. _____ (who is Self, Family, Spouse, Dependent Children, Dependent Parents) to deal/transact on my/our behalf and to place order, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act(s) on my/our behalf which I/we can do and I/we the undersigned to hereby agree and declare and confirm that all the acts, and things done by him/her or his/her substitutes shall be my/our acts, deed and things validity done by me/us to all intents and purposes.
 17. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
 18. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.
 19. I/We have a Trading As well as depository relationship with **Matalia Stock Broking Pvt. Ltd.** Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reason.
 20. Please refer to the above authority letter issued by _____ (client) authorizing me to trade and settle in his/her/their aforesaid trading account. I hereby accept the authority given to me and I shall abide by the terms & conditions of KYC documentation executed by the client with MSBPL.

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(Signature of Client)

MUTUAL FUND SERVICE SYSTEM FACILITY / BSE STAR MF

To, **Matalia Stock Broking Pvt. Ltd.**

"Matalia House", 21-New Jagnath Plot, Near Jain Bhuvan, RAJKOT-360001.

Dear Sir,

I/We _____, having PAN: _____, having trading account with MSBPL under the trading code _____ to deal in Cash or/and Derivative Segments or/and Mutual Fund of NSE / BSE / MSEI Exchange or subscription in IPO/FPO etc..

Sub: Mutual Fund trading facility on NSE & BSE Exchanges.

Ref.: Trading Code _____ ARN / Sub Broker / EUIN **27732**

I/We am/are registered as your client with above mentioned Trading Code and have executed KYC and Rights and Obligations and other voluntary documents, if any, for the purpose of trading in the Capital Market segment of the Exchanges. I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the Exchanges. For the purpose of availing this 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 Mutual Funds segment of the Exchanges and I/we further confirm that the details contained in same remain unchanged as on date.

I/We am/are willing to abide by the operating guidelines and terms and conditions as may be specified by the Exchange from time to time in this regard including the terms and conditions specified by the Exchange with respect to mutual fund facility since 2009. I/We shall also comply with all the Know Your Client (KYC) and Anti Money Laundering (AML) requirements as may be specified by the Exchange.

I/We shall also ensure 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 Mutual Fund facility of the Exchanges.

NSE MFSS BSE Star MF (Pl. Specify)

I/we have read and understood below given pre requisites and terms and conditions and agree with the same.

Pre-requisites for becoming Investor/Client for the Mutual Fund Services :

1. The client is desirous of investing in units of mutual fund schemes through the Exchanges.
2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Exchanges.
3. The client has satisfied himself/herself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instructions through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transaction through the Participant.
4. The Client has approached to the Participant with the application for availing the Mutual Fund facility from the Exchanges.
5. The client has submitted relevant KYC (Know Your Client) details to the Participant.
Terms & conditions :
6. The client shall be bound by circulars issued by Exchanges, Rules, Regulations and circulars issued there under by SEBI, AMFI and relevant notifications of Government authorities as may be in force from time to time.
7. The client shall immediately notify the Participant in writing if 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 Mutual Fund segment of Exchanges or at any time thereafter.
8. 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.
9. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
10. The client shall be wholly responsible for all his investment decisions and instruction.
11. The client shall ensure continuous compliance with the requirements of the Exchanges, SEBI and AMFI.
12. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Clients account, transactions and to the services that Participant renders to the Client.
13. 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/her or if any litigation which may have material bearing on his capacity has been filed against him/her.
14. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of Exchanges or clearing corporations of Exchanges.
15. To reduce administrative/operational difficulties in quarterly/monthly settlement of accounts, I/We hereby authorized you to buy and/or sell liquid bees on my/our behalf, for the suitable amount. I/We understand that-The value of liquid bees doesn't change significantly, The costs will not have much effect on my/our trading account balance, There will not be any payment gateway charges, No hassles of having to transfer the funds back into my/our trading account, I/We have continuous access to my/our funds in case of trading opportunity.
16. The above authorization is revocable and can be revoked by sending an intention for revocation in writing at the registered office of MSBPL. I/We understand that the above authorization will be exercised by MSBPL at its discretion and I/We understand that MSBPL may release the entire or part of funds and/or securities instead of buy and/or selling liquid bees as per above authorization and I/We shall not make MSBPL liable for non exercitation of the above authorization.
17. In case of any dispute between the Participants and the investors arising out of the Mutual Fund facility of the Exchanges, each of the Exchange agrees to extend the necessary support for the speedy redressal of the disputes.

