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PART - I Mandatory Document

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KNOW YOUR CLIENT FORM

**PRITHVI FINMART PVT LTD
In person Verification**

Signature: _____
Name: _____
Designation: _____
Date: _____
Place: _____

INDIVIDUAL CLIENT REGISTRATION FORM

(This information is the sole property of the trading member and would not be disclosed to anyone unless required by law or except with the express permission of clients)

To

PRITHVI FINMART PVT. LTD.

Trading Member Id: 61400
TM: MCX-SX & NSE CDS
6 B CORPORA,
NR SHANGRILLA BISCUIT CO.,
LBS MARG, BHANDUP (W),
MUMBAI- 400078.
TEL: 022 61404444,
SEBI Reg. No: INE231335238

AXIS BANK LTD.

Clearing Member Id: 29
CM: MCX-SX
JEEVAN PRAKASH BLDG,
CAPITAL MARKET DIVISION,
SIR P.M. ROAD, FORT,
MUMBAI – 400001
TEL: 022 66107255
SEBI Reg. No: INE231308037

GLOBE CAPITAL MARKET LTD

Clearing Member Id: M50302
CM: NSE CDS
1005, ANSAL BHAWAN,
16, K.G. MARG,
CONNAUGHT PLACE,
NEW DELHI - 110001
TEL: 011 30412345
SEBI Reg. No. INB/INF230663732

E-Mail ID for Redressal of Investor Grievances: complaints@prithvibroking.com

Client Information

1. Name of the client: _____
(Surname) (Name) (Middle Name)

2. Permanent Account Number (PAN) _____

3. Sex: Male / Female _____

4. Date of Birth: DD/MM/YYYY _____

5. Marital Status: _____

6. Residence Address: _____

City: _____

Pin Code: _____

State: _____

Country: _____

Nationality: _____

Telephone Number: (Res) _____ Fax No: _____

Mobile No: _____

Residential Status: _____

PHOTOGRAPH
Sign Across
Photo

7. Bank and Depository Account Details

Bank Name (through which transactions will be routed)

Branch: _____

Address: _____

Account No: _____

Account Type: Savings / Current / Others: _____

(Copy of a cancelled Cheque leaf / pass book / bank statement containing name of the constituent should be submitted.)

Depository Participant Name (through which securities will generally be routed.)

Address: _____

BO Account Number: _____

8. Occupation Details

Occupation: Employed / Self Employed / Business Professional / House- Wife / Others
(Tick whichever is applicable)

9. If Employed

Name of Employer: _____

Office Address: _____

City: _____

Pin Code: _____

State: _____

Country: _____

Telephone Number (Office) _____

Fax No / Telex No: _____

10. If Self Employed / Business / Professional/Others

Name of the establishment: _____

Office Address: _____

City: _____

Pin Code: _____

State: _____

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

11. Financial details of the constituent:

Income Range (Per Annum): (Tick where applicable)

Below Rs. 1,00,000

Rs. 1,00,000 To Rs. 5,00,000

Rs. 5,00,000 To Rs. 10,00,000

Rs. 10,00,000 To Rs. 25,00,000

Above Rs.25,00,000

12. Investment/Trading Experience

a. No Prior Experience

b. _____ Years in Stocks

c. _____ Years in Derivatives

d. _____ Years in Other investment related fields

13. Trading Preference

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

1. MCX-SX

2. NSE CDS

B. Market segments you wish to trade (if the member is registered for such segment):

1. Currency Derivatives Segment

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

Name of Broker: _____

Name of Exchange: _____

Client code no. (As given by the other broker): _____

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

16. References

Introduction: Introduced by another constituent / director or employee of trading member / any other person (please specify)

Name of the Introducer: _____

(Surname)

(Name)

(Middle name)

Signature _____

PAN of introducer, if any: _____

Address of Introducer: _____

Name and designation of the employee who interviewed the client:

Name: _____ Designation: _____

Signature of the employee: _____

17. Declaration

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

Ⓢ

(Signature of the individual constituent)

Place: _____

Date: _____

DOCUMENTARY REQUIREMENTS

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

For Proof of Identity (any one of the following)

PAN/ Passport / Voter ID / Driving license / Photo Identity card issued by Employer registered under MAPIN

For Proof of Address (any one of the following)

Passport / Voter ID / Driving License / Bank Passbook / Rent Agreement / Ration Card / Flat Maintenance Bill / Telephone Bill / Electricity Bill / Certificate issued by employer registered under MAPIN/ Insurance Policy

For Office Purposes:

Unique Client Code: _____

Date: _____

UCC Uploaded on: _____

Original documents

Verified By _____ Authorised By: _____

THE CLIENT REGISTRATION FORM FOR CORPORATES, FIRMS AND OTHERS

(This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or in case of express permission of clients)

PRITHVI FINMART PVT LTD In person Verification	
Signature:	_____
Name:	_____
Designation:	_____
Date:	_____
Place:	_____

To

PRITHVI FINMART PVT. LTD.

