

ACCOUNT OPENING KIT

Open a trading & demat account with DealDepot.

Welcome. This kit is the formal record of your trading and demat relationship with DealDepot Brokerage Pvt Ltd. It contains the SEBI-mandated disclosures you are entitled to receive, the authorisations under which we will operate your account, and the schedule of charges that will apply to your trades. Please read each section before signing — what you sign here governs how we act on your behalf, every working day.

FOR OFFICE USE — CLIENT IDENTITY

CLIENT NAME (SOLE / FIRST HOLDER)

UCC / CLIENT CODE

DATE OF SUBMISSION

DP ID

BO ID

BRANCH

RM CODE

ISSUED BY

Final mode of execution — Digital eSign or Physical Wet Signature — is recorded on the last page of this kit.

DealDepot Brokerage Pvt Ltd

1223, P J Towers · Dalal Street · Mumbai 400 001

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How to complete this kit**1 Read**

Read each section carefully before signing. The Mandatory Disclosures (Part E) explain your rights as an investor.

2 Fill

Use BLOCK LETTERS in English. Strike through any field that does not apply; do not leave compulsory fields blank.

3 Tick

Tick boxes are squared. Mark only one box where the kit says "tick one"; mark all that apply where indicated.

4 Sign

Sign at every signature line. Each mandatory disclosure carries its own section signature; joint holders sign in the order recorded in CKYC.

5 Choose mode

On the Office Use page, choose Digital eSign or Physical Wet Signature. The kit takes effect from the date recorded there.

Need help? Call +91 22 6917 5200. For KYC, account-opening and compliance queries, email compliance@dealdepot.in.

Mandatory Documents

Forms, declarations and disclosures required by SEBI, the Stock Exchanges and the Depository before the account can be opened. Each section ends with a client signature acknowledgement.

- | | | | |
|----------|---|----------|--|
| A | Know Your Client (KYC) | B | Trading & Demat — Account Opening Forms |
| C | FATCA & CRS Self-Certification | D | Tariff Sheet (Schedules A-1 & B) |
| E | Mandatory Disclosures (R&O, RDD, Guidance, P&P, Voluntary Freeze, MITC, Charters) | F | Statutory Forms — Nomination, DPDP, Client Declaration & Acknowledgement |

Documents in this book are required by SEBI / Stock Exchange / Depository regulations or by applicable law. Each section ends with a signature block; signatures across this book are mandatory for the account to be opened.

PART A · KYC

Know Your Client — Application Form (Individual)

Please fill in **ENGLISH BLOCK LETTERS**. Affix recent passport photograph and sign across it. Fields marked * are mandatory. **One KYC covers both trading and demat**; each joint holder needs their own KYC and photograph. For KYC update queries write to compliance@dealdepot.in.

Affix
Photograph
(sign across)

PHOTO · SOLE / FIRST HOLDER

01 Application Type & KYC reference

tick one

☐ New ☐ Update KYC

KYC NO. (14 DIGITS)

DATE

PAN *

02 Identity Details

NAME (AS PER PAN) *

MAIDEN NAME (IF ANY)

FATHER / SPOUSE NAME *

MOTHER'S NAME

DATE OF BIRTH *

GENDER *

NATIONALITY

COUNTRY OF BIRTH

PLACE OF BIRTH

MARITAL STATUS

03 Proof of Identity (POI)

tick one

☐ Aadhaar (last 4) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ NREGA Job Card☐ Other Govt. ID

POI DOCUMENT NUMBER

ISSUE DATE

EXPIRY DATE

PLACE OF ISSUE

ISSUING AUTHORITY

04 Permanent Address

ADDRESS LINE 1 *

ADDRESS LINE 2

CITY / TOWN / VILLAGE *

DISTRICT

STATE / UT *

STATE / UT CODE (MOTOR
VEHICLES ACT, 1988)

PIN *

COUNTRY *

COUNTRY CODE (ISO 3166)

PROOF OF ADDRESS — TICK ONE

☐ Aadhaar ☐ Passport ☐ Driving Licence ☐ Latest utility bill (≤3 mo.)☐ Bank a/c statement (≤3 mo.) ☐ Rent agreement ☐ Other

05 Correspondence Address

if different from permanent

ADDRESS LINE 1

ADDRESS LINE 2

CITY / TOWN / VILLAGE

DISTRICT

STATE / UT

PIN

COUNTRY

06 Contact Details

TEL. (OFFICE)

TEL. (RESIDENCE)

MOBILE *

ALTERNATE MOBILE

EMAIL ID *

ALTERNATE EMAIL

* Mandatory and subject to validation. Trade confirmations, contract notes and regulatory communications will be sent to these channels.

07 Occupation

tick one

☐ Private Sector ☐ Public Sector ☐ Government Sector ☐ Business ☐ Professional☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (specify)

SPECIFY (IF OTHERS)

NATURE OF BUSINESS / PROFESSION

EMPLOYER / FIRM NAME

DESIGNATION

08 Income, Net Worth & Financial Details

GROSS ANNUAL INCOME (₹) — TICK ONE

☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lac-1 Cr ☐ Above 1 Cr

NET WORTH (₹)

AS ON (DD/MM/YYYY)

SOURCE OF FUNDS

09 PEP Status

tick if applicable

☐ Politically Exposed Person (PEP) ☐ Related to a PEP ☐ Not applicable

10 Trading Experience

YEARS OF INVESTMENT / TRADING	SEGMENTS PREVIOUSLY TRADED	IF FIRST-TIME INVESTOR — TICK

11 Education

highest qualification

☐ Under SSC ☐ SSC ☐ HSC ☐ Graduate ☐ Post-Graduate ☐ Professional ☐ Doctorate

☐ Other

12 KRA / CKYC Verification

for office use

KRA STATUS	KRA DATE	CKYC STATUS	CKYC DATE

13 Declaration by Applicant

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 DealDepot Brokerage Pvt Ltd of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be held liable for it. I/We hereby consent to receiving information from Central KYC Registry through SMS / Email on the registered mobile number / email ID.

Signature · Sole / First Holder

DATE

 PLACE

FOR OFFICE USE ONLY — ATTESTATION BY AUTHORISED PERSON

DOCUMENTS VERIFIED WITH ORIGINALS	IN-PERSON VERIFICATION (IPV) — DATE	IPV MODE (IN-PERSON / VIDEO)
NAME OF AUTHORISED PERSON	EMPLOYEE CODE	BRANCH
SIGNATURE & SEAL	DATE	PLACE

14 Bank Account Details

primary settlement bank

BANK NAME *		BRANCH *	
ACCOUNT NO. *		ACCOUNT TYPE	MICR
IFSC *	CHEQUE COPY ATTACHED	BANK STATEMENT / PASSBOOK ATTACHED	
ADDITIONAL BANK ACCOUNT(S) — OPTIONAL			
BANK NAME		ACCOUNT NO.	IFSC

15 Demat Account Holding

EXISTING DEMAT — DP ID	EXISTING DEMAT — CLIENT ID	LINKED TO THIS TRADING A/C	IF NEW — OPEN WITH DEALDEPOT
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16 Mode of Operation

for joint accounts

☐ Sole Holder ☐ Jointly ☐ Either or Survivor ☐ Anyone or Survivor

17 Standing Instructions

I/We authorise DealDepot to receive credits automatically into my/our demat account on settlement, and to act on standing instructions for periodic statements, communication preferences and other operational matters as recorded elsewhere in this kit.

18 Guardian Details

where Sole Holder is a minor

NAME OF GUARDIAN	RELATIONSHIP	PAN OF GUARDIAN
ADDRESS (IF DIFFERENT FROM MINOR'S)		

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____ PLACE _____

PART A · KYC

Know Your Client — Application Form (Individual)

Please fill in **ENGLISH BLOCK LETTERS**. Affix recent passport photograph and sign across it. Fields marked * are mandatory. **One KYC covers both trading and demat**; each joint holder needs their own KYC and photograph. For KYC update queries write to compliance@dealdepot.in.



SECOND HOLDER · JOINT ACCOUNT

Master CKYC on preceding pages records Sole / First Holder. KRA / CKYC verification on file is incorporated by reference where consistent with the details below.

01 Identity & Contact

NAME (AS PER PAN) *			PAN *
DATE OF BIRTH *	GENDER *	NATIONALITY	MARITAL STATUS
FATHER / SPOUSE NAME		MOTHER'S NAME	
MOBILE *	ALTERNATE MOBILE	EMAIL ID *	

02 Address

ADDRESS LINE 1 *		
CITY *	STATE / UT *	PIN *

03 Occupation, Income & PEP

OCCUPATION	ANNUAL INCOME (₹)	NET WORTH (₹) AS ON
PEP / RELATED-PEP / NA		SOURCE OF FUNDS

04 Identity & Address Proofs · KRA / CKYC

for office use

POI DOCUMENT & NUMBER	POA DOCUMENT & NUMBER	
KYC NO. (CKYC)	KRA STATUS	KRA DATE

I, the Second Holder, declare that the details furnished above are true, correct and complete to the best of my knowledge and belief. I undertake to notify DealDepot of any change. I consent to receiving CKYC-related information by SMS / email on the contact details registered above.

Signature · Second Holder

DATE PLACE

FOR OFFICE USE ONLY — ATTESTATION

DOCUMENTS VERIFIED WITH ORIGINALS	IPV — DATE	IPV MODE
AUTHORISED PERSON — NAME	EMPLOYEE CODE	SIGNATURE & SEAL

PART A · KYC

Know Your Client — Application Form (Individual)

Please fill in **ENGLISH BLOCK LETTERS**. Affix recent passport photograph and sign across it. Fields marked * are mandatory. **One KYC covers both trading and demat**; each joint holder needs their own KYC and photograph. For KYC update queries write to compliance@dealdepot.in.



PHOTO · THIRD HOLDER

THIRD HOLDER · JOINT ACCOUNT

Master CKYC on preceding pages records Sole / First Holder. KRA / CKYC verification on file is incorporated by reference where consistent with the details below.

01 Identity & Contact

NAME (AS PER PAN) *			PAN *
DATE OF BIRTH *	GENDER *	NATIONALITY	MARITAL STATUS
FATHER / SPOUSE NAME		MOTHER'S NAME	
MOBILE *	ALTERNATE MOBILE	EMAIL ID *	

02 Address

ADDRESS LINE 1 *		
CITY *	STATE / UT *	PIN *

03 Occupation, Income & PEP

OCCUPATION	ANNUAL INCOME (₹)	NET WORTH (₹) AS ON
PEP / RELATED-PEP / NA		SOURCE OF FUNDS

04 Identity & Address Proofs · KRA / CKYC for office use

POI DOCUMENT & NUMBER	POA DOCUMENT & NUMBER	
KYC NO. (CKYC)	KRA STATUS	KRA DATE

I, the Third Holder, declare that the details furnished above are true, correct and complete to the best of my knowledge and belief. I undertake to notify DealDepot of any change. I consent to receiving CKYC-related information by SMS / email on the contact details registered above.

Signature · Third Holder

DATE PLACE

FOR OFFICE USE ONLY — ATTESTATION

DOCUMENTS VERIFIED WITH ORIGINALS	IPV — DATE	IPV MODE
AUTHORISED PERSON — NAME	EMPLOYEE CODE	SIGNATURE & SEAL

PART B · DEPOSITORY

Form 9 — Account Opening (Individuals)

As prescribed under NSDL Bye-laws and Business Rules. To be read with the CKYC details on the preceding pages.

DP ID: IN303735
NSDL DP Reg. No. IN-DP-663-2022

I/We request you to open a depository account in my/our name as per the following details. The KYC information furnished in Part A of this kit forms part of this application and is incorporated herein by reference.

SOLE / FIRST HOLDER — NAME

PAN

SECOND HOLDER — NAME

PAN

THIRD HOLDER — NAME

PAN

TYPE OF ACCOUNT — TICK ONE

- ☐ Individual — Resident ☐ Individual — NRI Repatriable ☐ Individual — NRI Non-Repatriable ☐ HUF
- ☐ Minor (with guardian) ☐ Basic Services Demat (BSDA)

STATEMENT PREFERENCE

- ☐ Electronic only (email) ☐ Physical ☐ Both ☐ Quarterly ☐ Monthly ☐ On request

SMS ALERT FACILITY

- ☐ Yes — register mobile for free SMS alerts (mandatory if BO is sole / first) ☐ No

EASI / EDIS FACILITY (NSDL)

- ☐ I/We wish to register for Easi ☐ I/We wish to register for eDIS ☐ Not required at present

COMMUNICATIONS — LANGUAGE

- ☐ English ☐ Hindi ☐ Marathi ☐ Other (specify)

ACCOUNT CLOSURE ON DEATH OF ALL HOLDERS

- ☐ Transmit to nominee(s) recorded in Annexure A ☐ Transmit to legal heir(s) (no nominee recorded)

NOTES — FORM 9

1. All communications shall be sent at the address of the Sole / First Holder only, unless an alternate correspondence address is recorded in Part A.
2. Thumb impressions and signatures other than English, Hindi or any of the languages contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public bearing the official seal.
3. Joint account holders must sign the form in the order in which their names appear above. Mode of operation as elected in Part A applies to all instructions on the demat account.
4. Where the Sole Holder is a minor, the natural / legal guardian shall execute the form. On the minor attaining majority, fresh KYC and a fresh account opening request will be required.
5. PAN and Aadhaar (or such other identifiers as SEBI / the Depository may notify) are mandatory for opening a beneficial owner account.
6. A copy of this kit, including all annexures and disclosures, will be made available to the client on request, free of charge, in electronic form. Physical copies are available on request, subject to courier charges as per the Tariff Sheet.
7. The client shall promptly notify DealDepot of any change in the details furnished in this kit, including KYC details, contact details, bank account details and nominee particulars.
8. The mode of operation, nominee details and standing instructions recorded in this kit may be modified by the client at any time by submitting a duly signed Re-KYC / Account Modification form (DDB/RKYC/v5.0).

ACKNOWLEDGEMENT OF TARIFF SHEET

I/We confirm that the Tariff Sheet (Schedule A — Important Notes; Schedule A-1 — Service-wise Charges, "True-to-Label" disclosure; Schedule B — Brokerage Structure) has been furnished to me/us, and I/We agree to pay the charges set out therein, as may be revised from time to time in accordance with the notice provisions stated in those Schedules.