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

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(Signature of Client)

RESEARCH ADVICE DISCLAIMER, TERMS AND CONDITIONS

To,
MATALIA STOCK BROKING PVT. LTD.

Registered of fice Address : "Matalia House", 21-New Jagnath Plot, Nr. Jain Bhuvan, Rajkot - 360 001.
Tel: 0281-2463584, 2467571, 6697500-501-504-507 | Website: www.matalia.co.in

1. The matalia.co.in website contains terms and conditions, other than those mentioned herein. One should read those additional terms and conditions carefully. By registering for the Email, SMS & Other services, you are indicating your agreement to be bound by the said terms and conditions.
2. The information, products and services on the matalia.co.in website and the SMS service are provided on an "AS IS," "WHERE IS" and "WHERE AVAILABLE" basis. Although the information provided to you in these services is obtained or compiled from sources we believe to be reliable, Matalia cannot and does not guarantee the accuracy, reliability, validity, timeliness or completeness of any information or data made available to you for any particular purpose and the views are purely of indicative nature and not of suggestive nature, therefore does not any claim and action arising against Matalia (Matalia Stock Broking Pvt. Ltd.).
3. Neither MSBPL, nor any of its associates, subsidiaries, affiliates, directors, officers or employees will become liable or have a responsibility of any kind for any loss or damage that I/We may incur from any decisions taken by me/us based on MSBPL's SMS services. Further, advice of MSBPL only provide information updates and analysis of the stocks and MSBPL, it's Directors, Officers or employees may have direct or indirect interests. I/We express undertaking of the risks, which is inherent in any equity investment or trading decisions. MSBPL does not undertake any obligation or responsibility to update or amend any such information. MSBPL may discontinue or change any product or service described herein at any time without demur.
4. None of the information contained in the services constitutes a solicitation or offer from MSBPL or its affiliates to buy or sell any securities, futures, options or other financial instrument advice or service. Prior to the execution of any order/transactions by me/us involving information received by me/us from these services, I/We should concert my/our investment advisor with respect to the price, suitability, value or other aspects of any stock, security or other investment. Pricing and other information referred in these services may not reflect actual prices or values that would be available in the market at the time provided or at the time that I/We may want to purchase or sell a particular security or other instrument.
5. I/We agree no to reproduce, retransmit, disseminate, sell, distribute, publish, broadcast, circulate or commercially exploit the information available on e-mail or SMS sent by MSBPL, in any manner without the express return consent of MSBPL, nor to use the information for any unlawful purpose.
6. I/We hereby agree and confirm that in case I/We change my e-mail/mobile no. in future whether directly or through KRA/C-KYC with any other intermediaries, this disclaimer, terms & conditions shall continue to be agreeable and acceptable to me/us on the updated e-mail/mobile no. and shall remain valid & binding to me/us.

NOTE : Strike off whichever is not applicable/acceptable to you.



(Signature of Client)



Declaration of H.U.F. Status

To,
MATALIA STOCK BROKING PVT. LTD.

MATALIA HOUSE Nr. JAIN BHUVAN, 21 NEW JAGNATH PLOT, RAJKOT - 360 001. Ph. : 2463584, 2467571, Fax : (0281) 3048830
DP ID : IN303575

AS I/We Wish to open a Depository Account &/or Trading Account with you in my capacity as "Karta" of HUF of
I/We beg to Say that the first Signatory to this letter, i.e. Mr. is the "Karta" of the Joint family and other signatories are the adult co-partners co-partners of the said family. I/We further confirm that the business of the said Joint Family is carried on mainly by the said "Karita" as also by the other signatories hereto in the interest and for benefit to the entire body of co-partners of the Joint Family.