Trading Member Id: 61400
TM: MCX-SX & NSE CDS
6 B CORPORA,
NR SHANGRILLA BISCUIT CO.,
LBS MARG, BHANDUP (W),
MUMBAI- 400078.
TEL: 022 61404444,
SEBI Reg. No: INE231335238

AXIS BANK LTD.

Clearing Member Id: 29
CM: MCX-SX
JEEVAN PRAKASH BLDG,
CAPITAL MARKET DIVISION,
SIR P.M. ROAD, FORT,
MUMBAI – 400001
TEL: 022 66107255
SEBI Reg. No: INE231308037

GLOBE CAPITAL MARKET LTD

Clearing Member Id: M50302
CM: NSE CDS
1005, ANSAL BHAWAN,
16, K.G. MARG,
CONNAUGHT PLACE,
NEW DELHI - 110001
TEL: 011 30412345
SEBI Reg. No. INB/INF230663732

E-Mail ID for Redressal of Investor Grievances: complaints@prithvibroking.com

1. Name of the company / firm _____

2. Constitution _____

3. Registered Office address

City: _____

Pin Code: _____

State: _____

Phone number(s) _____ Fax number(s) _____

4. Address for correspondence

City: _____

Pin Code: _____

State: _____

Phone number(s) _____ Fax number(s) _____

5. Date of incorporation / formation: _____

6. Date of commencement of business: _____

7. Nature of Business: _____

8. Registration number (with ROC, SEBI or any government authority)

9. Details of PAN: _____

10. Names of Promoters / Partners / Karta and residential address

1. _____

2. _____

3. _____

4. _____

11. Names of whole time directors and residential address

1. _____

2. _____

3. _____

4. _____

12. Names and Designation of persons authorized to deal in currency derivatives on behalf of the company / firm / others and their residential address

1. _____

2. _____

3. _____

13. Details of any action taken by SEBI/Stock exchange/any other authority against the constituent or its partners / promoters / whole time directors / authorized persons in charge of dealing in securities / derivatives for violation of securities laws / other economic offences.

14. Bank and Depository Account Details

Bank Name (through which transactions will generally be routed.)

Branch: _____

Address: _____

Account No: _____

Account Type: _____

(Copy of a cancelled Cheque leaf / pass book / bank statement containing name of the constituent should be submitted.)

15. Depository Participant Name (through which securities will be routed)

Address: _____

B.O Account Number: _____

16. Investment/Trading Experience

No Prior Experience

_____ Years in Stocks _____ Years in Derivatives

_____ Years in Other investment related fields

17. Trading Preference:

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

- 1. MCX-SX
- 2. NSE CDS

B. Market segments you wish to trade (if the member is registered for such segment):

- 1. Currency Derivatives Segment

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

Name of Broker: _____

Name of Exchange: _____

Client code no. (As given by the other broker): _____

19. References

Introduction: Introduced by another constituent / director or employee of trading member / any other person (please specify)

Name of the Introducer: _____

(Surname) (Name) (Middle name)

Signature _____

PAN of introducer, if any: _____

Address of Introducer: _____

Name and designation of the employee who interviewed the client:

Name _____

Designation _____

Signature of the employee: _____

20. 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.

Authorised Signatory (with company seal)

Name: _____ Place: _____ Date: _____

DOCUMENTARY REQUIREMENTS

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

1. Copies of the balance sheet for the last 2 financial years (copies of annual balance sheet to be submitted every year)
2. Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the company secretary / Whole time director / MD. (copy of shareholding pattern to be submitted every year)
3. Copies of the Memorandum and Articles of Association in case of a company / body incorporate / partnership deed in case of a partnership firm
4. Copy of the Resolution of board of directors approving participation in currency derivatives and naming authorised persons for dealing in currency derivatives.
5. Photographs of partners / Whole time directors, individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorised to deal in currency derivatives.

