

INDIVIDUAL CLIENT REGISTRATION FORM

To,
FLORA SECURITIES
(Member of National Stock Exchange, of India Ltd.)
Office : Office No. 4, 2nd Floor, 11/13,
Botawala Building, Horniman Circle, Fort,
Mumbai - 400 001.
Tel. No.: 2266 1925, Fax : 2266 4846

CASH SEGMENT
NSE SEBI Regn. No. : INB 230677426

DERIVATIVES SEGMENT
NSE SEBI Regn. No. : INF 230677426

Affix recent photograph
Please sign across the
photograph

Dear Sir/Madam,

I request you to register me as your client and enable me to trade in the Cash & Derivatives Segment of The National Stock Exchange of India Ltd. I have read the Rules, Bye-laws and Regulations of the National Stock Exchange of India Ltd. I have also read risk disclosure document & client broker agreement attached herewith and I agree to abide by them. In this regard, I give the following information:

1. Name of the Client : _____
(Surname) (Name) (Middle Name)
2. Unique Identification No. (Where Obtained) :

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3. Sex : Male Female
4. Date of Birth - dd/mm/yyyy : _____
5. Marital Status : Single Married
6. Educational Qualification : _____
7. Residential Status : Indian NRI Other
8. Residence Address : _____

City : _____ Pin Code : _____
State : _____ Country : _____
Nationality : _____
Telephone No. _____
Fax No.: _____ Mobile : _____
E-mail : _____
9. Bank & Depository A/c. Details : *(Through which transactions will generally be routed)*
Bank Name : _____
Branch Address & Tel. No. : _____
Account Number : _____
Account Type : Saving Current NRI Others
(Copy of a canceled Cheque leaf/pass book/bank statement containing name of the constituent should be submitted)

Particulars of Demat A/c :- (All the pay-out will be transferred to Serial No.1)

S. No.	Client ID/BO	DP ID	DP Name	Address

(Copy of Demat Account Proof is to be attached)

10. Occupation (Tick Whichever is applicable) :
- | | | |
|---------------------------------------|--|-----------------------------------|
| <input type="checkbox"/> Employed | <input type="checkbox"/> Self Employed | <input type="checkbox"/> Business |
| <input type="checkbox"/> Professional | <input type="checkbox"/> House-Wife | <input type="checkbox"/> Other |
11. If Employed
- Name of Employer : _____
- Office Address : _____
- _____
- City : _____ Pin Code : _____
- State : _____ Country : _____
- Tel. No. _____ Fax No.: _____
12. If Self Employed/Business/ Professional/ Other
- Name of the Establishment : _____
- Office Address : _____
- _____
- City : _____ Pin Code : _____
- State : _____ Country : _____
- Tel. No. _____ Fax No.: _____
13. Financial Details of the Constituent : Income Range (Per Annum) (Tick Where applicable)
- | | | |
|-------------------|----------------|--------------------------|
| Below | Rs.1,00,000/- | <input type="checkbox"/> |
| Rs.1,00,000/- To | Rs.5,00,000/- | <input type="checkbox"/> |
| Rs.5,00,000/- To | Rs.10,00,000/- | <input type="checkbox"/> |
| Rs.10,00,000/- To | Rs.25,00,000/- | <input type="checkbox"/> |
| Above | Rs.25,00,000/- | <input type="checkbox"/> |
- Income Tax PAN No. (Attach the Proof) : _____
14. Investment/Trading Experience : No Prior Experience
- _____ Years in Stocks.
- _____ Years in Derivatives
- _____ Years in Other investment related field
15. Trading Preference :
- A. Stock Exchanges on which you wish to trade (if the member is registered for such Exchanges):
1. The National Stock Exchange of India Ltd. (NSE)
- B. Market segments you wish to trade (if the member is registered for such Segment)
1. Capital Market / Cash Segment
2. Derivatives Market

16. Whether registered with any other broker-Member(s) (If registered with multiple Member, Provide Details of all)

Name of Member : _____

Name of Exchange : _____ NSE _____

Client Code No. : _____

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

18. Introduced by : Another Constituent Partner Employee of TM Any other Person

Name of Introducer : _____
(Surname) (Name) (Middle Name)