Signed by all holders.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PLACE _____

§ 05 Trading Preferences

Tick the segments and exchanges in which you wish to trade. The Risk Disclosure Document and Rights & Obligations apply to every segment selected. SEBI prohibits opening of derivatives segments without acknowledgement of the disclosure below.

RISK DISCLOSURES ON DERIVATIVES

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to ₹ 50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source: SEBI study dated 25 January 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment", wherein aggregate level findings are based on annual profit/loss incurred by individual traders in equity F&O during FY 2021-22.

EXCHANGES — TICK ALL THAT APPLY

☐ NSE ☐ BSE ☐ NSDL (Depository)

CAPITAL MARKET SEGMENTS

☐ Equity — Cash (Delivery) ☐ Equity — Intraday ☐ Mutual Funds (NSE MFSS / BSE STAR MF)

☐ SLBM — Lending ☐ SLBM — Borrowing

DERIVATIVES SEGMENTS

By ticking any derivatives segment below, you confirm that you have read and understood the Risk Disclosures on Derivatives above and the Risk Disclosure Document at Part F of this kit.

☐ Equity Derivatives (Futures & Options)

TRADING CHANNEL PREFERENCE

☐ Online platform (web / mobile app) ☐ Telephone / dealer-assisted ☐ WhatsApp / SMS ☐ Email

☐ In-person at office

The detailed order-evidence framework applicable to each channel is set out in § 11 — Authority Letter for Order Instructions.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

§ 06 Settlement & Communication Elections

These elections govern how funds and securities flow through your account, and how DealDepot communicates with you. The detailed authorisations are at Part C; this page records your elections.

RUNNING ACCOUNT SETTLEMENT FREQUENCY

- ☐ Calendar Month ☐ Calendar Quarter

Settlement on the dates stipulated by the Stock Exchanges in the annual settlement calendar. Inactive-account credits are returned monthly regardless of the election above (see § 09).

CONTRACT NOTES & STATEMENTS — CHANNEL

- ☐ Email (digitally signed ECN) ☐ SMS / WhatsApp ☐ Secure client portal ☐ DealDepot mobile app
- ☐ Physical (on bounce only)

ECN compliance, bounce handling, and discrepancy windows are set out in § 06 (Electronic Communication).

MARKETING & SERVICE COMMUNICATIONS

- ☐ Trade & operational alerts (always on) ☐ Marketing & product communications
- ☐ Affiliate / group-company offers

POWER OF ATTORNEY / DDPI

- ☐ I/We will execute a DDPI (Annexure — DDPI in this kit) ☐ I/We will not execute a DDPI

NOMINATION — ELECTION

- ☐ I/We wish to nominate (Annexure A — Nomination Form)
- ☐ I/We do not wish to nominate (Annexure B — Opt-out)

TARIFF SCHEME — SCHEDULE B

- ☐ Standard rates as published in Schedule B ☐ Negotiated rates (attach addendum signed by RM)

Signed by all holders.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____ PLACE _____

PART C · FATCA & CRS

FATCA & CRS Self-Certification — Individual

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

In compliance with Rules 114F to 114H of the Income-tax Rules, 1962, the Foreign Account Tax Compliance Act of the United States ("FATCA") and the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information ("MCAA / CRS")

The Central Board of Direct Taxes (CBDT) has notified Rules 114F to 114H of the Income-tax Rules, 1962, which require Indian financial institutions, including DealDepot Brokerage Pvt Ltd, to seek personal, tax-residency and beneficial-ownership information from all account holders. Where required, this information is reported to the Indian tax authorities, who may forward it to the US IRS and other participating jurisdictions under the relevant Inter-Governmental Agreement (IGA) and CRS framework.

A · ACCOUNT HOLDER DETAILS

NAME (AS PER PAN) *	PAN *	DP CODE	TRADING CODE (UCC)
COUNTRY OF BIRTH *	PLACE / CITY OF BIRTH	NATIONALITY	ADDRESS FOR TAX RESIDENCE *

B · INDICIA OF FOREIGN TAX RESIDENCY — TICK YES / NO

- | | | | |
|----|--|------------------------------|-----------------------------|
| 1. | Are you a citizen of any country other than India (including dual citizenship / US Green Card holder)? | ☐ Yes | ☐ No |
| 2. | Is your residential address or telephone number recorded with us outside India? | ☐ Yes | ☐ No |
| 3. | Have you given a Power of Attorney / DDPI authority to a person whose address is outside India? | ☐ Yes | ☐ No |
| 4. | Is your country of birth other than India? | ☐ Yes | ☐ No |
| 5. | Are you a tax resident of any country (or countries) other than India? | ☐ Yes | ☐ No |

C · TAX RESIDENCY OUTSIDE INDIA — COMPLETE ONLY IF "YES" TO ANY OF B(1)-B(5)

Sr.	Country of tax residency	TIN / Functional equivalent	Type (TIN / Other)
1			
2			
3			

If a TIN has not yet been issued in respect of any country listed above, please attach a written explanation. If you have indicated US place of birth in question 4 but declare yourself non-US tax resident, please provide curing documents (e.g. Certificate of Loss of US Nationality, or other valid documentation issued by an authorised governmental body) along with this form.

D · DECLARATION

- I/We have understood the information requirements of this form (read together with the FATCA & CRS instructions referenced above) and the consequences of providing false or incomplete information, including under Rule 114H of the Income-tax Rules, 1962.
- I/We confirm that the information provided in this form is true, correct, and complete to the best of my/our knowledge and belief, including the Taxpayer Identification Number(s) provided.
- I/We undertake to inform DealDepot Brokerage Pvt Ltd of any change in the information provided in this form within thirty (30) days of such change.
- I/We acknowledge that DealDepot Brokerage Pvt Ltd may be required to (i) report reportable details concerning my/our account to the CBDT, and (ii) where I/we fail to provide information required under the said Rules, take such action as the said Rules permit, including closing or suspending the account.
- I/We may be required to provide further information and/or documentation to determine my/our reportable status under FATCA / CRS, and undertake to provide such further information and documentation promptly upon request.
- I/We hereby consent that the FATCA / CRS information provided in this form may be shared with, or updated to, other products or accounts of DealDepot Brokerage Pvt Ltd linked to my/our PAN. (Strike off this point if not required.)

Signed by the account holder.

Signature · Account Holder

DATE _____ PLACE _____

PART D · TARIFF SHEET

SCHEDULE A-1 — Service-wise Break-up of Charges

"True to Label" disclosure under SEBI Circular SEBI/HO/MRD/TPD-1/P/CIR/2024/92 dated 1 July 2024

NSDL DP Reg. No. IN-DP-663-2022 · NSDL DP ID: IN303735

This schedule sets out, on a service-by-service basis, the charges payable by the client to DealDepot Brokerage Pvt Ltd ("DDB") along with the underlying charges levied by NSDL on DDB which are passed through to the client. The total payable by the client for each service is shown in the last column. The charges below are read together with, and form part of, Schedule A of the Account Opening Form.

SERVICE	NSDL PASS-THROUGH	DDB SERVICE CHARGE	TOTAL PAYABLE
AMC — Individuals / Joint Accounts (DDPI)	Nil	Nil	Nil
AMC — Non-Individual (Corporate)	₹500 p.a. per account	₹300 p.a. + ₹300 advance	₹800 p.a. + ₹300 advance
AMC — NRI (Individual)	Nil	₹800 p.a. + ₹300 advance	₹800 p.a. + ₹300 advance
Market Purchase (credit to demat)	Nil	Nil	Nil
Market Sell — through DealDepot	₹4 per debit instruction (settlement fee)	₹16 per transaction	₹20 per transaction
Market Sell — outside DealDepot	₹4 per debit instruction (settlement fee)	₹26 per transaction	₹30 per transaction
Same-day execution and Pay-in	Nil	Nil	Nil
Off-market — through DP ID IN303735 (DDB)	₹4 per debit instruction (settlement fee)	₹16 per transaction	₹20 per transaction
Off-market — through any other DP	₹4 per debit instruction (settlement fee)	₹26 per transaction	₹30 per transaction
Failed Market / Off-Market transactions	₹4 per debit instruction (settlement fee)	Same as Market / Off-Market DDB component	Same as Market / Off-Market
Pledge creation	₹25 per instruction	₹15 per instruction	₹40 per instruction
Pledge confirmation	Nil	₹40 per instruction	₹40 per instruction
Pledge closure	Nil	₹40 per instruction	₹40 per instruction
Pledge closure confirmation	Nil	₹40 per instruction	₹40 per instruction
Pledge invocation	Nil	₹40 per instruction	₹40 per instruction
Failed pledge transactions	Nil	₹40 per instruction	₹40 per instruction

Continued on next page →

PART D · TARIFF SHEET (CONT.)

Schedule A-1 — continued

SERVICE	NSDL PASS-THROUGH	DDB SERVICE CHARGE	TOTAL PAYABLE
Demat (physical → electronic)	Nil	₹3 per certificate + ₹25 per DRF	₹3 per certificate + ₹25 per DRF
Demat rejections	Nil	₹20 per rejection + ₹25 courier (or actuals)	₹20 per rejection + ₹25 courier (or actuals)
Remat (electronic → physical)	₹10 per 100 securities or part thereof; OR flat ₹10 per certificate (whichever higher); max ₹5,00,000	₹40 per 100 or part; OR flat ₹40 per certificate (whichever higher)	₹50 per 100 or part; OR flat ₹50 per certificate (whichever higher)
DIS book	Nil	1st book free; 2nd onwards ₹20 per book of 10 DIS + courier ₹25 / actuals (higher)	1st book free; thereafter ₹20 + courier
Adhoc / non-periodic statement requests	Nil	₹10 (≤5 pages) OR ₹2 per page beyond 5	₹10 (≤5 pages) OR ₹2 per additional page
Additional postage	Nil	₹25 or courier at actuals (higher)	₹25 or actuals
Cheque bounce charges	Nil	₹200 per instance	₹200 per instance

NOTES — SCHEDULE A-1

- All charges shown above are exclusive of Goods and Services Tax (GST) and any other statutory levies, which shall be charged at the applicable rate.
- NSDL charges shown in the second column are reproduced from NSDL's prevailing schedule of "Fees and Charges to Depository Participants" published at nsdl.co.in and are subject to revision by NSDL from time to time. Any revision by NSDL shall stand automatically incorporated into this schedule.
- DealDepot Brokerage Pvt Ltd shall give the client not less than thirty (30) days' prior written notice before increasing any charge in the third or fourth column, in line with Rule 5.3 of NSDL Business Rules.
- The settlement fee of ₹4 per debit instruction levied by NSDL is the "settlement fee" required to be disclosed separately under the SEBI "True to Label" framework.
- Charges for Margin Pledge, Non-Disposal Undertaking (NDU) hold and online updation of nomination/KYC attributes with eSign, where availed by the client, shall be levied separately at NSDL's prevailing rates plus DealDepot's service component (if any), and shall be intimated to the client at the time of availing such service.
- All other terms and conditions, including the "Important Notes" set out in Schedule A, shall continue to apply to this Schedule A-1 in full.

I/We have read and understood the above Schedule A-1 and accept the charges set out herein as part of my/our agreement with DealDepot Brokerage Pvt Ltd.

Client ID: _____

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PART D · TARIFF SHEET

SCHEDULE B — Brokerage Structure

CLIENT ID _____ DATE (DD / MM / YYYY) _____

I/We agree to pay the following brokerage charges for trades executed through my/our account with DealDepot Brokerage Pvt Ltd:

SEGMENT / INSTRUMENT	BROKERAGE
Equity — Intraday (Cash / Capital Market)	0.05% of trade value, or 1 paisa per share, whichever is higher
Equity — Delivery (Cash / Capital Market)	0.50% of trade value, or 10 paise per share, whichever is higher
F&O — Futures (Intraday)	0.05% of trade value, or 1 paisa per share-equivalent, whichever is higher
F&O — Futures (Carry-Forward)	0.10% of trade value, or 1 paisa per share-equivalent, whichever is higher
F&O — Options	2.50% of premium, or ₹100 per lot, whichever is HIGHER
SLBM — Lending	20% of the lending fee earned by the client
SLBM — Borrowing	20% of the borrowing fee paid by the client
Mutual Fund (NSE MFSS / BSE STAR MF)	As per the Tariff for the relevant scheme; transactional charges of the relevant Exchange Platform are passed through at actuals
Any segment / instrument / contract not listed above	Charged at the EQUITY — DELIVERY rate set out above

Minimum brokerage: A minimum brokerage of 5 paise per share (or share-equivalent in derivatives) shall apply, subject to the SEBI cap of 2.5% of the contract value.

NOTES — SCHEDULE B

- Statutory levies and taxes.** All brokerage charges shown above are exclusive of GST, Securities Transaction Tax (STT), Exchange Transaction Charges, SEBI Turnover Fees, Stamp Duty, and any other statutory levies, which shall be charged at the applicable rate prevailing on the date of the transaction.
- Pass-through charges.** Exchange transaction charges, Clearing Corporation charges, and other charges levied by Stock Exchanges, Clearing Corporations or SEBI shall be passed through to the client at actuals.
- Margin composition (SEBI requirement).** A minimum 50% of the applicable margin shall be in the form of cash or cash equivalent, with the balance 50% maintained in non-cash form. Where the cash margin is insufficient and the margin requirement is met by non-cash collateral, an interest charge of 18% per annum shall apply on the short-cash component.
- Revision of charges.** DealDepot Brokerage Pvt Ltd shall give the client not less than thirty (30) days' prior written notice (by email or SMS to the registered contact details) before any upward revision of the brokerage rates set out above. Any revision in statutory levies, Exchange Transaction Charges, Clearing Corporation charges or other pass-through items shall stand automatically incorporated and effective from the date of such revision by the relevant authority.
- Applicable cap.** Notwithstanding anything contained above, the brokerage chargeable on any transaction shall not exceed the maximum permitted under the SEBI Master Circular for Stock Brokers, currently 2.5% of the contract value (or such other cap as may be specified by SEBI from time to time), or in the case of options contracts, ₹100 per lot or 2.5% of the premium amount, whichever is higher.
- Catch-all rate.** Where a particular segment, instrument, contract type or transaction is not specifically priced in the table above, the EQUITY — DELIVERY rate shall apply by default.

I/We have read and understood the above brokerage structure and agree to pay the brokerage and statutory charges as set out herein.