For Office Purposes:

Unique Client Code: _____

Date: _____

UCC Uploaded on: _____

Original documents

Verified By _____ Authorised By: _____

Member Constituent Agreement

AGREEMENT BETWEEN TRADING MEMBER AND CLIENT FOR MCX-SX

This agreement is made and executed at this day of 20..... between **M/s. Prithvi Finmart Pvt. Ltd.**, a body corporate, incorporated under the provisions of the Companies Act, 1956, being a member of the MCX Stock Exchange Ltd. (hereinafter called "the Exchange"), and having its registered office at 6B, CORPORA, NEAR SHANGRILLA BISCUIT CO., L B S MARG, BHANDUP WEST, MUMBAI 400078 (hereinafter called "the trading member") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the Currency Derivatives Segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

Mr./Ms/M/s....., an individual/ a sole proprietary concern/ a partnership firm/ a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/ registered office at (hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the trading member is registered as the trading member of the Exchange with SEBI registration number **INE261335231** in the Currency Derivatives Segment.

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

- B) Whereas the client has satisfied itself of the capacity of the trading member to deal in securities and / or deal in equity / currency derivatives contracts and wishes to execute its orders through the trading member and the client shall from time to time continue to satisfy itself of such capability of the trading member before executing orders through the trading member.
- C) Whereas the trading member has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment / trading objectives relevant to the services to be provided; and
- D) Whereas the trading member has taken steps and shall take steps to make the client aware of the precise nature of the trading member's liability for business to be conducted, including any limitations, the liability and the capacity in which the trading member acts.
- E) Whereas the trading member and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

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

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

- d) He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the trading member or the Exchange or as may be directed by SEBI from time to time as applicable to the segment. The trading member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House / Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
- e) Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate / require.

3. The Client agrees to pay to the trading member brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that trading member renders to the Client.

4. The trading member agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye -laws of the Exchange / SEBI.

5. The client agrees to abide by the exposure limits, if any, set by the trading member or by the Exchange or Clearing Corporation or SEBI from time to time.

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

7. The trading member agrees that the money / securities deposited by the client shall be kept in a separate account, distinct from his / its own account or account of any other client and shall not be used by the trading member for himself / itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars / guidelines / Exchange's Rules / Regulations / Byelaws and circulars.

8. The client agrees to immediately furnish information to the trading member in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

9. The trading member agrees to inform the client and keep him apprised about trading / settlement cycles, delivery / payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules / procedures of the Exchange.

10. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving and paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities, the trading member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.

11. The client and the trading member agree to refer any claims and / or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.

12. The trading member hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.

13. Information about default in payment / delivery and related aspects by a client shall be brought to the notice of the Exchange(s). In case where defaulting client is a corporate entity / partnership / proprietary firm or any other artificial legal entity, then the name(s) of director(s) / promoter(s) / Partner(s) / proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).

14. The trading member and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.

15. The trading member and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.

16. The trading member and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.

17. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.

18. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.

19. This agreement shall forthwith terminate; if the trading member for any reason ceases to be a member of the Exchange including cessation of membership by reason of the trading member's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.

20. The trading member and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in / be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

21. In addition to the specific rights set out in this Agreement, the trading member and the client shall be entitled to exercise any other rights which the trading member or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.



22. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under.

23. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the Exchange that may be in force from time to time.

24. The trading member hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person / authority except as required under any law / regulatory requirements; Provided however that the trading member may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement.

Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

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

The Trading Member's Signature

/Authorised Signatory:

Signed by:

Title:


PRITHVI FINMART PVT. LTD.

Witness:

- 1.
- 2.

The Client's Signature

/ Authorised Signatory

Signed by: 

Title:

Name of the client:

Witness:

- 1.
- 2.

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

Member Constituent Agreement

AGREEMENT BETWEEN STOCK BROKER AND CLIENT FOR NSE

This agreement is made and executed at this day of 20..... between **M/s. Prithvi Finmart Pvt. Ltd.**, a body corporate, incorporated under the provisions of the Companies Act, 1956, being a member of the National Stock Exchange of India Ltd. (hereinafter called "the Exchange"), and having its registered office at 6B Corpora, 6th Floor, Near Shangrilla Biscuit Co., L B S Marg, Bhandup (W), Mumbai 400078. (hereinafter called "the stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a stock broker while trading in the Currency Derivatives Segment, his/her heirs, executors, administrators and legal representatives, the partner for time being & said firm the survivor or survivors of them & their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

Whereas the trading member is registered as the trading member of the Exchange with SEBI registration number **INE231335238** in the Currency Derivatives Segment.