Address : _____

Signature : _____

PAN No. of Introducer, If Any: _____

(Name and Designation of the employee who interviewed the Client) : Name: _____

Designation : _____

Signature of Employee : _____

18. **Declaration :**

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

Signature : _____ Date : _____

Name : _____ Place: _____

Account Settlement as per SEBI requirement

1) Once in Month 2) Once in Quarter

Inperson Verification

Emp. Name : _____ Emp. Code : _____

Designation : _____ Seal & Signature : _____

NOTE :

1. If any Information / Details required to be given does not fit in the form, Annexure may be used.
2. Each Client has to use one registration form. In case of joint names / family members please submit separate forms for each person.
3. In case PAN is not available, please attach proof of PAN applied or sign form no. 60
4. Information tendered herein is the sole property of trading member & would not be disclosed to any one unless required by law or except with the express permission of Client.
5. Photograph should be signed across by Client .
6. Originals will be required for verification at the time of submission of the application.
7. All Details / columns must be filled up.
8. In case of more than one bank A/c or registered with more than one broker then give details of all on separate paper.

FOR OFFICE USE ONLY

Unique Constituent Code : _____ Date : _____

Original Document Verified By : _____ Authorised By _____



CHECK LIST FOR NON - INDIVIDUAL CLIENT REGISTRATION FORM

Corporate / Other Firms / Partnership / Trust / HUF

S For Full Signature **I** For Initial

Copies of the following documents to be obtained after due verification with the original thereof.

An agreement between client and member specifying the terms & conditions for securities transactions and rights and obligation of client and member

1. Copies of the Balance Sheet for the last 2 Financial Years (Copies of Annual Balance Sheet to be submitted every year) if Co. has not completed two financial years then copy of such completed financial years.
2. Copies of latest shareholding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the Company secretary/ Whole time director/ MD. (Copy of updated shareholding pattern to be submitted every year)
3. Copies of the Memorandum & Articles of Association in case of a Company/body incorporate, Partnership Deed if in case partnership firm, Trust Deed if Trust.
4. Copy of Resolution of Board of Director's / Authorisation letter from Partners approving participation in equity/ Derivatives and naming authorized persons for dealing in securities & with Members.
5. Signature Verification letter from Banker certifying Authorised person(s) Signature.
6. Photographs of Partners/Trustee's/Karta's/Whole time Directors / individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorized to deal in securities.
7. Identity Proof & Address Proof of Karta', if HUF Client
8. PAN Proof Compulsory.
9. Demat Account Proof.
10. Copy of Bank Statement / Pass Book .

NON-INDIVIDUAL CLIENT REGISTRATION FORM

To,
FLORA SECURITIES
(Member of National Stock Exchange, of India Ltd.)
Office : Office No. 4, 2nd Floor, 11/13,
Botawala Building, Horniman Circle, Fort,
Mumbai - 400 001.
Tel. No.: 2266 1925, Fax : 2266 4846

CASH SEGMENT
NSE SEBI Regn. No. : INB 230677426

DERIVATIVES SEGMENT
NSE SEBI Regn. No. : INF 230677426

Dear Sir/Madam,

I/We request you to register me/us as your client and enable me/us to trade in the Cash & Derivatives Segment of The National Stock Exchange of India Ltd. I/We have read the Rules, Bye-laws and Regulations of the National Stock Exchange of India Ltd. I/We have read Risk disclosure document & Client-Broker agreement attached herewith and I/We agree to abide by them. In this regard, I/we give the following information:

1. Name of the Company / Firm : _____
2. Unique Identification No. :

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(Where Obtained)
3. Registered Office Address : _____

City : _____ Pin Code : _____
State : _____ Country : _____
Telephone No. _____
Fax No.: _____
E-mail : _____
4. Address for Correspondence : _____

City : _____ Pin Code : _____
State : _____ Country : _____
Telephone No. _____
Fax No.: _____
E-mail : _____
5. Date of Incorporation/Formation : _____
6. Date of Commencement of Business : _____
7. Nature of Business : _____
8. Registration No. (with ROC, SEBI : _____
or any Govt. authority
9. PAN No. (Attach Proof) : _____

10. Names of Promoters / Partners / Trustees / Karta with residential address

Sr. No.	Name	Address

11. Names of Whole time Director with residential address

Sr. No.	Name	Address

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

Sr. No.	Name	Designation	Address

13. Details of any action taken by SEBI/Stock exchange/any other authority against the constituent or its Partners / Promoters/ Whole time directors / authorized person in charge of dealing in securities for violation of securities laws/other economic offences