Client Name: _____

Signature · Sole / First Holder_____
Signature · Second Holder_____
Signature · Third Holder

DATE _____

PART E

Mandatory Disclosures

SEBI-prescribed text. Reproduced verbatim. Read carefully — these documents define the rights, obligations and risks of trading and depository services.

- | | |
|---|--|
| E.1 Rights & Obligations of Stock Brokers, Sub-Brokers and Clients | E.2 Rights & Obligations of Beneficial Owner and Depository Participant |
| E.3 Internet & Wireless Technology Based Trading | E.4 Risk Disclosure Document (Capital Market & Derivatives) |
| E.5 Guidance Note — Do's and Don'ts | E.6 Policies & Procedures |
| E.7 Voluntary Account Freeze / Block Policy | E.8 Most Important Terms & Conditions (MITC) |
| E.9 Investor Charter — Stock Brokers & DPs | |

These documents form an integral part of the Member-Client Agreement. By signing the Acknowledgement page at the end of this kit, you confirm that you have read, understood and accepted each of them.

PART E · MANDATORY DISCLOSURES

Rights and Obligations of Stock Brokers, Sub-Brokers and Clients

As prescribed by SEBI / Stock Exchanges. Verbatim.

GENERAL

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

PART E · MANDATORY DISCLOSURES · E.1 (continued)

*Rights and Obligations of Stock Brokers, Sub-Brokers and Clients***TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE-OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate, the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

PART E · MANDATORY DISCLOSURES · E.1 (continued)

*Rights and Obligations of Stock Brokers, Sub-Brokers and Clients***TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

PART E · MANDATORY DISCLOSURES · E.1 (continued)

Rights and Obligations of Stock Brokers, Sub-Brokers and Clients

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgment of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. Receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the email ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein modification of the rights and obligations of the parties mentioned in this document.

This document constitutes the Rights & Obligations as prescribed by SEBI vide circular MIRSD/SE/Cir-19/2009 dated 3 December 2009 (and as amended).

SECTION ACKNOWLEDGEMENT

I/We acknowledge having read and understood the **Rights & Obligations of Stock Brokers, Sub-Brokers and Clients** reproduced above, and agree to be bound by the terms set out therein.

Sole / First Holder

Second Holder

Third Holder

Date · Place

PART E · MANDATORY DISCLOSURES

Rights and Obligations of Beneficial Owner and Depository Participant

as prescribed by SEBI / NSDL — reproduced verbatim per regulatory mandate · incorporating amendments vide NSDL/POLICY/2026/0094 dated June 29, 2026

GENERAL CLAUSE

1. The Beneficial Owner ("BO") and the Depository Participant ("DP") shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of SEBI, Bye-Laws and Business Rules / Operating Instructions of the Depository, as may be in force from time to time, including any amendments thereto.
2. The DP shall open the account of the BO and shall provide depository services in accordance with the directions and instructions of the BO, subject to applicable regulations.

BENEFICIAL OWNER INFORMATION

1. The DP shall maintain accurate, complete and up-to-date information of the BO as required by the Depository, SEBI and other applicable laws.
2. The BO shall furnish accurate information to the DP and shall promptly notify the DP in writing of any change in the information furnished, including but not limited to address, bank details, contact numbers, email ID, signature, nominee details and tax-residency status.

FEES / CHARGES / TARIFF

1. The BO shall pay to the DP the charges, fees and statutory levies as agreed between the parties at the time of opening the account and as revised from time to time in accordance with the Bye-Laws and Business Rules of the Depository.
2. The DP shall not levy any charge for opening the account, for credit of securities to the BO's account, or for any service the Depository has notified as free of charge.
3. The DP shall give not less than thirty (30) days' prior notice to the BO before any upward revision of the existing tariff or imposition of new charges, by email, SMS or such other mode permitted under the applicable regulatory framework.

DEMATERIALISATION, TRANSFER, PLEDGE & OTHER OPERATIONS

1. The DP shall process the requests for dematerialisation, rematerialisation, transfer of securities, pledge / unpledge / invocation, freeze / unfreeze and other instructions of the BO in accordance with the timelines and procedures prescribed by the Depository.
2. The DP shall act on the instructions of the BO only and shall not act on the instructions of any other person, save where the BO has executed a valid Power of Attorney (PoA) / Demat Debit and Pledge Instruction (DDPI) in favour of such other person, to the extent permitted under SEBI regulations.
3. The DP shall provide such transaction statements as may be prescribed by the Depository, at the prescribed periodicity and through such modes (electronic or physical) as elected by the BO.

TRANSFER OF SECURITIES

Reproduced verbatim from Annexure K (Rights and Obligations of the Beneficial Owner and Depository Participants) of the NSDL Business Rules, as amended vide NSDL Circular No. NSDL/POLICY/2026/0094 dated June 29, 2026. Paragraph numbering as per Annexure K.

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The DP shall execute 'non-pay in' related instructions not later than next working day from the date of submission of instruction by the Beneficial Owner. Further, if the date of submission and the execution date of instruction are same, DP may execute such instructions on the same day at Beneficial owner's risk on a "best effort basis".

PART E · MANDATORY DISCLOSURES

Rights and Obligations of Beneficial Owner and Depository Participant — continued

as prescribed by SEBI / NSDL — reproduced verbatim per regulatory mandate

STATEMENTS OF HOLDINGS & TRANSACTIONS

1. The DP shall provide statements of holdings and statements of transactions to the BO at the periodicity prescribed by the Depository (or such shorter periodicity as the BO may request).
2. The BO shall verify each statement promptly upon receipt and shall report any discrepancy to the DP, in writing or by email, within thirty (30) days of receipt of the statement, failing which the contents of the statement shall be deemed accepted by the BO save in cases of fraud or manifest error.
3. The DP shall maintain electronic copies of all statements issued for the period prescribed under applicable law.

MANNER OF CLOSURE OF DEMAT ACCOUNT

1. The BO may close his/her/its demat account at any time by giving written notice to the DP. Where the account holds securities, the BO shall transfer the securities to another demat account or rematerialise them prior to closure.
2. The DP may close the BO's account in accordance with the Depository's Bye-Laws and Business Rules where the BO defaults in payment of charges, becomes subject to insolvency proceedings, or commits a material breach of these Rights and Obligations, after giving the BO not less than thirty (30) days' written notice and an opportunity to be heard.

DEFAULT IN PAYMENT OF CHARGES

1. In the event the BO defaults in the payment of any charges to the DP for a continuous period of two months, the DP, after giving fifteen (15) days' prior notice to the BO, may freeze the account for debits or close the account in accordance with the Depository's Bye-Laws and Business Rules.

LIABILITY OF THE DEPOSITORY

1. The Depository shall be liable to the BO only for direct loss caused on account of negligence or wilful default by the Depository or its officers in carrying out their obligations under the Depositories Act, 1996, SEBI Regulations, Bye-Laws and Operating Instructions of the Depository.
2. The Depository shall not be liable for any indirect, consequential or special loss, including loss of profit, opportunity cost or business loss, suffered by the BO as a result of any act or omission of the DP.

FREEZING / DEFREEZING OF ACCOUNT

Reproduced verbatim from Annexure K of the NSDL Business Rules, as amended vide NSDL Circular No. NSDL/POLICY/2026/0094 dated June 29, 2026. Paragraph numbering as per Annexure K.

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
24. In case of any statutory order for freezing of demat account of any one joint holder, the demat account will be frozen and the other joint holder(s) will have to obtain specific order from the relevant order issuing authority for unfreezing the holdings in respect of their percentage of joint ownership.

PART E · MANDATORY DISCLOSURES

Rights and Obligations of Beneficial Owner and Depository Participant — continued

as prescribed by SEBI / NSDL — reproduced verbatim per regulatory mandate

REDRESSAL OF INVESTOR GRIEVANCE

1. The DP shall redress all grievances of the BO against the DP within thirty (30) days from the date of receipt of the grievance.
2. Where the grievance is not redressed within the said period, the BO may approach the Depository (NSDL) at relations@nsdl.co.in or through the Depository's Investor Grievance Cell, and/or SEBI through the SCORES portal at scores.sebi.gov.in, and/or the SMARTODR online dispute resolution platform at smartodr.in.

AUTHORISED REPRESENTATIVES

1. The BO may authorise specific persons to operate the account on his/her/its behalf only by way of a duly registered Power of Attorney (PoA) / Demat Debit and Pledge Instruction (DDPI) executed in accordance with SEBI regulations.
2. In the case of a non-individual BO, the authorised signatories named in the resolution / mandate registered with the DP shall be entitled to operate the account.

LAW AND JURISDICTION

1. In addition to the specific rights set out in this document, the DP and the BO shall be entitled to such rights and remedies as are available to them under applicable law.
2. The provisions of this document shall always be subject to the Government notifications, rules, regulations and guidelines issued by SEBI / Depository, and the circulars and bye-laws issued by the Depository, as may be in force from time to time.
3. Any dispute arising between the BO and the DP, the BO and the Depository, or the DP and the Depository, shall be resolved in accordance with the dispute resolution mechanism set out in the Bye-Laws of the Depository.

The amendments to Annexure K (Rights and Obligations of the Beneficial Owner and Depository Participants) of the NSDL Business Rules notified vide NSDL Circular No. NSDL/POLICY/2026/0094 dated June 29, 2026 stand incorporated in this document. This document shall at all times be read together with such further amendments to Annexure K as may be notified by NSDL / SEBI from time to time, which shall apply to the BO and the DP by operation of the said Bye-Laws and Business Rules without the need for fresh execution of this document.

SECTION ACKNOWLEDGEMENT

I/We acknowledge having read and understood the **Rights & Obligations of Beneficial Owner and Depository Participant** reproduced above, including the amendments notified vide NSDL Circular No. NSDL/POLICY/2026/0094, and agree to be bound by the terms set out therein.

Sole / First Holder

Second Holder

Third Holder

Date · Place

PART E · MANDATORY DISCLOSURES

Internet & Wireless Technology Based Trading Facility

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

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

SECTION ACKNOWLEDGEMENT

I/We acknowledge having read and understood the **Internet & Wireless Technology Based Trading Disclosure** reproduced above, and agree to be bound by the terms set out therein.

Sole / First Holder

Second Holder

Third Holder

Date · Place

PART E · MANDATORY DISCLOSURES

Risk Disclosure Document for Capital Market and Derivatives Segments

Verbatim, as prescribed by SEBI / Stock Exchanges

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

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

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk. You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition.

In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account.

You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivatives contract being traded on Stock exchanges.

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

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

1. BASIC RISKS

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

1.2 Risk of Lower Liquidity. Liquidity refers to the ability of market participants to buy and/or sell securities/derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities/derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities/derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities/derivatives contracts as compared to active securities/derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all. Buying or selling securities/derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities/derivatives contracts may have to be sold/purchased at low/high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security/derivatives contract.

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

1.4 Risk-reducing orders. The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders. A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security/derivatives contract. 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. A stop loss order is generally placed "away" from the current price of a stock/derivatives contract, and such order gets activated if and when the security/derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security/derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security/derivatives contract might penetrate the predetermined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

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

PART E · MANDATORY DISCLOSURES · E.4 (continued)

*Risk Disclosure Document for Capital Market and Derivatives Segments***1. BASIC RISKS (CONTINUED)**

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

1.7 System Risk. High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation. 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. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security/derivatives contract due to any action on account of unusual trading activity or security/derivatives contract hitting circuit filters or for any other reason.

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

2. AS FAR AS DERIVATIVES SEGMENTS ARE CONCERNED, PLEASE NOTE AND GET YOURSELF ACQUAINTED WITH THE FOLLOWING ADDITIONAL FEATURES

2.1 Effect of "Leverage" or "Gearing". In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount. (A) Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index/derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day. (B) If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs. (C) Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc. (D) In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions. (E) You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency-specific risks. (1) The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency. (2) Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened. (3) Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for all participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders. (1) An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option. (2) The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

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

PART E · MANDATORY DISCLOSURES · E.4 (continued)

*Risk Disclosure Document for Capital Market and Derivatives Segments***3. TRADING THROUGH WIRELESS TECHNOLOGY / SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY**

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

4. GENERAL

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

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

SECTION ACKNOWLEDGEMENT

I/We acknowledge having read and understood the **Risk Disclosure Document for Capital Market and Derivatives Segments** reproduced above, and agree to be bound by the terms set out therein.

Sole / First Holder_____
Second Holder_____
Third Holder_____
Date · Place

PART E · MANDATORY DISCLOSURES

Guidance Note — Do's and Don'ts for Trading on the Exchange(s) for Investors

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

- › The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
- › Don't share your internet trading account's password with anyone.
- › Don't make any payment in cash to the stock broker.
- › Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/demat account such money or securities deposited and from which bank/demat account.
- › Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
- › In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions: (a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time. (b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any. (c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market. (d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
- › In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
- › Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

PART E · MANDATORY DISCLOSURES · E.5 (continued)

*Guidance Note — Do's and Don'ts for Trading on the Exchange(s) for Investors***IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

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

DISPUTES / COMPLAINTS

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

SECTION ACKNOWLEDGEMENT

I/We acknowledge having read and understood the **Guidance Note — Do's and Don'ts for Trading on Exchanges** reproduced above, and agree to be bound by the terms set out therein.

Sole / First Holder_____
Second Holder_____
Third Holder_____
Date · Place

PART E · MANDATORY DISCLOSURES

Policies & Procedures

Internal control policies of the trading member, disclosed pursuant to SEBI/Exchange requirements.

1. Refusal of orders for penny stocks

DealDepot Brokerage Pvt Ltd. (the "stock broker") allows their client to deal in various compulsorily dematerialized stocks listed on designated stock exchanges. However, stock broker may at anytime at its sole discretion prohibit or restrict the clients' dealing or refuse completely/partially acceptance of the orders of the client for various reasons including but not limited to the trading in penny stocks. Penny stock shall include any illiquid stocks as declared by the stock exchanges and/or illiquid options and/or dealing in far months options and/or highly speculative stocks and/or stocks having low market capitalization and/or securities which are not in dematerialized form and/or securities which are restricted/not permitted by the stock exchanges/SEBI/stock broker. Stock broker, however, may allow solely on its own discretion, acceptance of orders of the client in penny stocks. Prior to acceptance of such orders, stock broker reserves the right to ask the client for compulsory settlement/pay full upfront margin/delivery of securities for settlement. It is known that trading in penny stocks are highly risky and that any financial obligations/losses thus aroused will be borne exclusively by the client alone. Stock broker shall not be liable for any losses caused due to any delay in execution of such orders or any other orders/enhancement of the limit/limitation on order quantity/any unexpected technical fault in the trading system. By means of internal control, stock broker may restrict such orders on Internet Based Trading terminals facilitated to the client and/or any dealer terminals operated at designated branches. Client shall indemnify and keep indemnified the stock broker or its directors or its employees from and against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, proceedings or liability suffered or incurred or fastened due to any partial/complete refusal and/or delay/failure in execution of the client orders in penny stocks, clients' inability to use internet based trading terminals, limit enhancement and/or by incomplete information provided by the client in relation to trade in penny stocks.