And

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

.....
.....

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

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

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

Σ

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

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

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

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

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker at the time of opening of the account or at any time thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
 - a. He has read and understood the risks involved in trading on a stock exchange.
 - b. He shall be wholly responsible for all his investment decisions and trades.
 - c. The failure of the client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segment in which client choose to trade.
 - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segments in which client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House / Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate / require.
3. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client.

4. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye -laws of the relevant stock exchange / SEBI.

5. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.

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

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

8. The client agrees to immediately furnish information to the stock broker in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

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

10. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving and paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities, the stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.

11. The client and the stock broker agree to refer any claims and / or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.

12. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.

13. Information about default in payment / delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity / partnership / proprietary firm or any other artificial legal entity, then the name(s) of director(s) / promoter(s) / Partner(s) / proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).

14. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.

15. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.

16. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.

17. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.

18. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.

19. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.

20. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in / be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

21. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.

22. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under.

23. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.

24. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person / authority except as required under any law / regulatory requirements; Provided however that the stock broker may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement.

Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

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

The Stock broker's Signature
/Authorised Signatory:

The Client's Signature
/ Authorised Signatory

Signed by:
Title:

PRITHVI FINMART PVT. LTD.

Witness:

- 1.
- 2.

Signed by:
Title:

Name of the client:

Witness:

- 1.
- 2.

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

Risk Disclosure Document

RISK DISCLOSURE DOCUMENT FOR CURRENCY DERIVATIVES SEGMENT (TO BE GIVEN BY THE TRADING MEMBER TO THE CLIENT)

This document is issued by the member of the MCX Stock Exchange Ltd. (MCX-SX) and National Stock Exchange of India (NSE) (herein after referred to 'the Exchange') which has been formulated by the Exchange in coordination with the Securities and Exchange Board of India (hereinafter referred to as "SEBI") and contains important information on trading in Currency Derivatives Segment of MCX-SX and NSE. All prospective constituents should read this document before trading in Currency Derivatives Segment of the Exchange.

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

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

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

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

NSE /MCX-SX does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any trading member of NSE /MCX-SX and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS

1.1 Risk of Higher Volatility:

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



1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell currency derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity.

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding

orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that currency derivatives contract.

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumours:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

Trading on NSE /MCX-SX is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. ADDITIONAL FEATURES

2.1 Effect of "Leverage" or "Gearing"

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

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

margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

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

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

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

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

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

2.2 Currency specific risks

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

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

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

3. GENERAL

3.1 Commission and other charges

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

3.2 Deposited cash and property

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

3.3 For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.

3.4 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of currency derivatives contracts through the mechanism provided by NSE /MCX-SX.

3.5 The term 'member' shall mean and include a trading member, a broker or a stock broker, who has been admitted as such by NSE /MCX-SX and who holds a registration certificate from SEBI.

I hereby acknowledge that I have received and understood this risk disclosure statement and Annexure-1 containing my rights and obligations.

Ⓝ

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

Date:

ANNEXURE-1

INVESTORS' RIGHTS AND OBLIGATIONS

1.1 You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the Currency Derivatives market or the broking firm's insolvency or bankruptcy.

1.1.1 Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.

1.1.2 Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE /MCX-SX and the scheme of the Investors' Protection Fund in force from time to time.

1.1.3 Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE /MCX-SX or its Clearing Corporation.

1.2 Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.

1.3 You should exercise due diligence and comply with the following requirements of the NSE /MCX-SX and/or SEBI.

1.3.1 Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Currency Derivatives Segment of the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE /MCX-SX and whether they are enabled to trade may be verified from NSE /MCX-SX website (www.nseindia.com / www.mcx-sx.com).

1.3.2 Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.

1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving License or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by NSE /MCX-SX/ SEBI at any time, as is available with the investor.

1.3.4 Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE /MCX-SX or its Clearing Corporation from time to time, because this may be useful as a proof of your dealing arrangements with the member.