14. Bank & Depository A/c. Details : *(Through which transactions will generally be routed)*

Bank Name : _____

Branch Address & Tel. No. : _____

Account Number : _____

Account Type : Saving Current NRI Others

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

15. Particulars of Demat A/c :- (All the pay-out will be transferred to Serial No.1)

Sr. No.	Name	DP ID	DP Name	Address

16. Investment/Trading Experience : No Prior Experience

_____ Years in Stocks.

_____ Years in Derivatives

_____ Years in Other investment related field

17. Trading Preference : A. Stock Exchanges on which you wish to trade (if the member is registered for such Exchanges):
 1. The National Stock Exchange of India Ltd. (NSE)
 B. Market segments you wish to trade (if the member is registered for such Segment)
 1. Capital Market / Cash Segment
 2. Derivatives Market

18. Whether registered with any other broker-Member(s) (If registered with multiple Member, Provide Details of all)

Name of Member : _____

Name of Exchange : _____ NSE _____

Client Code No. : _____

19. Introduced by : Another Constituent Partner Employee of TM Any other Person

Name of Introducer : _____
 (Surname) (Name) (Middle Name)

Address : _____

Signature : _____

PAN No. of Introducer, If Any : _____

(Name and Designation of the : Name: _____
 employee who interviewed the Client)

Designation : _____

Signature of Employee : _____

20. Declaration :

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

Authorised Signatory : _____
 (with Company/Firm Seal)

Name : _____

Place : _____ Date : _____

Account Settlement as per SEBI requirement

1) Once in Month 2) Once in Quarter

Inperson Verification

Emp. Name : _____ Emp. Code : _____

Designation : _____ Seal & Signature : _____

NOTE :

1. If any Information / Details required to be given does not fit in the form, Annexure may be used.
2. In case PAN is not available, please attach proof of PAN applied or sign form no. 60
3. Information tendered herein is the sole property of trading member & would not be disclosed to any one unless required by law or except with the express permission of Client.
4. Originals will be required for verification at the time of submission of the application.
5. All Details / columns must be filled up.
6. In case of more than one bank A/c or registered with more than one broker then give details of all on separate paper.

FOR OFFICE USE ONLY

Unique Constituent Code : _____ Date : _____

Original Document Verified By : _____ Authorised By _____

Annexure

(Personal Details of Director / Partner / Authorised Signatory/ Trustee / Karta)

In connection with the Client Registration Application submitted to you by _____
of which I am the / a director / partner / authorised signatory / Trustee / Karta _____

I furnish you the following personal details relating to me :

1.	Name	:	_____	Affix recent photograph of Director/ Authorised Signatory Partner / Trustee Sign across the photograph
2.	Sex	:	_____	
3.	Date of Birth	:	_____	
4.	Designation	:	_____	
5.	Residential Address	:	_____ _____	
	Telephone No.	:	_____	Fax : _____
6.	Occupation	:	_____	
7.	Qualifications	:	_____	
8.	Experience	:	_____	
9.	Equity Stake, share or other interest in the Company/ Firm			
10.	Income Tax PAN/GIR No.	:	_____	
11.	Investment Experience	:	_____	Years in stocks
		:	_____	Years in Derivatives
		:	_____	Years in any other investment related field
12.	Bank Account Details			
	1) Name of the Bank	:	_____	
	2) Address	:	_____ _____	
	3) Telephone No.	:	_____	Fax : _____
	4) Account Type	:	_____	
	5) Account No.	:	_____	
13.	Whether registered with any other broker-Member (s) :			
	Name of Member	:	_____	
	Name of Exchange	:	_____	
	Client Code No.	:	_____	

The information furnished above is true to the best of my knowledge and belief, and I undertake to immediately keep you informed in writing of any changes therein. I also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted therefrom, the above mentioned company / firm / _____ and I would be liable to be debarred from doing business both in the Derivatives and Cash segments. I also agree to furnish such further information as the member or the Exchange may require from me and I agree that if I fail to give such information, the member shall have the right to cancel the above mentioned company / firm / _____'s registration and the Exchange shall have the right to debar the above mentioned company / firm / _____ and me from doing business both in the Derivatives and Cash Segments.

Date : _____

Signature : ⊗ _____

Name : _____

Note : If any information required to be given does not fit in the form, an annexure may be used.