2. Setting up client's exposure limits

Setting up the client's exposure limit is subject to internal control mechanism of the stock broker where client is provided collectively a variable trading limit for placing the orders in various segments of exchanges. Normally the client exposure limit is calculated by adding the available ledger balance, cash equivalent collaterals and purchased securities in the margin account with applicable variable haircuts. The list of approved stocks for the purpose of margin consideration is provided to the client by the regulator/exchanges/stock broker from time to time. However, the stock broker can at its sole discretion vary the applicable haircut on the approved stocks from time to time. Client exposure limit vary as the margin components varies. However, stock broker can vary or reduce or impose the exposure limit at anytime without any prior notice to the client. Stock broker shall not be responsible for any such variation or reduction or imposition or the clients' inability to route any order through the stock brokers' trading system on account of any such variation or reduction or imposition of limits. Other factors can also influence the set client exposure limit that may include but not limited to the market condition, SEBI and/or exchange restrictions/limitations on either script-wise or stock broker-wide set limits. Exposure limits can also vary from client to client based variable factors such as financial status and/or residential status and/or risk tolerance of the client. RMS department of the stock broker shall assess and evaluate the risk involved in the transactions of each client on one to one and at any time on case to case basis. If the clients' available margin diminishes, RMS may reset the limit immediately to manage the risk exposure while and in the open market. It is provided that client shall execute his/her trades within the set limit only. If the client wishes to increase the exposure limit, client shall deposit additional fund/margins in the designated form as stated above into the designated account. Client exposure limit for intraday, carry forward and delivery based transactions may vary from each other. Within the set exposure limit for a client, allocation of the limit may vary based on clients' transactions/position in various categories of stocks and/or in derivatives (futures and options). Defining the categories of the stock is discretionary and shall be communicated to the client from time to time. Stock broker may at its sole discretion and without prior notice, prohibit or restrict the clients' ability to place orders or trades in securities due to but not limited to the reason of lack of margin or the order being outside the limits set by stock broker/exchanges/SEBI or any other reason which the stock broker may deem appropriate. Setting up exposure limit doesn't entitle any right to the client and that stock broker at any time without any notice withdraw the set exposure limit. Client shall indemnify and keep indemnified the stock broker against any loss/damage incurred due to such withdrawal of the exposure limit. Any loss thus occurred shall be borne by the client only and client shall clear all his/her/its outstanding debit balance along with any other applicable charges.

PART E · MANDATORY DISCLOSURES · E.6 (continued)

Policies & Procedures

The above policies and procedures may be amended from time to time. Material amendments will be intimated to the client by email/SMS at least 15 days in advance.

SECTION ACKNOWLEDGEMENT

I/We acknowledge having read and understood the **Policies & Procedures of DealDepot Brokerage Pvt Ltd** reproduced above, and agree to be bound by the terms set out therein.

Sole / First Holder_____
Second Holder_____
Third Holder_____
Date · Place

PART E · MANDATORY DISCLOSURES

Voluntary Freezing / Blocking of Online Access to the Trading Account — Policy

Pursuant to SEBI Circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated 12 January 2024, NSE Circular NSE/INSP/61529 dated 8 April 2024 and BSE Notice 20240408-12 dated 8 April 2024.

This policy sets out how a client of DealDepot Brokerage Pvt Ltd ("the trading member") may, at any time, request voluntary freezing or blocking of online access to their trading account, the modes through which such request may be made, the timelines within which the trading member shall act on such request, and the procedure for unfreezing.

1. TRIGGER

- 1.1 A client may request voluntary freezing / blocking of online access to the trading account, including upon (a) noticing any suspicious activity in the trading account; (b) on account of loss / theft of credentials or device; or (c) any other reason.
- 1.2 No reason needs to be furnished by the client for requesting freezing / blocking, and the trading member shall not require the client to furnish any reason as a precondition for acting on the request.

2. MODES FOR RAISING A REQUEST

- 2.1 Through the DealDepot trading app: Account → Account settings → Block Account.
- 2.2 Email to compliance@dealdepot.in, sent from the client's registered email ID.
- 2.3 Where the client is unable to use either mode, the client may call the Compliance Officer on +91 22 6917 5201. The trading member shall verify the client's identity before acting on a request made this way.

3. TIMELINES FOR ACTION BY THE TRADING MEMBER

- 3.1 On receipt, the trading member shall acknowledge the request and validate that it has been received from the client's registered email ID or through the client's logged-in app session.
- 3.2 Where a request is received during trading hours, or within fifteen (15) minutes before the start of trading, the trading member shall freeze / block online access to the trading account within fifteen (15) minutes of receipt of the request.
- 3.3 Where a request is received after trading hours and up to fifteen (15) minutes before the start of the next trading session, or on a non-trading day, the trading member shall freeze / block online access before the start of the next trading session.
- 3.4 Within one (1) hour of effecting the freeze, the trading member shall send a communication to the client's registered email ID and registered mobile number setting out (i) that online access has been frozen / blocked and the time of the freeze; (ii) the pending orders cancelled on account of the freeze; (iii) the client's open positions, if any, with contract expiry information; and (iv) the process for re-enabling online access.

4. TREATMENT OF PENDING ORDERS, OPEN POSITIONS AND SETTLEMENT OBLIGATIONS

- 4.1 All pending orders in the client's trading account shall be cancelled simultaneously with the freeze. Orders already executed but pending settlement shall continue to settle in the ordinary course.
- 4.2 The trading member shall continue to discharge its obligations in respect of any open positions of the client (including pay-in / pay-out, margin maintenance, and auto-square-off where applicable), notwithstanding the freeze. The freeze applies only to fresh online order entry and not to the discharge of existing obligations.
- 4.3 Recurring instructions (such as systematic investment plan debits, mutual fund order entries via NSE MFSS / BSE STAR MF, and similar standing instructions) shall be paused during the period of the freeze. Such instructions shall resume only on unfreezing.
- 4.4 The freeze does not freeze the client's demat account, and does not constitute a request to mark the client's Unique Client Code (UCC) as inactive.

PART E · MANDATORY DISCLOSURES · E.7 (continued)

*Voluntary Freezing / Blocking of Online Access to the Trading Account — Policy***5. UNFREEZING OF THE TRADING ACCOUNT**

- 5.1** The trading account shall be unfrozen only on a request received by email from the client's registered email ID at compliance@dealdepot.in, accompanied by re-verification of the client's identity in line with the trading member's risk management policy. Re-verification shall include OTP authentication on the registered mobile and / or email and, where the trading member considers it necessary, video-IPV or in-person verification. Where the client's registered email ID, mobile number or bank account details may have been compromised, these shall be updated and re-verified before re-enablement. The client shall also reset the trading password and two-factor authentication.
- 5.2** The trading member shall act on a valid unfreeze request within the timelines set out in clause 3 above, mutatis mutandis.

6. RECORDS AND REPORTING

- 6.1** The trading member shall maintain a complete audit trail of every freeze / unfreeze request, including the mode of request, time of receipt, time of action, and the personnel handling the request, for a minimum period of five (5) years or such longer period as required under applicable law.
- 6.2** The trading member shall make periodic reports of voluntary freezing / blocking activity to the Stock Exchanges in the form and at the periodicity prescribed by NSE / BSE from time to time.

7. NO CHARGES

- 7.1** No charges shall be levied by the trading member on the client for receiving, acting on, or processing a voluntary freeze / unfreeze request under this policy.

8. SAVING

- 8.1** This policy is in addition to, and not in derogation of, the trading member's right to suspend or terminate the trading account in accordance with applicable SEBI / Exchange / Depository regulations, the Member-Client Agreement, and the Rights & Obligations of Stock Brokers and Clients.
- 8.2** In the event of any inconsistency between this policy and any subsequent SEBI / Exchange / Depository circular on voluntary freezing or blocking of online access, the latter shall prevail and shall be deemed automatically incorporated into this policy.

SECTION ACKNOWLEDGEMENT

I/We acknowledge having read and understood the **Voluntary Freezing / Blocking of Online Access — Policy** reproduced above, and agree to be bound by the terms set out therein.

Sole / First Holder_____
Second Holder_____
Third Holder_____
Date · Place

PART E · MANDATORY DISCLOSURES

Most Important Terms and Conditions (MITC)

For non-custodial settled trading accounts.

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not share your UCC, login credentials, OTPs or passwords with anyone.
2. Brokerage shall not exceed the rates specified by SEBI and the Stock Exchanges. The brokerage and statutory levies (GST, STT, Exchange Charges, SEBI Turnover Fee, Stamp Duty, etc.) applicable to your trades are set out in Schedule B of this kit.
3. You shall receive contract notes within 24 hours of trade execution and quarterly/monthly statements of account, in line with your election in this kit.
4. Settlement of funds and securities shall be done as per your election (quarterly/monthly). Running account settlement shall be carried out and a statement of accounts issued in the prescribed format.
5. Pay-in of funds shall be made only by account-payee cheque/electronic transfer from a bank account in your name. Pay-out of funds and securities shall be credited only to your registered bank and demat accounts.
6. You may pledge securities for margin only through the SEBI-prescribed margin pledge mechanism. Power of attorney for operating your demat account is not permitted; only the SEBI-prescribed Demat Debit and Pledge Instruction (DDPI) may be executed, and only for the limited purposes prescribed.
7. In case of grievance, you may write to the trading member's grievance officer at complaints@dealdepot.in. If unresolved, you may escalate to the relevant Stock Exchange and thereafter to SEBI through the SCORES portal (<https://scores.sebi.gov.in>) and/or the Online Dispute Resolution (ODR) platform (<https://smartodr.in>).
8. You may voluntarily freeze/block online access to your trading account at any time, in accordance with the Voluntary Freeze policy in this kit.
9. In the event of default of the trading member, your claim, if any, shall be processed as per the Investor Protection Fund (IPF) framework of the Stock Exchange.

SECTION ACKNOWLEDGEMENT

I/We acknowledge having read and understood the **Most Important Terms and Conditions (MITC)** reproduced above, and agree to be bound by the terms set out therein.

Sole / First Holder

Second Holder

Third Holder

Date · Place

PART E · MANDATORY DISCLOSURES

Investor Charter — Stock Brokers

VISION

To provide investors an efficient, transparent and trustworthy environment for participation in the securities market through SEBI-registered stock brokers.

MISSION

To deliver fair dealing, prompt grievance redressal, transparent pricing, secure handling of client funds and securities, and timely communication of all transaction-level information.

SERVICES PROVIDED

- Account opening and KYC processing within prescribed timelines.
- Allotment of Unique Client Code (UCC) and provision of login credentials for the trading and demat platforms.
- Execution of orders, issuance of contract notes within 24 hours of trade execution.
- Daily margin statements and quarterly/monthly statements of account.
- Pay-out of funds and securities within one working day of receipt from the Exchange.
- Grievance redressal through a designated grievance officer and SCORES/ODR platforms.

PART E · MANDATORY DISCLOSURES · E.9 (b)

Investor Charter — Depositories and Depository Participants

VISION

Towards making the Indian Securities Market transparent, efficient and investor-friendly by providing safe, reliable, transparent and trusted record-keeping platforms for investors to hold and transact in securities in dematerialized form.

SERVICES PROVIDED

- Opening and maintenance of demat accounts.
- Dematerialisation and rematerialisation of securities.
- Processing of off-market and on-market transfer instructions.
- Pledge, unpledge, invocation and margin pledge instructions through the SEBI framework.
- Receipt and credit of corporate action benefits (dividends, bonus, rights, etc.).
- Issuance of transaction and holding statements.
- Grievance redressal through the depository's investor grievance cell and SCORES/ODR.

PART E · MANDATORY DISCLOSURES · E.9 (c) · OFFICIAL CHARTER PORTALS

The full Investor Charters published by the Stock Exchanges, the Depository and the regulator are accessible at the URLs below. Grievances may be raised through the SCORES portal or the SMARTODR online dispute resolution platform.

NSE	https://www.nseindia.com/invest/about-investors-charter
BSE	https://www.bseindia.com/static/investors/Investor_Charter.html
NSDL	https://nsdl.co.in/publications/investor_charter.php
SEBI	https://investor.sebi.gov.in/Investor-charter.html
SCORES	https://scores.sebi.gov.in
SMARTODR	https://smartodr.in

SECTION ACKNOWLEDGEMENT

I/We acknowledge having read and understood the **Investor Charters — Stock Exchanges and Depository Participants** reproduced above, and agree to be bound by the terms set out therein.

Sole / First Holder

Second Holder

Third Holder

Date · Place

PART F

Statutory Forms & Acknowledgement

Mandatory statutory forms required for account opening: nomination, data-protection consent, client declaration and final acknowledgement. F.3 (DDPI), F.4 (DIS Booklet) and F.5 (Mode of Execution) are voluntary and appear later in Book 2 · Part H.

F.1 Nomination Form (SEBI Jan 2025 · 10-nominee)

F.2 Nomination Opt-Out (Annexure B)

F.6 Client Consent — DPDP Act 2023

F.7 Client Declaration

F.8 Acknowledgement of Receipt of Documents

Sign all pages in this part — including the Acknowledgement on the final page (F.8), which constitutes your final assent to the kit as a whole.

PART F · STATUTORY FORMS & ACKNOWLEDGEMENT · F.1

Nomination Form for Demat Account

Up to ten nominees may be designated. Reproduced verbatim from SEBI prescribed format.

SEBI Circular SEBI/HO/OIAE/_IAD-3/P/ON/2025/01650 dated 10 January 2025

Instructions. Designate up to ten nominees. Aggregate share across all nominees must equal 100%. For minor nominees, guardian details are mandatory. To opt out of nomination, do not fill this form — sign Annexure B (F.2) on the next page instead.