In view of the fact ours is not family governed by the Indian Partnership Act, 1932, We have not got out firm registered under the said Act.

I/We hereby undertake to inform you the death or birth of co-partner or of any change occurring at any time in the membership of our Joint Family during the currency of the Account,

Name of "Karta"	Signature and Stamp of "Karta"
<input type="text"/>	<input type="text" value="ⓧ"/>
Name of Adult Co-partners	Signature of Adult Co-Partners
<input type="text"/>	<input type="text" value="ⓧ"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
Name of Minor Co-Parcers	Date of Birth of Minor Co-partners
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Declaration To Be Given By The Proprietor Of Sole Proprietorship Firm

To,
Matalia Stock Broking Pvt. Ltd., 21-New Jagnath Plot, Nr. Jain Bhuvan, Rajkot – 360 001.

Dear Sir,

I refer to the trading account to be opened with you in the name of M/s. _____ and declare and authorize you as under:

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship. To facilitate the operation of the said trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account No. _____ with the depository participant _____ (DP ID) IN303575 opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfer(s) to/from the above mentioned account. I recognize and accept transfer made by you to the aforesaid beneficiary account as completion of obligations by you in respect of trade executed in the above trading account of the firm.

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof.

Yours truly,

(Signature of the Proprietor)

AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER(S)

We, the Partners of M/s. _____ a partnership firm, having its office situated at, _____, City _____, State _____ hereby authorize Mr. _____, and Mr. _____, to open a securities trading account in Capital Market segment, F&O segment and Retail Debt Market segment or any other segment as per Rules and Regulations prescribed by SEBI, on behalf of the firm M/s. _____, with the Trading member M/s. Matalia Stock Broking Pvt. Ltd. for sale and purchase of shares/debentures/derivative instruments/mutual fund etc. in Capital Market segment(CM) and/or futures and Options segment (F&O) and/or Retail Debt. Market segments(ROM) or any other segment that may be introduced by NSE/BSE in future.

He/She/They is/are authorized on behalf of the firm to deal in equities, F&O, debentures, debt products and the said Trading Member is hereby authorized to honor all instructions or all or written, given on behalf of the firm by him/her/them.

Mr. _____, and Mr. _____, is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through M/s. Matalia Stock Broking Pvt. Ltd. on behalf of the firm M/s. _____. He/She/They is/are authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents writings and deed as may be deemed necessary or expedient to open account and give effect to this purpose. However, any partner/authorized signatory(ies) can issue cheques from bank account(s) in favour of M/s. Matalia Stock Broking Pvt. Ltd. for credit to Share Trading account of the firm with M/s. Matalia Stock Broking Pvt. Ltd. even through his/their signatures may not be available on the records of M/s. Matalia Stock Broking Pvt. Ltd. These cheques may either be from the account of partnership firm or from individual account, the said amount so given shall be solely/exclusively for the account of the maintained with Matalia Stock Broking Pvt. Ltd.

For M/s. _____ M/s. _____ M/s. _____ M/s. _____
1. Partner _____ 2. Partner _____ 3. Partner _____ 4. Partner _____
(Signature) (Signature) (Signature) (Signature)

DECLARATION BY PARTNERSHIP FIRM

To,
Matalia Stock Broking Pvt. Ltd.
Matalia House, 21-New Jagnath,
Near Jain Bhuvan, Rajkot – 360 001

Dear Sir,

We refer to the trading account opened with you in the name of M/s. _____ and declare and authorize you as under:

We recognize that, a beneficiary account can not be opened with Depository Participant in the name of the Partnership firm as per regulation. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. _____ and _____, with Depository National Securities Depository Limited having DPID : IN303575 opened as an account in the name of the partner of the firm.