1.3.5 Give any order for buy or sell of a currency derivatives contract in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.

1.3.6 Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order number, trade number, trade time, trade price, trade quantity, and details of the currency derivatives contract, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/ sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE /MCX-SX, without delaying.

1.3.7 Facility of Trade Verification is available on NSE /MCX-SX website (www.nseindia.com /www.mcx-sx.com), where details of trade as mentioned in the contract note may be verified from the trade date up to five trading days. Where trade details on the website, do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of NSE /MCX-SX.

1.3.8 Ensure that payment of funds against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE /MCX-SX or its Clearing House/ Clearing Corporation. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member.

1.3.9 In case pay-out of funds is not received on the next working day after date of pay-out announced by NSE /MCX-SX or its Clearing House/ Clearing Corporation, please follow-up with the concerned member for its receipt. In case pay-out is not received as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE /MCX-SX.

1.3.10 Every member is required to send a complete 'Statement of Accounts', for both settlements and margins, to each of its constituents, at such periodicity as may be prescribed from time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE /MCX-SX, without delaying.

1.3.11 In case of a complaint against a member, you should address the complaint to the Office as may be specified by NSE /MCX-SX from time to time.

1.4 In case where a member surrenders his membership, NSE /MCX-SX gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE /MCX-SX, ensure that you lodge a claim with NSE /MCX-SX /Clearing Corporation within the stipulated period and with the supporting documents.

1.5 In case where a member is expelled from trading membership or declared a defaulter, NSE /MCX-SX gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE /MCX-SX, ensure that you lodge a claim with NSE /MCX-SX within the stipulated period and with the supporting documents.

1.6 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye -laws and the scheme under the Investors' Protection Fund (IPF) may be payable as prescribed by SEBI.

Notes:

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

Policies and Procedures (Mandatory) of PRITHVI FINMART PVT LTD.

a. Refusal of orders for “Penny Stocks”

Although, the term “Penny Stock” has not been defined by BSE / NSE or any other stock exchange or by SEBI, a “Penny Stock” generally refers to a stock which has following characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid

(A list of illiquid securities is released by NSE from time to time.)

PRITHVI FINMART PVT LTD. recognizes that it is the client’s privilege to choose shares in which he / she would like to trade. However, PRITHVI FINMART PVT LTD. likes to pay special attention to dealing in “Penny Stocks” To this end:

- PRITHVI FINMART PVT LTD. may refuse to execute any client’s orders in “Penny Stocks” without assigning any reason for the same.
- Any large order for purchase or sale of a “Penny Stock” should be referred to Head – Dealing before such orders can be put in the market for execution.
- Clients must ensure that trading in “Penny Stock” does not result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in “Penny Stock” does not operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in “Penny Stocks” at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of PRITHVI FINMART PVT LTD.
- In case of sale of “Penny Stocks”, clients should ensure the delivery of shares to PRITHVI FINMART PVT LTD. before the pay-in date.

b. Setting up client’s exposure limit

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

c. Applicable brokerage rate

- Brokerage Rate is mutually decided between the PRITHVI FINMART PVT LTD. and each client based on client's net worth, expected trading volume, etc. The maximum brokerage chargeable will not exceed the rates prescribed by SEBI and the exchanges.
- The applicable brokerage rate will be mentioned in the Client registration form and any change in the brokerage rate in future will be communicated to the client.

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

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

e. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues

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

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

- In case of shortage in meeting the settlement obligation, either party shall endeavor to make good such shortage through securities / value of shortage as per the Rules, Regulations and Bye-laws of the respective stock exchange.

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

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

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- There is shortfall in the margin deposited by client with PRITHVI FINMART PVT LTD.
- There is insider trading restrictions on the client.

- There are any unforeseen adverse market conditions or any natural calamity affecting the operation of the market.
- There are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- The client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- PRITHVI FINMART PVT LTD. has reached its limit in that scrip.
- The client has breached the client-wise limit.
- The client has taken or intends to take new position in a security which is in the banned period.
- Due to abnormal rise or fall in the market, the markets are closed.

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

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

i. Deregistering a Client

PRITHVI FINMART PVT LTD. may, at its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which PRITHVI FINMART PVT LTD. may deregister a client are given below:

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

VOLUNTARY

RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES

Financial Year: 2010-2011

From: _____


Date: _____

To,
PRITHVI FINMART PVT LTD
Trading Member ID:13352 (NSE CDS) / 64100 (MCX-SX)
6B CORPORA,
NEAR SHANGRILLA BISCUIT CO.,
L B S MARG, BHANDUP (W),
MUMBAI 400078.