NOMINEE DETAILS — MAIN TABLE

SR	NAME OF NOMINEE	SHARE %	RELATIONSHIP	MOBILE / EMAIL	IDENTITY NO. (PAN/AADHAAR/PASSPORT)	D.O.B.	MINOR?
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

NOMINEE ADDRESS — ONE PER NOMINEE (CONTINUE OVERLEAF IF NEEDED)

NOMINEE 1

NOMINEE 2

NOMINEE 3

NOMINEE 4

PART F · STATUTORY FORMS & ACKNOWLEDGEMENT · F.1 (continued)

Nomination Form for Demat Account

IF NOMINEE IS A MINOR — GUARDIAN DETAILS

SR	NOM #	GUARDIAN NAME	RELATIONSHIP	ADDRESS	MOBILE	IDENTITY NO.
1						
2						
3						
4						

JOINT ACCOUNT · ORDER OF TRANSMISSION

Where this account is held jointly, the assets shall devolve in the order set out below upon the events specified.

(I)	EVENT	DEVOLVES ON
(i)	Demise of one or more joint holders	Surviving holder(s) through name deletion. Surviving holders inherit the assets as owners.
(ii)	Demise of all joint holders simultaneously — having nominee	Nominee(s) named on this form, in the share specified.
(iii)	Demise of all joint holders simultaneously — not having nominee	Legal heir(s) of the youngest holder.

Aggregate share check. The total nominated share across all nominees must equal 100%. Any excess or shortfall renders this form invalid; the assets shall be treated as if no nomination were made.

Signatures of all account holders are mandatory.

Signature · First / Sole Holder

Signature · Second Holder

Signature · Third Holder

DATE _____ PLACE _____

Two witnesses required. Witness 1: _____ (sign / name / address) · Witness 2: _____

PART F · STATUTORY FORMS & ACKNOWLEDGEMENT · F.2

Declaration to Opt Out of Nomination

Annexure B — for clients who do not wish to nominate.

Per SEBI Circular SEBI/H0/OIAE/_IAD-3/P/ON/2025/01650 dated 10 January 2025

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137 · NSDL DP Reg. No. IN-DP-663-2022

I/We hereby declare that I/We do not wish to nominate any person to receive my/our securities held in the demat account opened with DealDepot Brokerage Pvt Ltd. I/We understand that, in the absence of nomination, transmission of securities upon my/our demise will be made to my/our legal heir(s) / legal representative(s) on the production of such documents as may be required under the Bye-laws of the relevant Depository and applicable law.

I/We further acknowledge that:

- Transmission to legal heirs may be a longer and more documentation-intensive process than transmission to a nominee.
- I/We may, at any later date, designate one or more nominees by submitting a fresh Nomination Form to DealDepot Brokerage Pvt Ltd.
- This opt-out declaration shall remain in force until I/We submit a Nomination Form, after which the Nomination Form shall prevail.

Signatures of all account holders are mandatory for the opt-out to take effect.

Signature · First / Sole Holder

Signature · Second Holder

Signature · Third Holder

DATE _____ **PLACE** _____

Two witnesses required. Witness 1: _____ (sign / name / address) · Witness 2: _____

PART F · STATUTORY FORMS & ACKNOWLEDGEMENT · F.6

Client Consent Form — Personal Data Processing

Pursuant to the Digital Personal Data Protection Act, 2023 (the “DPDP Act”) and the rules notified thereunder.

1 · DATA FIDUCIARY

DealDepot Brokerage Pvt Ltd (“DealDepot” / the “Data Fiduciary”), incorporated under the Companies Act 2013 and having its Registered Office at 1223, P J Towers, Dalal Street, Fort, Mumbai 400 001, is the Data Fiduciary in respect of personal data collected from you in connection with your trading and demat account.

2 · CATEGORIES OF PERSONAL DATA

Identification data (name, PAN, Aadhaar reference, photograph, signature); contact data (address, mobile, email); financial data (bank details, income, net worth); demographic data (DOB, occupation, marital and residential status); tax data (FATCA / CRS information, TIN); nominee data; and transactional data generated through the operation of your account.

3 · PURPOSES — REGULATORY & OPERATIONAL (LEGITIMATE USE)

DealDepot processes your personal data for the following purposes **without requiring separate consent**, in compliance with applicable laws:

- Compliance with PMLA 2002, SEBI regulations, Stock Exchange and Depository bye-laws, the Income-tax Act 1961, FATCA / CRS framework, and other regulatory requirements;
- Account opening, KYC verification, identity verification, account servicing and operational maintenance;
- Execution of orders, settlement, contract note generation, statement generation, dispute resolution;
- Reporting to SEBI, Stock Exchanges, Depositories, Clearing Corporations, KYC Registration Agencies, CKYCRR, CBDT, and other regulators or appointed agencies;
- Sharing with banks, payment processors, and depository participants as necessary for operation of the account;
- Risk management, fraud prevention, audit, and internal record-keeping.

4 · PURPOSES — REQUIRING YOUR CONSENT

The following purposes require your specific consent. Tick whichever you wish to consent to. Non-consent does not affect the operation of your account.

☐ **(i) Marketing & product communications.** I/We consent to receive marketing communications regarding new products, services, schemes, research and updates from DealDepot and its group entities.

☐ **(ii) Affiliate / group company sharing.** I/We consent to the sharing of my/our personal data with group companies and affiliates of DealDepot for cross-offering of products and services.

☐ **(iii) Third-party analytics / business associates.** I/We consent to the sharing of my/our personal data with third-party associates engaged by DealDepot for analytics, market research, customer experience improvement, or product development.

PART F · STATUTORY FORMS & ACKNOWLEDGEMENT · F.6 (continued)

Client Consent Form — Personal Data Processing

5 · RETENTION

Personal data shall be retained for the period required under SEBI / Stock Exchange / Depository / PMLA / Income-tax / DPDP regulations, and for such further period as required for record-keeping, dispute resolution, and audit. On expiry of the retention period, personal data shall be erased, save where retention is required under applicable law.

6 · YOUR RIGHTS AS A DATA PRINCIPAL

- Right to access information about your personal data being processed.
- Right to request correction or completion of inaccurate or incomplete personal data.
- Right to request erasure of personal data no longer necessary for the purpose for which it was collected (subject to retention requirements).
- Right to nominate another individual to exercise these rights in the event of your death or incapacity.
- Right to grievance redressal in respect of the processing of your personal data.

7 · WITHDRAWAL OF CONSENT

You may withdraw your consent under Section 4 at any time by writing to DealDepot's Grievance Officer at the contact details below. Withdrawal of consent shall not affect the lawfulness of processing carried out before such withdrawal. DealDepot may continue to retain your personal data to the extent permitted or required under applicable laws.

8 · GRIEVANCE OFFICER

Grievance Officer · DealDepot Brokerage Pvt Ltd

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001

Email: compliance@dealdepot.in · Phone: +91 22 6917 5201

9 · DATA PRINCIPAL WHO IS A CHILD

Where the Data Principal is a child (a person below the age of eighteen years under the DPDP Act) or a person with disability, consent under this form shall be given by the lawful guardian or holder of parental responsibility on behalf of such Data Principal.

ACKNOWLEDGEMENT & CONSENT

I/We confirm that: **(a)** I/We have read and understood this Notice and Consent Form; **(b)** I/We acknowledge the processing under Section 3 (regulatory and operational purposes); and **(c)** I/We have made my/our independent choice in respect of the consents under Section 4 by ticking (or not ticking) the boxes therein.

NAME	SIGNATURE	DATE	PLACE
------	-----------	------	-------

PART F · STATUTORY FORMS & ACKNOWLEDGEMENT · F.7

Client Declaration

To be signed by all account holders. Read each clause carefully.

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137 · NSDL DP Reg. No. IN-DP-663-2022

I/We declare that:

- 1. Truth of information.** All information furnished by me/us in this Account Opening Kit, including in the CKYC form, the Form 9 (Demat AOF), the Trading Preferences page, the F&O 9-of-10 risk disclosure, the FATCA/CRS declaration, the Nomination Form (or Annexure B opt-out), the DDPI, the DPDP Consent Form, and all authorisation letters, is true, complete and correct to the best of my/our knowledge and belief. I/We undertake to inform DealDepot Brokerage Pvt Ltd promptly and in writing of any change to such information.
- 2. Capacity.** I/We have the legal capacity to enter into the Member-Client Agreement and to execute every authorisation, declaration, consent and form contained in this kit. I/We are not subject to any incapacity, undischarged insolvency, winding-up, attachment or other legal disability that affects such capacity.
- 3. No prior disqualification.** No application by or against me/us is pending or contemplated for adjudication as an insolvent, lunatic or person of unsound mind. No order has been passed by SEBI / any Stock Exchange / Depository / Clearing Corporation, or any other regulator, debarring me/us from accessing the securities market in India.
- 4. Source of funds.** The funds and securities deposited or proposed to be deposited with the trading member belong to me/us, are derived from lawful sources, and are not the proceeds of any unlawful activity within the meaning of the Prevention of Money-Laundering Act, 2002.
- 5. Acknowledgement of mandatory documents.** I/We have received, read and understood the Rights & Obligations document, the Risk Disclosure Document, the Guidance Note (Do's and Don'ts), the Policies & Procedures, the Most Important Terms and Conditions (MITC), the Investor Charter for Stock Brokers and the Investor Charter for Depositories, the Voluntary Account Freeze Policy, the Tariff Sheet (Schedules A-1 and B), the Internet & Wireless Trading Disclosure, the MFOS Authorisation, and all other mandatory documents forming part of this kit.
- 6. Voluntary documents.** Where I/we have signed any voluntary document in this kit (including but not limited to the DDPI, the Running Account Authorisation, the Auto Square-Off Authority, the Letter of Authority / Undertaking, the Margin Pledge Authorisation, the EPF / MFOS authorisations, and the DPDP marketing consents), I/we have done so of my/our own free will, after reading and understanding the contents thereof, and without any coercion or undue inducement by the trading member or any associate.
- 7. Communications.** The mobile number and email ID recorded in the KYC form belong to me/us (or, where shared with a family member, are covered by the Declaration for Same Mobile / Email at F.4(c)), and I/we shall be responsible for keeping these current.
- 8. Indemnity for inaccuracy.** I/We undertake to keep the trading member indemnified against any loss, claim, penalty or expense suffered by it as a direct consequence of any inaccuracy in the information furnished by me/us, or any failure on my/our part to update such information promptly.

Signatures of all account holders are mandatory.

Signature · First / Sole Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PLACE _____

PART F · STATUTORY FORMS & ACKNOWLEDGEMENT · F.8

Acknowledgement of Receipt of Documents

The final assent — signing this page is your confirmation of having read and accepted the kit.

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137 · NSDL DP Reg. No. IN-DP-663-2022

I/We hereby acknowledge that the following documents have been provided to me/us as part of the account opening process:

- | | |
|---|--|
| 01 Rights and Obligations of Stock Brokers and Clients | 02 Internet & Wireless Technology Based Trading Disclosure |
| 03 Risk Disclosure Document for Capital Market and Derivatives Segments | 04 Guidance Note — Do's and Don'ts for Trading on Exchanges |
| 05 Policies and Procedures of DealDepot Brokerage Pvt Ltd | 06 Tariff Sheet (Schedules A-1 and B) |
| 07 Most Important Terms and Conditions (MITC) for non-custodial settled trading accounts | 08 Investor Charter — Stock Exchanges |
| 09 Investor Charter for Depositories and Depository Participants | 10 Voluntary Account Freeze / Block Policy |
| 11 Terms and Conditions for Basic Services Demat Account (BSDA) | 12 Terms and Conditions for the depository's electronic facilities (Easi / eDIS, as applicable) |

I/WE CONFIRM THAT:

- (a) I/We have read and understood the above documents;
- (b) I/We agree to abide by the Policies and Procedures and the Terms and Conditions of DealDepot Brokerage Pvt Ltd;
- (c) I/We acknowledge that the documents listed at (1) to (12) above are mandatory under SEBI / Stock Exchange / Depository regulations, and that any other documents executed by me/us in this kit are voluntary documents that I/We have signed of my/our own free will. I/We have not been coerced into executing any voluntary documents;
- (d) I/We are aware that login credentials and account-related alerts will be sent to the email ID and mobile number registered in the KYC form, and undertake to update the trading member promptly upon any change;
- (e) I/We acknowledge receipt of a copy of the executed Account Opening Form, the mandatory and voluntary documents executed by me/us, and the Policies and Procedures of DealDepot Brokerage Pvt Ltd. I/We may request additional copies at any time in writing or by email from my/our registered email ID.

I/We acknowledge that the Policies and Procedures and the Terms and Conditions may be amended from time to time, with such amendments notified to me/us through the trading member's website or by email. In the event of any material change adversely affecting my/our rights or obligations, I/We shall have the right to terminate the relationship within thirty (30) days of receipt of notification, in accordance with the Member-Client Agreement.

Signatures of all account holders are mandatory.

Signature · First / Sole Holder

Signature · Second Holder

Signature · Third Holder

DATE _____ PLACE _____

Voluntary Authorisations

Operational authorisations the client may elect to give. Decline any you do not wish to opt into; declining a voluntary authorisation will not prevent the account from being opened, though some services require the corresponding authorisation to operate.

G Authorisation Letters — Communication, Operations, Margin & Pledge

H Demat Operations Authority — DDPI, DIS, Mode of Execution

Documents in this book are operational authorisations the client may elect to give. Sign only those you intend to opt into. Declining any voluntary authorisation will not, by itself, prevent the account from being opened — though some services may require the corresponding authorisation to operate.

PART G · AUTHORISATION 01

Authorisation Letter for Electronic Communication

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

I/We refer to my/our trading and demat account with the trading member. Pursuant to SEBI Circular dated 8 September 2005 on Electronic Issuance of Contract Notes (and as updated through subsequent SEBI / Stock Exchange circulars including the NSE Circular dated 10 June 2022 on issuance of ECN through SMS / electronic instant messaging services), I/We hereby exercise my/our option to receive communications in electronic form, on the following terms.