Enclosures :

1. Copy of any one of the following proof of identity : Passport / Ration Card / Driving License / Voter's Identity Card.
2. Letter from Banker Certifying Account number of the Director / Partner / Promoter / Authorised Signatory, his Signature and his photograph.

Annexure

(Personal Details of Director / Partner / Authorised Signatory/ Trustee / Karta)

In connection with the Client Registration Application submitted to you by _____
of which I am the / a director / partner / authorised signatory / Trustee / Karta _____

I furnish you the following personal details relating to me :

1.	Name	:	_____	Affix recent photograph of Director/ Authorised Signatory Partner / Trustee Sign across the photograph
2.	Sex	:	_____	
3.	Date of Birth	:	_____	
4.	Designation	:	_____	
5.	Residential Address	:	_____ _____	
	Telephone No.	:	_____ Fax : _____	
6.	Occupation	:	_____	
7.	Qualifications	:	_____	
8.	Experience	:	_____	
9.	Equity Stake, share or other interest in the Company/ Firm			
10.	Income Tax PAN/GIR No.	:	_____	
11.	Investment Experience	:	_____ Years in stocks _____ Years in Derivatives _____ Years in any other investment related field	
12.	Bank Account Details			
	1) Name of the Bank	:	_____	
	2) Address	:	_____ _____	
	3) Telephone No.	:	_____ Fax : _____	
	4) Account Type	:	_____	
	5) Account No.	:	_____	
13.	Whether registered with any other broker-Member (s) :			
	Name of Member	:	_____	
	Name of Exchange	:	_____	
	Client Code No.	:	_____	

The information furnished above is true to the best of my knowledge and belief, and I undertake to immediately keep you informed in writing of any changes therein. I also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted therefrom, the above mentioned company / firm / _____ and I would be liable to be debarred from doing business both in the Derivatives and Cash segments. I also agree to furnish such further information as the member or the Exchange may require from me and I agree that if I fail to give such information, the member shall have the right to cancel the above mentioned company / firm / _____'s registration and the Exchange shall have the right to debar the above mentioned company / firm / _____ and me from doing business both in the Derivatives and Cash Segments.

Date : _____

Signature : _____

Name : _____

Note : If any information required to be given does not fit in the form, an annexure may be used.

Enclosures :

1. Copy of any one of the following proof of identity : Passport / Ration Card / Driving License / Voter's Identity Card.
2. Letter from Banker Certifying Account number of the Director / Partner / Promoter / Authorised Signatory, his Signature and his photograph.

CLIENT REGISTRATION AGREEMENT (NSE)

This agreement is made and executed at _____ this _____ day of _____ 20____ between: M/s. **FLORA SECURITIES** a partnership firm incorporated under the provisions of the Indian Partnership Act, 1932 being a member of the National Stock Exchange Ltd., (hereinafter called "the Exchange"), and having its registered office at Office No.4, 2nd Floor, 11/13, Botawala Building, Horniman Circle, Fort. Mumbai - 400 001. (hereinafter called "the stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the **Derivatives Segment, Cash Segment**, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

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

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

Whereas the stock broker is registered as the stock broker of the Exchange with SEBI registration number **INB 230677426** in the Capital Market/ Cash Segment and SEBI registration number **INF 230677426** in the Futures and Options Segment.

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

Whereas the client has satisfied itself of the capacity of the stock broker to deal in securities and/or deal in 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.

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

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

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

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

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

not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange/SEBI.

4. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
5. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
6. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Bye-laws and circulars.
7. The client agrees to immediately furnish information to the stock broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
8. The stock broker agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes herein 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.
9. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.
10. **The stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.**
11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
12. 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 it may have had transactions in securities.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).
16. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
17. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
22. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and

obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

23. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.
25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person/ authority except as required under any law/regulatory requirements; Provided however that the stock broker may so disclose information about its his client to any person or authority with the express permission of the client.
27. The Stock broker hereby disclose that it does client based business and proprietary trades as well.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

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

Signed for and on behalf of

Signed for and on behalf of

MEMBER:

CLIENT :

FOR FLORA SECURITIES

Signature : ⊗ _____

Partner

Title :

Witness :

Witness :