Dear Sir,

I am / We are regularly Trading with you for Currency Derivatives Segment in NSE and MCX-SX. I /we hereby authorized you to do following on my /our behalf:

- I/We hereby give my/our consent to maintain my/our account for fund and securities as **RUNNING ACCOUNT**
- The Securities lying in my/our withhold A/c and credit balance lying in my / our account should be considered as margin deposits
- I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of NSE and MCX-SX.
- The actual settlement of funds & Securities shall be done by you every Monthly/Quarterly interval. You will send quarterly/ monthly statement of Funds & Securities and I/We shall bring any discrepancy within 7 working days from the receipt of Statements
- You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation
- I/We have noted the following :-
 1. This authorization must be renewed at least once a year
 2. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person
 3. I/we may revoke the authorization at any time by giving written notice to you

Yours faithfully,  _____
Signature of Client

Name of the client _____

Client Code :- _____

VOLUNTARY

From : _____

Client Code :

To,
PRITHVI FINMART PVT LTD
Trading Member ID:13352 (NSE CDS) / 64100 (MCX-SX)
6B CORPORA,
NEAR SHANGRILLA BISCUIT CO.,
L B S MARG, BHANDUP (W),
MUMBAI 400078.

Dear Sir,

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

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

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.

You can also send me/us my/our margin statement in digital form with contract notes.

2. I / we undertake to check the contract notes and bring the discrepancies to your notice within 24 hours of such issuance of contract notes. My /our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail _____ within 24 hours of issuance of digital contract notes.
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an interval of 15 days. If the client intends to view the digital contract notes for a period prior to 15 days client may

request for the same in writing.

7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time.
10. Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note at the e-mail ID of the client.
11. Digital Contract Notes will also be available at our Web-site.
12. Any change in the E-mail ID shall be communicated by us / me through a physical letter.

Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)


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

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

My/Our E-mail ID _____

My/Our Alternative E-mail ID _____

Yours faithfully,

Signature of Client  _____

Name of the client _____

Client Code :- _____

VOLUNTARY

To,
PRITHVI FINMART PVT. LTD.
Trading Member ID:13352 (NSE CDS) / 64100 (MCX-SX)
6B CORPORA,
NEAR SHANGRILLA BISCUIT CO.,
L B S MARG, BHANDUP (W),
MUMBAI 400078.

Dear Sirs,

Sub: Letter of Operation of Account

I/We have opened the client / constituent account with **PRITHVI FINMART PVT. LTD.** (herein referred to as "PFPL") for trading / dealing in forward contracts of currency on National Stock Exchange of India (NSE) /MCX Stock Exchange Ltd. (MCX-SX). In respect of my dealing / account with you, I/We hereby request / instruct and authorize you to do the following:

1. To setoff outstanding in any of my 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 and/or against the value of cash margin or collateral shares provided to you by me.
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 contracts issued by you.
3. To maintain a running account instead of settlement of my/our dues and / or delivery of securities on a bill to bill basis.
4. To hold payout of funds / retain a credit balance in any of my/our account and to use the ideal fund towards my exposure / trading limits / margin requirements / future obligations of both the exchange / other dues.
5. I/We request you to retain securities in your demat accounts as collateral for my margin /future obligations of both the exchanges unless I/we instruct you to transfer the same to my/our account.
6. To accept verbal instructions for order placing / order modifications / order cancellation and I/we expressly agree that give me/us all the confirmation on telephone unless instructed otherwise in writing and / or contract note is accepted by me/us, there shall be no question in relation of execution or non-execution or inappropriate execution of any of my/our orders for a particular trading day.
7. I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute the same.

8. I/We will inform you the change in my/our e-mail, if any, in future either by Regd. Post or through a digitally signed e-mail.

9. Trading of currency is in electronic mode, based on VSAT, leased line, ISDN, Modem and VPN, Combination of technologies and computer systems to place and route orders. I/We understand that their exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem / glitch whereby lot being able to establish access to the trading system/ network, which may be beyond the control and may result in delay in processing or not processing buy or sell orders either in part or in full. I/We agree that I/We shall be fully liable and responsible for any such problems/ glitch.