- 1. Communications covered.** I/We authorise and consent to receive the following from the trading member in electronic form: (a) Electronic Contract Notes (ECN); (b) Bills, ledger statements, statements of account, transaction statements (trading and demat), holding statements, net position statements, margin statements; (c) Order and trade confirmations; (d) Client master records; (e) Settlement, margin, payout and operational intimations; (f) Risk Management Policy updates, Tariff Sheet updates, Policies & Procedures notifications; (g) Other regulatory and service communications.
- 2. Mode of delivery.** Such electronic communications may be sent by the trading member through any of the following channels: (a) Email to my/our registered email ID(s) recorded in the kit; (b) SMS or WhatsApp to my/our registered mobile number, in compliance with the SEBI / NSE circulars on ECN through electronic instant messaging services; (c) Posting on the trading member's secure client portal accessible through my/our login credentials; (d) The trading member's mobile application.
- 3. ECN compliance.** Electronic Contract Notes shall be: (i) digitally signed by the trading member; (ii) encrypted, non-tamperable and password-protected; (iii) compliant with the Information Technology Act, 2000; and (iv) simultaneously published on the trading member's secure client portal, accessible through my/our login credentials, in line with the said SEBI Circular. The trading member shall maintain logs of sent and bounced communications for the period required under applicable regulations.
- 4. Bounced delivery.** Where the trading member's system records that an electronic communication has been delivered to my/our registered email ID, mobile number or portal account, such delivery shall be deemed effective. Where the trading member receives a bounce-back notification in respect of an emailed ECN, the trading member shall send a physical contract note within forty-eight (48) hours of the bounce, in accordance with the said SEBI Circular. I/We acknowledge that non-receipt of any bounce-back notification by the trading member shall be deemed to constitute delivery of the communication to me/us.
- 5. Discrepancy reporting.** I/We shall verify each ECN, contract note, bill or statement promptly upon receipt and shall report any discrepancy to the trading member, in writing or by email, within forty-eight (48) hours of receipt. In the absence of such report within the said period, the document shall be deemed accepted by me/us, save in cases of fraud or manifest error.
- 6. Email IDs and mobile number.** I/We shall keep my/our registered email ID(s) and mobile number current, and shall promptly notify the trading member in writing or by email from my/our existing registered ID of any change. The trading member shall not be liable for non-receipt of communications attributable to inactive, full or otherwise unavailable email accounts, change of mobile number not notified, or temporary failure of email or messaging service providers.
- 7. Server logs.** The trading member's server logs and dispatch records shall constitute prima facie evidence of dispatch of electronic communications. Such logs may be relied upon by the trading member in any dispute, subject to my/our right to demonstrate non-receipt or delivery error.
- 8. Limitation of liability.** The trading member shall be entitled to act in good faith on my/our directions in respect of electronic communications and shall not be liable for losses arising from such good-faith action. Nothing in this letter shall limit the trading member's liability for its own negligence, wilful misconduct, or breach of its obligations under the Member-Client Agreement, the Rights & Obligations document, or applicable SEBI / Exchange / Depository regulations.
- 9. Saving.** This authorisation is in addition to, and not in derogation of, the rights and obligations of the parties under the Member-Client Agreement, the Rights & Obligations document, and applicable SEBI / Exchange / Depository regulations.

EMAIL ID(S) FOR COMMUNICATIONS

EMAIL ID — ALTERNATE

MOBILE NUMBER

Signed by the client only.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE

PLACE

PART G · AUTHORISATION 02

Policies & Procedures — Client Acceptance

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

I/We have read and understood the Policies and Procedures of DealDepot Brokerage Pvt Ltd ("the stock broker") and acknowledge that they form part of the Account Opening documents executed by me/us.

I/We understand that the stock broker may amend these Policies and Procedures from time to time to reflect changes in applicable law, SEBI / Exchange / Depository regulations, or its internal risk management framework. Such amendments will be placed on the stock broker's website at www.dealdepot.in and notified to me/us by email or other electronic means. In the event of any material change adversely affecting my/our rights or obligations, I/we shall have the right to terminate the relationship within thirty (30) days of receipt of such notification, in accordance with the termination provisions of the Member-Client Agreement.

I/We acknowledge that nothing in this document limits or excludes any right available to me/us under the SEBI Act 1992, the Depositories Act 1996, the rules and regulations made thereunder, or the Bye-laws, Rules and Business Rules of the relevant Stock Exchanges and Depositories. In the event of any inconsistency between this document and applicable law or regulation, the law / regulation shall prevail.

PART G · AUTHORISATION 03

Authorisation Letter for Use of Trading Member's Computer Facility

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

CLIENT NAME _____ CLIENT CODE (UCC) _____

I/We refer to my/our trading account with the trading member. Where the trading member from time to time permits the use of a computer terminal at its office premises ("the Facility") for clients to execute trades on their own trading accounts, I/We hereby authorise and undertake the following terms in respect of any such use by me/us:

- 1. Scope of use.** I/We shall use the Facility solely for the purpose of placing, modifying or cancelling orders on my/our own trading account, viewing my/our account information, and accessing the trading member's permitted trading platforms. I/We shall not use the Facility for any other purpose, including but not limited to trading on any other person's account, accessing third-party websites or services unrelated to my/our trading, or transmitting data unrelated to my/our trading activity.
- 2. Identity verification.** I/We acknowledge that I/we may be required by the trading member's branch personnel to present identification before being granted access to the Facility, and shall comply with any such requirement.
- 3. Credentials and confidentiality.** I/We shall log into the Facility using my/our own user ID, password and any applicable two-factor authentication. I/We shall not share my/our credentials with any other person, including any branch personnel of the trading member. I/We shall ensure that the Facility is logged out after each session and shall not leave the Facility unattended while logged in.
- 4. Trades binding on me/us.** All orders placed and trades executed through the Facility using my/our credentials shall be deemed to have been placed by me/us and shall be binding on me/us, in the same manner as orders placed through any other authorised channel under the Authority Letter for Order Instructions.
- 5. Surveillance and records.** I/We acknowledge that the trading member's office premises may be subject to security measures including CCTV surveillance and access logs.
- 6. Allocation of risk.** (a) I/We shall be solely responsible for any loss, claim or liability arising from (i) my/our failure to maintain the confidentiality of my/our credentials, (ii) leaving the Facility logged in or unattended, or (iii) any use of the Facility by an unauthorised person resulting from such failure on my/our part. (b) The trading member shall be entitled to act in good faith on orders placed through the Facility under my/our credentials and shall not be liable for losses arising from such good-faith execution. (c) Nothing in this letter shall limit any liability of the trading member that cannot be excluded as a matter of applicable law.
- 7. Saving.** This authorisation is in addition to, and not in derogation of, the rights and obligations of the parties under the Member-Client Agreement, the Authority Letter for Order Instructions, the Rights & Obligations document, and applicable SEBI / Exchange / Depository regulations.

Signed by the client only.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PART G · AUTHORISATION 04

Letter of Authority / Running Account Authorisation

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137 · NSDL DP Reg. No. IN-DP-663-2022

SECTION 1 — RUNNING ACCOUNT AUTHORISATION

I/We refer to my/our trading account with DealDepot Brokerage Pvt Ltd ("the trading member"). Pursuant to SEBI Master Circular for Stock Brokers and as updated from time to time, I/We hereby authorise the trading member to maintain a running account of my/our funds and securities, subject to the following:

1. **Settlement frequency.** I/We elect settlement on a (tick one) ☐ Calendar Month / ☐ Calendar Quarter basis, on dates stipulated by the Stock Exchanges in the annual settlement calendar.
2. **Permitted retention.** I/We acknowledge that, in addition to settling running balance funds, the trading member may retain (i) my/our entire pay-in obligation for T-day and T-1 day, plus (ii) up to 225% of the margin liability across all segments and exchanges, in accordance with the SEBI Master Circular.
3. **Settlement intimation.** Each running account settlement shall be intimated to me/us by SMS on my/our registered mobile number and by email to my/our registered email ID, with reference details of the electronic transfer.
4. **Retention statement.** A retention statement, along with the statement of running account, shall be sent to me/us within five (5) working days of settlement.
5. **Dispute window.** Any dispute on the statement of running account shall be brought to the trading member's notice within thirty (30) working days of the statement date.
6. **Inactive accounts.** Where I/we have not transacted for thirty (30) calendar days and credit balance remains, the trading member shall return the entire credit balance on the next monthly settlement date, regardless of my/our stated frequency preference.
- 6A. **Account dormancy and reactivation.** Where I/we have not transacted for such period as may be specified by the trading member from time to time in line with applicable SEBI / Exchange / Depository / PMLA norms, the trading member may classify my/our account as dormant. Reactivation of a dormant account shall be subject to such Re-KYC verification, identity re-validation and other documentation as the trading member may reasonably require in accordance with applicable regulations.
8. **Mode of transfer.** Settlement shall be made by NEFT / RTGS to my/our registered bank account. Physical instruments will be issued only where electronic transfer fails.
9. **Revocation.** I/We may revoke this authorisation in writing at any time. The trading member's periodic statement will reflect that this authorisation continues until revoked.

Signed by the client only — not by any authorised person or holder of Power of Attorney.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____ PLACE _____

PART G · AUTHORISATION 04 (CONT.)

Letter of Authority — continued

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137 · NSDL DP Reg. No. IN-DP-663-2022

SECTION 2 — AUTHORISATION TO RECOVER DUES BY SALE OF SECURITIES

Where a debit balance arises in my/our trading account on account of mark-to-market loss, settlement obligation, margin shortfall, brokerage, taxes, statutory levies, or any other dues payable by me/us to the trading member, and such debit balance remains unpaid beyond five (5) trading days from the date it became due, I/We hereby authorise the trading member to sell such of my/our securities lying in the trading member's beneficial owner account, margin pledge account, or otherwise pledged in favour of the trading member, as may reasonably be required to recover the outstanding debit balance, applicable interest at the rate notified in the Tariff Sheet, and reasonable costs of recovery.

Prior to such sale, the trading member shall: (a) issue at least two reminders by SMS and email to my/our registered contact details specifying the amount due, the proposed action, and the consequence of continued non-payment; (b) not sell securities in excess of the amount reasonably required to recover the dues, interest and costs; (c) account to me/us within one (1) working day of the sale, providing details of securities sold, prices realised, charges deducted, and net amount applied to the outstanding balance, with surplus (if any) credited to my/our trading account.

Exceptional circumstances. Notwithstanding the above, where immediate action without prior notice is reasonably necessary to protect the position of me/us or the trading member — including (i) margin shortfall required to be addressed within timelines specified by SEBI / Exchange / Clearing Corporation, (ii) settlement default, (iii) auction risk, or (iv) other emergent risk to outstanding positions — the trading member may sell securities without observing the five-day cure period and the prior reminders contemplated in clause (a) above, provided that the trading member shall furnish written reasons for such action by SMS, email or other electronic means within one (1) working day of the sale, together with the accounting required under clause (c).

This authorisation is in addition to, and not in derogation of, the rights of the trading member under the Member-Client Agreement, the Rights & Obligations document, the Demat Debit and Pledge Instruction (DDPI), and applicable SEBI / Exchange / Depository regulations.

Signed by all holders.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PLACE _____

PART G · AUTHORISATION 05

Consent Letter for Intimation and Service Communications

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

I/We refer to my/our trading and demat account with DealDepot Brokerage Pvt Ltd ("the Company"). I/We hereby provide my/our consent to receive intimation, service and operational communications from the Company by way of telephone calls, SMS, email, WhatsApp or other electronic means, on the registered mobile number(s) and email ID(s) recorded with the Company, including but not limited to:

- (a) trade confirmations, contract notes, statements of account, ledger summaries and other transactional communications;
- (b) margin calls, settlement-related intimations, payout notices and other risk and operational communications;
- (c) account servicing communications, including OTPs, password resets, KYC update reminders and security alerts;
- (d) communications regarding new products, services, schemes or facilities offered by the Company.

This consent is given by me/us notwithstanding registration on the National Customer Preference Register ("Do Not Disturb" list) maintained under the Telecom Regulatory Authority of India (TRAI) framework, and shall remain in force until revoked by me/us in writing.

Signed by all holders.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PART G · AUTHORISATION 06

Authority Letter for Order Instructions

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137 · NSDL DP Reg. No. IN-DP-663-2022

I/We refer to my/our trading account with the trading member. To facilitate the operation of my/our account across the segments and exchanges in which I/we have chosen to trade, I/We authorise the trading member to receive, accept and act upon my/our orders for the purchase, sale, modification or cancellation of securities and derivatives contracts through the following channels, subject to the conditions set out below.

- 1. Authorised channels and order-evidence framework.** I/We acknowledge that, in compliance with SEBI Circular SEBI/HO/MIRSD/DOP1/CIR/P/2018/54 dated 22 March 2018 (and as updated through the SEBI Master Circular for Stock Brokers, Section 35), the trading member shall maintain evidence of orders placed by me/us in one or more of the legally recognised forms below. Any one such form shall constitute valid evidence of the order:

AUTHORISED CHANNELS

(a) Online trading platform.

Orders placed through the trading member's web or mobile trading platform after authentication using my/our user ID, password and applicable two-factor authentication ("2FA"). The platform's transaction log shall constitute the order evidence. All such orders shall be deemed to have been placed by me/us.

(b) Telephone.

Orders placed by telephone from my/our registered mobile or landline number, after identity verification by the trading member's representative. I/We acknowledge and consent that all such telephone calls shall be recorded by the trading member as part of its mandatory record-keeping under the said SEBI circular, and the recordings shall be retained for a minimum of three (3) years or until resolution of any dispute relating to such orders, whichever is later.

(c) Email.

Orders sent from my/our registered email ID to the trading member's designated dealing email ID, with sufficient detail to identify the security, quantity, side (buy/sell), price (where applicable), and order type. Such email shall constitute the order evidence.

(d) WhatsApp / SMS.

Orders sent from my/our registered mobile number to the trading member's designated dealing WhatsApp / SMS number, with sufficient detail to identify the security, quantity, side, price (where applicable), and order type. Such message, preserved by the trading member, shall constitute a "legally verifiable record" within the meaning of Para III(f) of the said SEBI circular and shall be valid order evidence.

(e) In person at the trading member's office.

Orders given to a designated dealer at the trading member's office, by way of (i) a written and signed order slip, or (ii) an oral instruction subject to the same recording arrangement as telephone orders.

PART G · AUTHORISATION 06 (CONT.)