1. _____

1. _____

2. _____

2. _____

TRIPARTITE AGREEMENT BETWEEN STOCK BROKER, SUB-BROKER AND CLIENT

This Agreement (hereinafter referred to as "Agreement") is entered into on this _____ day of _____ 20____, by and between M/s. FLORA SECURITIES (name of the stock broker) (hereinafter referred to as "the stock broker"), a _____ (type of entity) and having his/its office/registered office at Office No. 4, 2nd Floor, 11/13, Botawala Building, Horniman Circle, Fort. Mumbai - 400 001. which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

AND

_____ (name of the sub-broker) (hereinafter referred to as "the sub-broker"), a _____ (type of entity) and having his/its office/registered office at _____ (address), which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Second Part;

AND

_____ (name of the client of the sub-broker) (hereinafter referred to as "the client"), an individual/a _____ (type of entity) and having his /its residence/office/ at _____ (address) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Third Part;

WHEREAS

1. The stock broker states that it is engaged, in the business of stock broking and is a Member of The National Stock Exchange of India Ltd. (hereinafter referred to as "the stock exchange") with SEBI registration Number(s) **INB 230677426**
2. The sub-broker states that :
 - a) The sub broker is recognized by _____ {Name of the stock exchange(s)} as a sub-broker affiliated to the stock broker of the stock exchange with sub-broker SEBI registration Number (s) _____.
 - b) The sub-broker is not affiliated to any other member of the same stock exchange,
 - c) The sub-broker has the necessary infrastructure like adequate office space, equipment and manpower to effectively discharge his/its activities.
3. The Client is registered with the sub-broker as a client for purpose of availing broking services through the sub-broker affiliated to the stock broker and is desirous of investing/trading in those securities/contracts/other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder from time to time. A copy of the Client Registration form is annexed hereto.
4. Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and
5. Whereas the stock broker has taken steps and shall take steps to make the client aware of the precise nature of the Stock broker's/sub broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker/sub broker acts.

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

1. The stock broker and sub broker hereby acknowledge and confirm that the sub-broker is affiliated to the stock broker and that the sub-broker shall within the scope of the authority given under these presents, be entitled to act as a 'sub-broker' within the meaning and subject to SEBI (Stock Brokers and Sub-Brokers) Rules, 1992 and SEBI (Stock Brokers and Sub-Brokers) Regulations 1992 (hereinafter referred to as the said "Rules" and "Regulations" respectively) as amended from time to time, for assisting the client in buying, selling or dealing in securities through the stock broker.
2. The stock broker, the sub-broker and the client agree that they shall abide by all the statutory responsibilities and obligations imposed on them by the rules, regulations and / or any other rules or regulations applicable to the stock brokers, the sub-brokers and the clients in general either framed by SEBI or by the relevant stock exchange/clearing corporation and/or any Government Circulars.
3. The stock broker and the sub broker declare that they have brought the contents of the risk disclosure document to

the notice of client and made him aware of the significance of the said document. The client agrees that:

- a) He has read and understood the risks involved in trading on a stock exchange.
 - b) He shall be wholly responsible for all his investment decisions and trades.
 - c) The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
 - d) He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 - e) Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
4. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker \ the sub-broker renders to the Client. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange/SEBI.
 5. The stock broker and the sub broker agree that they shall co-operate and help each other in redressing grievances of the client in respect of transactions routed through them and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the clients of sub-broker from the member and vice-versa.
 6. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
 7. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Bye-laws and circulars.
 8. The stock broker and the sub-broker agree that each of them shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through them and they shall not jointly or severally do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
 9. The stock broker agrees to inform the sub-broker/client and keep them apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the sub-broker/client to comply with such schedules/procedures of the relevant stock exchange.
 10. The sub broker will provide assistance to stock broker and client to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
 11. The stock broker shall issue, individually for each client of his sub broker, contract notes in the format prescribed by the relevant stock exchange. The sub-broker shall render necessary assistance to his client in obtaining the contract note from the stock broker.
 12. The stock broker, the sub-broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
 13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
 14. The stock broker and the sub-broker hereby agree that they will assist and co-operate with each other in ensuring faster settlement of any arbitration proceedings arising out of the transactions entered into between them vis-à-vis the client and they shall be jointly or severally liable to implement the arbitration awards made in such proceedings. In case of an award against a sub broker, if the sub broker fails to implement the award, the stock broker shall be liable to implement the same and would be entitled to recover the same from the sub broker.
 15. The stock broker and the sub-broker hereby agree that all transactions in securities on behalf of the clients of the sub-broker shall be settled by delivery and/or payment, between the stock broker and the client in accordance with the provisions of rules, bye-