10. I/We confirm that I/We will not sublet the trading terminal on any term of connectivity from my/our place without your prior approval.

11. I/We shall abide by the rules regulations circulars of the exchange issued from time to time as applicable and shall be liable for non- adherence.

12. I/We hereby authorize you to square off my/our trades, if my/our debit balance is running in my/our account and there is any shortage in my/our mark to market margin at any point of time.

13. I/We hereby authorize you to charge me/us interest at the rate as decided by you from time to time if my/our debit balance is outstanding in my/our account for more than a week.

14. I/We hereby confirm and declare that the member has informed us that they do client based business and proprietary trading as well. I/We hereby confirm that I/We have taken note of the same and acknowledge the same.

15. I/We are aware and have noted that you trade on your Pro/Own account.

The above standing instructions are valid from the date the account is opened to the day closure of the account at your end.

Thanking You,

Yours Faithfully

Client's Signature 

Client Name _____

Client Code _____

RISK ASSESSMENT OF CLIENT IN TERMS OF PMLA 2002

Type of Client	High Risk	Medium Risk	CSC (Client special Category)	PEP (Politically Exposed Person)

At the time of account opening

Categorization of client would be changed only if there is change based on risk assessment of the client during this dealing with PRITHVI FINMART PVT LTD

For PRITHVI FINMART PVT LTD

Director/Authorized Signatory

FOR PRITHVI FINMART PVT LTD


CLIENT NAME : _____

Client CODE : _____

AUTHORISED PERSON : _____

BROKERAGE SLAB : NSE / MCX-SX

_____ ONE SIDE/ BOTH SIDE: _____

SIGNATURE :  _____

DATE : _____

ACKNOWLEDGEMENT

To,
PRITHVI FINMART PVT. LTD.
6B CORPORA,
NEAR SHANGRILLA BISCUIT CO.,
L B S MARG, BHANDUP (W),
MUMBAI 400078.

Dear Sir/ Madam,

I/We hereby confirm that I/We have received a copy of all the documents executed by me/us at the time of opening of this trading account.

⌘

(Client Signature)

Date: _____

Place: _____

CHECKLIST FOR THE CLIENTS

- The clients are required to fill the entire member agreement and the client registration form.
- Incomplete forms will not be accepted.
- Please put the signature wherever the signature initial is printed.
- In case of the corporate clients the rubber stamp of the company should be affixed along with the signature.

DOCUMENTS TO BE SUBMITTED ALONG WITH CLIENT REGISTRATION FORM FOR THE INDIVIDUAL CLIENTS:

- Proof of Address any two of the following:
Passport, Latest Electricity bill, Latest Telephone Bill copy, Ration Card, Driving License, Voters ID, Etc.
- Proof of Identity any one of the following:
Passport, Driving License, Voters ID, Etc.
- Copy of Bank Statement
- Letter from the Banker certifying the Bank Account Number and Signature
- Copy of latest Income Tax Return
- Self certified photo copy of the PAN Card
- 2 Photographs

DOCUMENTS TO BE SUBMITTED ALONG WITH CLIENT REGISTRATION FORM FOR THE NON-INDIVIDUAL CLIENTS:

- Details of Corporate Entity
- Copy of Memorandum of Association & Articles of Association (Applicable to Corporate Entity) / Partnership Deed (Applicable to Partnership Firms)
- Board Resolution authorizing the company officials to deal with the Member / authorization from the Partners to deal with Members.
- Copy of Annual Report of last 3 years
- Copy of Income Tax Statement for last 3 financial years.
- Net Worth Certificate by a Chartered Accountant
- Copy of latest Bank Statement
- Letter from the Banker certifying the Account Number and period from which this Account is in operation along with the signature of the Authorized Signatory
- Proof of date of incorporation
- Self certified photo copy of the PAN Card
- Details of the Directors / Promoters:
 - Proof of Address any two of the following:
Copy of Passport, Latest Electricity bill, Latest Telephone Bill copy, Ration Card, Driving License, Voters ID, Etc
 - Proof of Identity any one of the following: Passport, Driving License, Voters ID, Etc
 - Copy of Bank Statement
 - Letter from the Banker certifying the Bank Account Number and Signature
 - Copy of latest Income Tax Return
 - Self certified photo copy of the PAN Card
 - Salary Certificate
 - 2 Photographs