Authority Letter for Order Instructions — continued

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137 · NSDL DP Reg. No. IN-DP-663-2022

2. **Identity verification.** Orders received from any number, email address or login other than those registered to me/us shall not be acted upon by the trading member, and any orders so received shall be at the sole risk of the person purporting to give them. I/We undertake to keep my/our registered contact details current and to notify the trading member promptly of any change.
3. **Authorised representative.** Where I/we wish to authorise a specific person to place orders on my/our behalf, I/we shall do so by way of a separate, written authorisation letter naming such person, their contact details and identity proof. Until and unless such separate authorisation is on record with the trading member, the trading member shall act only on instructions from me/us directly.
4. **Order and trade confirmation.** I/We shall receive (i) order confirmation by SMS, email or platform notification at the time of order placement; and (ii) trade confirmation, contract note and other transaction reports through the channels elected by me/us in the kit. I/We undertake to verify each contract note and trade confirmation and to report any discrepancy in writing or by email to the trading member within forty-eight (48) hours of receipt, failing which the trades reflected therein shall be deemed accepted by me/us, save in cases of fraud or manifest error.
5. **Modification and cancellation.** Order modifications and cancellations shall be subject to the same authorisation framework as initial orders, and may be acted upon only if received before execution. Once an order is executed, modification or cancellation is not possible except by way of a reversing trade.
6. **Exceptional circumstances.** I/We acknowledge that, in exceptional cases including but not limited to technical failure, system outage, recording-system malfunction, or loss of records due to circumstances beyond the trading member's reasonable control, the trading member may not be able to produce evidence in the forms set out in clause 1 for a particular trade. In such cases, in accordance with Para V of the said SEBI Circular, the trading member shall justify the reasons in writing, and other appropriate evidence — including post-trade confirmation, receipt or payment of funds, delivery or receipt of securities by me/us in respect of the trade, contract note acceptance, or other circumstantial evidence — shall be considered on its merits in determining whether the order was placed by me/us.
7. **Limitation of liability.** (a) The trading member shall be entitled to act in good faith on orders received through the authorised channels above and shall not be liable for losses arising from such good-faith execution. (b) Nothing in this letter shall limit the trading member's liability for its own negligence, wilful misconduct, or breach of its obligations under the Member-Client Agreement, the Rights & Obligations document, or applicable SEBI / Exchange / Depository regulations. (c) I/We are responsible for keeping my/our login credentials, OTPs and authentication devices confidential. Orders placed using my/our credentials prior to my/our written notification to the trading member of compromise shall be deemed to have been placed by me/us, save in cases of demonstrable fraud by the trading member or its employees.
8. **Saving.** This authorisation is in addition to, and not in derogation of, the rights and obligations of the parties under the Member-Client Agreement, the Rights & Obligations document, and applicable SEBI / Exchange / Depository regulations.

Signed by the client only.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PLACE _____

PART G · AUTHORISATION 07

Terms & Conditions for using the NSE Mutual Fund Service System (MFSS) facility

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

These terms apply to investors / clients availing the Mutual Fund Service System (MFSS) facility on the National Stock Exchange of India Limited ("NSE"), pursuant to NSE / SEBI / AMFI circulars in force from time to time, and are read together with the Letter for NSE MFSS / BSE STAR MF executed separately.

ELIGIBILITY

- 1.1 The pre-requisites of becoming an MFSS investor / client are as follows: (i) the investor / client must be KYC-compliant in accordance with the SEBI / KRA framework; (ii) the investor / client must hold a valid trading account with the Participant; (iii) where applicable, the investor / client must hold a depository account in dematerialised mode for receipt of mutual fund units in physical or demat form.
- 1.2 The investor / client agrees to abide by the terms and conditions, rules and regulations of the relevant mutual fund scheme(s) and to provide such information as may be required by NSE, SEBI, the AMC or the RTA from time to time.

PRICING, TRANSACTIONS & SETTLEMENT

- 2.1 The investor / client shall transact in mutual fund schemes through the MFSS facility only at the price applicable to the relevant scheme on the date of the order, in accordance with the Scheme Information Document and applicable AMFI / SEBI norms.
- 2.2 Settlement of funds and units in respect of MFSS transactions shall be in accordance with the timelines and procedures specified by NSE / Clearing Corporation / RTA from time to time. Any rejection by the AMC / RTA shall be intimated to the investor / client by the Participant.
- 2.3 The investor / client shall pay the Participant such fees and statutory levies as are prevailing from time to time and as they apply to the investor / client's account, transactions, and the services rendered by the Participant.

OBLIGATIONS OF THE INVESTOR / CLIENT

- 3.1 The investor / client shall be bound by the circulars issued by NSE, the Rules, Regulations and circulars issued thereunder by SEBI, AMFI guidelines and relevant notifications of Government authorities as may be in force from time to time.
- 3.2 The investor / client shall notify the Participant in writing of any change in the information in the client registration form provided to the Participant at the time of registering for the NSE MFSS facility, or at any time thereafter.
- 3.3 The investor / client shall submit a completed application form in the prescribed format for the purpose of placing a subscription order with the Participant.
- 3.4 The investor / client has read and understood the risks involved in investing in mutual fund schemes, and shall be wholly responsible for all his/her/its investment decisions and instructions.
- 3.5 The investor / client shall furnish information to the Participant in writing if any winding-up petition or insolvency petition has been filed against him/her/it, or if any winding-up or insolvency order, decree or award has been passed against him/her/it, or if any litigation which may have a material bearing on his/her/its capacity has been filed against him/her/it.
- 3.6 The investor / client shall ensure continuous compliance with the requirements of NSE, SEBI and AMFI.

SAVING

- 4.1 In the event of non-performance of the obligation by the Participant, the investor / client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSE or NSCCL.
- 4.2 In case of any dispute between the Participant and the investor / client arising out of this facility, NSE and/or NSCCL agree to extend the necessary support for the speedy redressal of the disputes.

PART G · AUTHORISATION 08

Letter for NSE MFSS / BSE STAR MF Facility

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137 · NSDL DP Reg. No. IN-DP-663-2022

SUBJECT: MUTUAL FUND SERVICE SYSTEM (MFSS) OF NSE / BSE STAR MF

I/We am/are registered as your client with the Client Code mentioned below for the purpose of trading in the Capital Market Segment. I/We am/are interested in availing the following exchange facility for the purpose of dealing in units of mutual fund schemes permitted to be dealt with on the relevant exchange platform (tick whichever is applicable; both may be ticked):

☐ NSE MFSS ☐ BSE STAR MF

For the purpose of availing the facility, I/We confirm that the Know Your Client (KYC) details submitted by me/us for securities broking may be considered for this purpose, and that the said details remain unchanged as on date. I/We agree to abide by the terms and conditions specified by the relevant Exchange and SEBI from time to time, and to comply with the requirements as may be specified from time to time by SEBI and/or the Association of Mutual Funds of India (AMFI).

I/We undertake to read and understand the contents of the Scheme Information Document, Key Information Memorandum and any addenda issued in respect of each mutual fund scheme to which I/we choose to subscribe or which I/we choose to redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the relevant mutual fund schemes.

I/We therefore request you to register me/us as your client for participating in the NSE MFSS and/or BSE STAR MF facility.

CLIENT NAME**CLIENT CODE (UCC)**

Signed by the client only.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder**DATE** _____

PART G · AUTHORISATION 09

Authorisation for Auto Square-Off of Intraday Positions and Risk-Based Position Closure

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

I/We refer to my/our trading account with the trading member. I/We request the trading member to grant me/us trading limits for executing intra-day trades on the permitted segments and exchanges. In consideration of such facility, I/We authorise the trading member as set out below.

- 1. Auto square-off of intraday positions.** I/We agree and undertake to square off my/our open intraday positions on the same trading day, typically fifteen to twenty (15-20) minutes before the close of normal market hours of the relevant exchange and segment, or such other time as may be determined by the trading member's Risk Management Team from time to time based on market volatility, regulatory requirements, or operational considerations, as published on the trading member's website (www.dealdepot.in). In the event that I/we fail to square off any open intraday position by such time, I/We authorise the trading member to (a) cancel any pending intraday orders in my/our account, and (b) square off the open intraday position at the prevailing market price by way of a market order. The trading member shall send intimation of such auto square-off to me/us by SMS and email to my/our registered contact details.
- 2. Risk-based position closure (MTM threshold).** Notwithstanding clause 1, where the mark-to-market loss on my/our open positions in any segment (cash / F&O) reaches the threshold percentage of my/our margin deposit as notified by the trading member from time to time on its website or by direct communication, I/We authorise the trading member to close, in part or whole, my/our outstanding positions across segments at the prevailing market price, in such manner as the trading member may reasonably determine to limit further loss. Intimation of any such closure shall be sent to me/us by SMS and email within one (1) working day, with details of positions closed, prices realised, and the resulting balance.
- 3. Margin shortfall.** Where I/we fail to meet a margin obligation within the timelines specified by SEBI / the relevant Stock Exchange / Clearing Corporation, the trading member is authorised to close such of my/our open positions as may be necessary to bring the account into compliance, in accordance with the trading member's Risk Management Policy and applicable regulatory framework. Such closure may be effected without prior notice where regulatory timelines do not permit notice.
- 4. Carry-forward in exceptional circumstances.** Where, due to power failure, connectivity failure, exchange-imposed circuit breakers, lack of market depth in the relevant scrip, or other reasons beyond the trading member's reasonable control, an open intraday position cannot be squared off on the same trading day, I/We acknowledge that the position may, at the trading member's discretion, (a) be carried forward to the next trading day as a regular delivery / overnight position subject to the prescribed margin requirements, in which case the onus to square off shall lie with me/us; or (b) be squared off on the next trading day at the prevailing market price by the trading member's RMS desk. Intimation of the action taken shall be sent to me/us by SMS and email.
- 5. Charges.** Auto square-off and risk-based closure may attract charges as specified in the Tariff Sheet. Such charges shall be debited to my/our trading account.
- 6. Allocation of loss and statutory penalties.** I/We agree that any trading loss arising from the closure of positions under clauses 1 to 4, and any margin shortfall penalty, exchange penalty, auction debit or similar statutory charge imposed by the Stock Exchange, Clearing Corporation or SEBI in connection with my/our positions, shall be borne by me/us.
- 7. Limitation of liability.** (a) The trading member shall be entitled to act in good faith under this authorisation and shall not be liable for losses arising from such good-faith action, including losses attributable to market price movement during the closure of positions. (b) Nothing in this authorisation shall limit or exclude the trading member's liability for its own negligence, wilful misconduct, or breach of its obligations under the Member-Client Agreement, the Rights & Obligations document, or applicable SEBI / Exchange / Depository regulations.
- 8. Relationship with ledger debit recovery.** This authorisation governs the closure of open positions for the reasons set out in clauses 1 to 4. Where a debit balance arises in my/our trading account on account of trading loss, settlement obligation, margin shortfall, brokerage, taxes, statutory levies, auction debit, or other dues payable by me/us to the trading member, the trading member's authority to recover such debit by sale of my/our securities held in its beneficial owner account, margin pledge account, or otherwise pledged in its favour, is governed separately by the Authorisation to Recover Dues by Sale of Securities set out in the Letter of Authority / Running Account Authorisation. Both authorisations operate concurrently and are not mutually exclusive.
- 9. Saving.** This authorisation is in addition to, and not in derogation of, the rights and obligations of the parties under the Member-Client Agreement, the Rights & Obligations document, and applicable SEBI / Exchange / Depository regulations. The trading member may amend its Risk Management Policy and the auto square-off timings from time to time, with such amendments being placed on the trading member's website.

Signed by the client only.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PART G · AUTHORISATION 10

Letter for Authority / Undertaking

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

I/We refer to my/our trading account with the trading member. I/We hereby authorise and confirm the following:

- 1. Mandate to issue contract notes and statements of account in electronic format.** I/We agree and consent to receive contract notes and statements of account in respect of transactions undertaken by me/us with the trading member in electronic form, in accordance with applicable SEBI / Stock Exchange circulars on Electronic Contract Notes (ECN). Electronic contract notes issued by the trading member shall be binding on me/us. I/We undertake to verify each contract note and statement of account upon receipt and to bring any discrepancy to the trading member's notice within forty-eight (48) hours of issuance.
- 2. I/We further authorise the trading member as follows:** (a) To send all contract notes, bills, ledger statements, statements of account, holding statements and other communications in electronic form to my/our registered email ID(s) recorded in the KYC form. (b) Where the trading member's system records that an electronic communication has been delivered to my/our registered email ID, such delivery shall be deemed effective. Non-receipt of any bounce-back notification by the trading member shall be deemed to constitute delivery of the communication. Any change in my/our email ID shall be communicated to the trading member in writing or by email from my/our existing registered email ID. (c) Inter-segment transfer of balances. To transfer my/our debit or credit balance from one segment of my/our trading account (cash / F&O) to another segment of my/our trading account, for the purpose of meeting margin requirements, settlement obligations or net dues across segments. The trading member shall maintain a clear audit trail of all such transfers, reflected in my/our ledger statement. (d) No separate confirmation slip. I/We do not require a separate confirmation slip from the trading member for order or trade alteration, modification, cancellation, or confirmation. I/We acknowledge that order and trade confirmations received through SMS, email or trading platform notification, and the contract note delivered electronically, shall constitute sufficient confirmation of such events.
- 3. Limitation of liability.** The trading member shall be entitled to act in good faith on my/our directions in respect of the matters covered by this letter and shall not be liable for losses arising from such good-faith action. Nothing in this letter shall limit the trading member's liability for its own negligence, wilful misconduct, or breach of its obligations under the Member-Client Agreement, the Rights & Obligations document, or applicable SEBI / Exchange / Depository regulations.

Signed by the client only.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PLACE _____

PART G · AUTHORISATION 11

Early Pay-in of Funds (EPF) Authorization

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

I/We hereby consent that DealDepot Brokerage Pvt Ltd may make Early Pay-in of Funds (EPF) from the funds available in my/our trading account, to the relevant Stock Exchanges and Clearing Corporations, in respect of my/our settlement obligations arising from trades executed through DealDepot Brokerage Pvt Ltd. Such early pay-in shall be made in accordance with the Bye-laws, Rules and Circulars of the relevant Exchange and Clearing Corporation.

*Signed by all holders.*_____
Signature · Sole / First Holder_____
Signature · Second Holder_____
Signature · Third Holder

DATE _____

PART G · AUTHORISATION 12

Mutual Fund Overnight Schemes (MFOS) Authorization

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

Pursuant to SEBI Circular SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/84 dated 8 June 2023, cash collateral provided by clients may be held by the trading member in Mutual Fund Overnight Schemes (MFOS), which deploy funds in overnight tenure to risk-free government securities including overnight government bond repo markets and Tri-party Repo Dealing and Settlement (TREPS).