We agree that, the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above mentioned account. We recognize and accept transfers made by you to beneficiary account as completed is charge of obligations by you in respect of trades executed in the above trading account of the firm.

(Signature) (Signature) (Signature)

Instructions :

Should be signed by all partners of the firm, whose specimen signature is described below . . .

1. Partner : _____

SPECIMEN COPY OF BOARD RESOLUTION

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF BOARD OF DIRECTORS OF _____ LTD., AND HAVING ITS REGISTERED OFFICE AT _____

HELD ON _____ DAY OF _____, 20 _____ AT _____ A.M./P.M.

RESOLVED THAT _____ (hereinafter company) is authorized to open a Trading and/or a Demat account with Matalia Stock Broking Pvt. Ltd., member of Bombay Stock Exchange Limited (BSE), Metropolitan Stock Exchange of India Limited (MSEI), National Stock Exchange Limited (NSE) and Depository Participant of National Securities Depository Limited (NSDL), any other proposed Exchange / Depository incorporated in future of which Matalia Stock Broking Pvt. Ltd. will be Trading Member / Depository Participant, the said Trading Member / Depository Participant be and is hereby authorized to honour instructions, oral or written, given on behalf of Company, by any of the under noted authorized signatories.

Sr.No.	Name	Designation
1.		
2.		
3.		

Who is/are singly/jointly/any one of them authorized to sell, purchase, transfer, endorse, negotiate shares, stock, documents and/or otherwise operate the corporate client account through MATALIA STOCK BROKING PVT. LTD. on behalf of Company.

"RESOLVED FURTHER THAT, Mr. _____, _____ (designation) and/or Mr. _____ (designation) and/or Mr. _____ (designation), Authorized signatories of the company be and are hereby authorized to sign, execute and submit such applications, undertaking, agreements and other requisite documents, writings and deeds as my be deemed necessary or expedient to open account and give effect to this resolutions".

"RESOLVED FURTHER THAT, the Common Seal of the Company is affixed, wherever necessary, in the presence of any Directors or of any one director and Company Secretary, who shall sign the same in token of presence".

"RESOLVED FURTHER THAT, the said resolution be communicated to MATALIA STOCK BROKING PVT. LTD. by Mr. _____ Director of the Company".

Place : Rajkot
Date :

FOR _____

Director

Specimen signature of the Authorized Persons

S.No.	Name	Specimen Signature
1.		
2.		

Place : Rajkot
Date :

(Attested)
Director/Chariman

The above signatures to be attested by the person signing the resolution for account opening on behalf of company.

To,
Matalia Stock Broking Pvt. Ltd.
 "Matalia House", 21-New Jagnath Plot,
 Nr. Jain Bhuvan, Rajkot - 360 001.
 Ph. : 0281-2460014, 2466387, 6697505

Dear Sir,

I/We hereby acknowledge the receipt of duly signed account opening letter/kit, copy of rights & obligations of stock broker, sub-broker & client, risk disclosure document (RDD), guidance note, policy & procedures, etc. I/We acknowledge that the other details related to my/our account are as under :

Trading Code.....

UCC.....

My Email Id.....



(Signature of Client)

Application No.

Acknowledgment Slip

Date : ____ / ____ / ____

Received the application from the following holder/s for opening a trading & depository account. Please quote the Client Code, DP ID & Client ID allotted to you in all your future correspondence.

Name of 1st Holder	Name of 2nd Holder	Name of 3rd Holder

Received in Cash _____ Amount _____

Received Cheque No. _____ Amount _____ Bank Name _____

Executive Name : _____ Executive Sign : _____

Outlet Name : _____ Outlet Code : _____

For all queries, please call 0281-2463584, 2467571, 6697500-501-504-507

For DP Inquires & Queries email at dp@matalia.co.in

Note : "Kindly DO NOT handover Cash / Shares to the sales executive for any reason whatsoever.



Matalia
Seal and Signature