I/We hereby consent that my/our funds, to the extent held as cash collateral with DealDepot Brokerage Pvt Ltd, may be deployed in MFOS in accordance with the above SEBI framework. I/We acknowledge that funds so deployed shall remain withdrawable on demand, subject to the operational settlement timing of the relevant MFOS scheme and the applicable regulatory framework.

*Signed by all holders.*_____
Signature · Sole / First Holder_____
Signature · Second Holder_____
Signature · Third Holder

DATE _____

PART G · AUTHORISATION 13

Margin Pledge Authorisation

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

I/We hereby authorise DealDepot Brokerage Pvt Ltd ("the trading member") to create a margin pledge over such of my/our securities as I/We may from time to time specify, by way of a margin pledge marked in my/our demat account in favour of the trading member, and to re-pledge the same in favour of the relevant Clearing Corporation (ICCL / NCL / MCXCC, as applicable), for the purpose of meeting my/our margin obligations across segments, in accordance with the SEBI Margin Pledge Framework and as amended from time to time, subject to the following terms:

- (i) **Representation as to title.** I/We represent that the said Securities are owned by me/us and, to the best of my/our knowledge and belief, are free from any charge, lien, attachment or encumbrance. I/We undertake to inform the trading member promptly in writing if any such charge, lien, attachment or encumbrance comes to my/our notice subsequently.
- (ii) **Pledge mechanism.** I/We acknowledge that the said Securities will be subject to (a) a margin pledge created in favour of the trading member in my/our demat account, and (b) a corresponding re-pledge by the trading member in favour of the relevant Clearing Corporation. Securities offered for margin pledge in future shall be subject to the same representations and undertakings set out in this authorisation.
- (iii) **Authority to perfect the pledge.** I/We authorise the trading member to do all such acts, sign such documents, and submit such instructions to the depository as are necessary to create, maintain, modify or release the margin pledge and re-pledge contemplated under this authorisation. Depository charges, statutory levies and pledge-related fees as notified in the Tariff Sheet may be debited to my/our trading account in respect of such actions.
- (iv) **Priority of pledge.** I/We agree that the said Securities, while subject to the re-pledge in favour of the Clearing Corporation, shall be held to secure the trading member's obligations to the Clearing Corporation arising from my/our trades. During the subsistence of such re-pledge, my/our rights with respect to the said Securities shall be subject and subordinate to the rights of the Clearing Corporation under its Bye-laws, Rules and Regulations.
- (v) **Invocation by Clearing Corporation.** I/We acknowledge that the Clearing Corporation may invoke the re-pledge in accordance with its Bye-laws, Rules and Regulations, without further reference to or permission from me/us, and may apply the proceeds of such invocation towards settlement of the trading member's obligations arising from my/our trades. Such invocation, when carried out in accordance with the Clearing Corporation's Bye-laws, Rules and Regulations, shall be final and binding on the trading member and on me/us.
- (vi) **Permitted use of collateral.** I/We agree that the said Securities may be used by the trading member towards meeting margin requirements and clearing and settlement obligations across segments and exchanges in connection with my/our trades, and that the trading member may calculate my/our exposure limits on the basis of the collateral so provided, after applicable haircuts as notified by the Clearing Corporation or the trading member from time to time.

PART G · AUTHORISATION 13 (CONT.)

Margin Pledge Authorisation — continued

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137

- (vii) **Limitation of claims.** I/We acknowledge that any invocation carried out in accordance with the Bye-laws, Rules and Circulars of the relevant Clearing Corporation, in the ordinary course of clearing and settlement, shall not give rise to a claim by me/us against the trading member. Nothing in this clause shall limit my/our rights of recovery against the trading member arising from the trading member's negligence, wilful misconduct, breach of its obligations under the Member-Client Agreement, or non-compliance with my/our written instructions; nor my/our rights against the Clearing Corporation or the depository under SEBI regulations and the Bye-laws of the relevant Stock Exchange / Depository.
- (viii) **Substitution and release.** I/We may, at any time, request substitution or release of specific pledged Securities by giving written instruction to the trading member, subject to the maintenance of adequate margin coverage at the time of and after such substitution or release. The trading member may decline such request if the resulting margin position would fall below the minimum required level.
- (ix) **Corporate actions.** I/We acknowledge that the beneficial ownership of pledged Securities continues to vest with me/us, and accordingly all corporate action benefits — including dividends, bonus issues, stock splits, rights entitlements and voting rights — shall accrue to me/us in the ordinary course, subject to the Bye-laws of the relevant Depository and Clearing Corporation.
- (x) **Haircut variations.** I/We acknowledge that the haircut applied to pledged Securities may be varied by the Clearing Corporation, the relevant exchange, or the trading member from time to time on account of risk-management considerations, market volatility, regulatory directions, or scrip-specific factors. Such variation may result in a reduction of available margin without prior notice.
- (xi) **Notification of invocation.** Where the Clearing Corporation invokes the re-pledge, the trading member shall notify me/us by SMS and email to my/our registered contact details within one (1) working day of such invocation, providing details of the Securities invoked, the proceeds realised, and the application of such proceeds.

Signed by all holders.

Signature · Sole / First Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

PLACE _____

PART H · DEMAT OPERATIONS & OTHER ELECTIONS · F.3

Demat Debit and Pledge Instruction (DDPI)

Execution of Demat Debit and Pledge Instruction (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities.

SEBI Circular SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated 4 April 2022 (read with SEBI Clarification Circular dated 6 October 2022)

PLEASE FILL ALL DETAILS IN BLOCK LETTERS IN ENGLISH. Please mark (✓) on the appropriate box(es) in the signature grid below.

CLIENT NAME	NSDL DP ID	CLIENT ID
CLIENT CODE (TRADING)	DATE	PAN

I/We executing the Demat Debit and Pledge Instruction / authorisation in favour of **DealDepot Brokerage Pvt Ltd**, authorising them to operate the aforesaid beneficiary account for the below-mentioned specific purposes only. I/We acknowledge that the use of this DDPI is strictly limited to the four purposes set out below and shall not be used for any other purpose whatsoever.

SIGNATURE GRID — SIGN AGAINST EACH PURPOSE YOU AUTHORISE

Sr.	Purpose	Sign · First / Sole Holder	Sign · Second Holder	Sign · Third Holder
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.			
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.			
4.	Tendering shares in open offers through Stock Exchange platforms.			

Note on validity. This authorisation will continue to remain valid until revoked in writing by you, pursuant to SEBI Circular SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated 4 April 2022. The Demat Debit and Pledge Instruction document shall be effective from 1 September 2022 or from the date as prescribed in the said circular.

PART H · DEMAT OPERATIONS & OTHER ELECTIONS · F.3 (continued)

DDPI · Acceptance and Annexure A — List of Demat Accounts

I / WE ACCEPT

FOR DEALDEPOT BROKERAGE PVT LTD

Client

Stock Broker / Depository Participant

Authorised Signatory · Date

Authorised Signatory · Date

ANNEXURE A — LIST OF DEMAT ACCOUNTS (OPERATED BY DEALDEPOT BROKERAGE PVT LTD)

Pursuant to this DDPI, the trading member shall transfer / pledge securities to the demat account(s) listed below, which are pool / margin pledge accounts maintained by the trading member at NSDL / SHCIL.

Sr.	Client ID	DP ID	DP Name	Account Holder Name
1	10002068	IN303735	NSDL — DealDepot Brokerage Pvt Ltd	DealDepot Brokerage Pvt Ltd (Pool)
2	10037097	IN303735	NSDL — DealDepot Brokerage Pvt Ltd	DealDepot Brokerage Pvt Ltd (Pool)
3	10035704	IN303735	NSDL — DealDepot Brokerage Pvt Ltd	DealDepot Brokerage Pvt Ltd (Margin Pledge)
4	10040614	IN303735	NSDL — DealDepot Brokerage Pvt Ltd	DealDepot Brokerage Pvt Ltd (Margin Pledge)
5	10037089	IN303735	NSDL — DealDepot Brokerage Pvt Ltd	DealDepot Brokerage Pvt Ltd (Settlement)
6	10035712	IN303735	NSDL — DealDepot Brokerage Pvt Ltd	DealDepot Brokerage Pvt Ltd (Settlement)
7	00407882	16010100	SHCIL	DealDepot Brokerage Pvt Ltd (Pool)
8	07707878	16010100	SHCIL	DealDepot Brokerage Pvt Ltd (Margin)
9	00407897	16010100	SHCIL	DealDepot Brokerage Pvt Ltd (Settlement)

Scope is limited. No general Power of Attorney over the trading or bank account is conferred by this DDPI. The trading member shall not use this DDPI for any purpose other than the four purposes listed in the signature grid on the preceding page. Any debit instruction outside these four purposes is unauthorised and shall be reversed.

PART H · DEMAT OPERATIONS & OTHER ELECTIONS · F.4

DIS Booklet · Mobile / Email Declarations

Two short forms — choose the box that applies and sign.

(A) CONSENT FOR NON-ISSUANCE OF DIS BOOKLET

I/We do not require a physical Delivery Instruction Slip (DIS) booklet for the time being, since I/We have executed a Demat Debit and Pledge Instruction (DDPI) in favour of DealDepot Brokerage Pvt Ltd, which authorises the trading member to debit my/our demat account for stock exchange settlement obligations. I/We acknowledge that, notwithstanding this consent, a physical DIS booklet shall be issued to me/us promptly upon written request at any later date.

CLIENT NAME

PAN

SIGNATURE · DATE

(B) OPTION FOR ISSUANCE OF DIS BOOKLET ALONG WITH ACCOUNT OPENING

(To be filled by clients who have given Power of Attorney (POA) / executed a Demat Debit and Pledge Instruction (DDPI) in favour of a stock broker / Portfolio Manager to operate the depository account, and who do not intend to open a Basic Services Demat Account.)

I/We wish to receive a physical Delivery Instruction Slip (DIS) booklet along with the opening of my/our depository account.

CLIENT NAME

PAN

SIGNATURE · DATE

(C) DECLARATION FOR SAME MOBILE NUMBER / EMAIL ID

(To be completed where the mobile number or email ID being registered with the trading member is shared with a family member already registered with the trading member.)

CLIENT NAME

MOBILE NO.

The aforesaid mobile number belongs to: ☐ Self ☐ Spouse ☐ Parent ☐ Child ☐ Sibling ☐ Other

EMAIL ID

The aforesaid email ID belongs to: ☐ Self ☐ Spouse ☐ Parent ☐ Child ☐ Sibling ☐ Other

I/We declare that the above information is true and correct, that this contact information will be used to receive trade confirmations, contract notes, settlement intimations and other regulatory communications, and that I/we are aware of the implications of using a shared mobile number / email ID.

Signature · Client

Date

PART H · DEMAT OPERATIONS & OTHER ELECTIONS · F.5

Confirmation of Mode(s) of Order Execution

Tick all the channels through which you wish to place orders. Cross-reference: § 11 — Authority Letter for Order Instructions in Part G.

To: DealDepot Brokerage Pvt Ltd ("the trading member")

1223, P J Towers, Dalal Street, Fort, Mumbai 400 001 · SEBI Stockbroker Reg. No. INZ000257137 · NSDL DP Reg. No. IN-DP-663-2022

In supplement of the Authority for Order Instructions executed elsewhere in this kit, I/We hereby confirm and elect the following channels for the placement and execution of orders:

☐**Online platform**

Web / mobile app — authenticated by user ID, password, 2FA.

☐**Telephone**

Calls from registered mobile / landline; recorded by trading member.

☐**Email**

From registered email ID to designated dealing email of trading member.

☐**WhatsApp / SMS**

From registered mobile to trading member's designated dealing number.

☐**Branch / In-person**

Walk-in placement at any DealDepot branch with KYC verification.

☐**Authorised Person / Sub-broker**

Through SEBI-registered authorised person / sub-broker associated with the trading member.

Acknowledgement of risk for non-online channels. I/We acknowledge that orders placed by telephone, email, WhatsApp/SMS or in person carry inherent risks of misinterpretation, delay or transmission failure that do not arise in authenticated online channels, and that the trading member shall not be liable for loss arising from such risks where it has acted in good faith on my/our instructions.

Signatures of all account holders are mandatory.

Signature · First / Sole Holder

Signature · Second Holder

Signature · Third Holder

DATE _____

OFFICE USE ONLY

Account Opening Audit & Activation

To be completed by DealDepot personnel only. Client should not write below this line.

1 · DOCUMENT CHECKLIST

- | | |
|--|---|
| ☐ CKYC Master + joint addenda (Part A) | ☐ Form 9 — Demat AOF (Part B) |
| ☐ Trading preferences + F&O 9-of-10 (Part B) | ☐ FATCA & CRS Self-Certification (Part C) |
| ☐ Tariff Schedules A-1 & B (Part D) | ☐ Mandatory disclosures pack (Part E) |
| ☐ Nomination Form / Annexure B (Part F) | ☐ DPDP Consent · Client Declaration · Acknowledgement (Part F) |
| ☐ Authorisation letters (Part G — voluntary) | ☐ DDPI signed by all holders (Part H — voluntary) |
| ☐ DIS booklet election (Part H — voluntary) | ☐ Mode-of-execution confirmation (Part H — voluntary) |
| ☐ Cancelled cheque · ID & address proof · photographs | ☐ Section signatures on each Part E disclosure |

2 · IPV / VERIFICATION

MODE (IPV / VIPV / AADHAAR OTP / DIGI-LOCKER)

DATE · TIME

IPV DONE BY · EMPLOYEE CODE

BRANCH / LOCATION

ORIGINALS SEEN & VERIFIED

AUTHORISER · EMPLOYEE CODE

3 · UCC / DP ALLOCATION

UCC CODE

DEMAT (DP-CLIENT ID)

SEGMENTS ENABLED

ACTIVATION DATE

4 · APPROVAL & WELCOME

The above account has been opened in compliance with SEBI / Stock Exchange / Depository regulations and the trading member's internal account-opening policy. A welcome kit, login credentials and the executed copy of the kit have been dispatched to the client at the registered address and email.

COMPLIANCE OFFICER · SIGN

BRANCH HEAD · SIGN

STAMP & DATE