- laws and regulations of the relevant stock exchange on which the transactions took place and subject to the procedures for settlement of transactions laid down by the relevant stock exchange from time to time.
16. Information about default in payment/delivery and related aspects by a client, including that of a sub broker as a client shall be brought to the notice of the relevant stock Exchange(s) by the stock broker. In case where defaulting sub broker/client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s) by the stock broker.
 17. The stock broker, the sub-broker or the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties at their respective addresses mentioned below. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
 18. In the event of sub broker terminating this agreement and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate the agreement by giving a notice in writing of not less than one month.
 19. This agreement shall forthwith terminate;
 - i) if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled;
 - ii) upon the demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or /with-drawal of recognition of the sub-broker by the stock exchange. Provided however, in such an event, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimate to the stock broker or the stock broker intimates to the client his/its intention to terminate the agreement by giving one month notice in writing.
 20. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
 21. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result therefrom.
 22. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
 23. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
 24. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, member shall be entitled to cancel the respective contract(s) with client(s).
 25. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
 26. The client agrees to immediately notify the stock broker/sub broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker/sub broker at the time of opening of the account or at any time thereafter.
 27. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
 28. In addition to the specific rights set out in this Agreement, the stock broker, the sub-broker and the client shall be entitled to exercise any other rights which the stock broker, sub broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.

29. The stock broker and the sub-broker hereby undertake to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that they shall not disclose the same to any person/authority except as required under any law/ regulatory requirements: Provided however that the stock broker or sub-broker may so disclose information about his client to any person or authority with the express permission of the client.
30. The client agrees to immediately furnish information to the stock broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
31. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

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

Member	Sub-broker	Client
<p>Flora Securities</p> <p>Member : The National Stock Exchange of India Ltd.</p> <p>Address : Office No. 4, 2nd Floor, 11/13, Botawala Building, Horniman Circle, Fort. Mumbai - 400 001.</p> <p>Sebi Registration No.</p> <p>Cash Segment : INB 230677426</p> <p>Derivatives Segment : INF 230677426</p> <p>For Flora Securities</p> <p>Partner</p> <p>Witness : _____</p>	<p>_____</p> <p style="text-align: center;">⊗</p>	<p>_____</p> <p style="text-align: center;">⊗</p>

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

Member's Name: FLORA SECURITIES
Member's SEBI registration number: INB230677426 / INF 230677426
Mrs. Priti Bhansali / Mr. G. C Lodha (Partner)

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

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

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

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

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

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

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

1. BASIC RISKS INVOLVED IN TRADING ON THE STOCK EXCHANGE (EQUITY AND OTHER INSTRUMENTS)

1.1 Risk of Higher Volatility: Volatility refers to the dynamic changes in price that securities undergo when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security/contract, greater is its price swings. There may be normally greater volatility in thinly traded securities/contracts than in active securities/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 / 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 / contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / contracts purchased or sold. There may be a risk of lower liquidity in some securities / contracts as compared to active securities / contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying/selling without intention of giving and/or taking delivery of a security, as part of a day trading strategy, may also result into losses, because in such a situation, stocks may have to be sold/purchased at a low/high prices, compared to the expected price levels, so as not to have any obligation to deliver/receive a security.

1.3 Risk of Wider Spreads: Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal

spreads for less liquid or illiquid securities / contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders: Most Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc". The placing of such orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

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

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

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / contract, and such order gets activated if and when the stock / 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 stock 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 stock / contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

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

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

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

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may

be delays in order execution and its confirmations.

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

1.8 System/Network Congestion: Trading on NSE is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of 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.

2.1 Effect of "Leverage" or "Gearing" 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 principal investment amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives trading 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 equivalent to the principal investment amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

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

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

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

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

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

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

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

2.3 Risks of Option Writers: 1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. GENERAL

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

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

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

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

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

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

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

Customer/Client Signature : _____

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

ANNEXURE-1 INVESTORS' RIGHTS AND OBLIGATIONS

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

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

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

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

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

1.3 You should exercise due diligence and comply with the following requirements of the NSE and/or SEBI:

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

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

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

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

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

1.3.6 Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order no., trade number, trade time, trade price, trade quantity, name of security, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE, without delaying.

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

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

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

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

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

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

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

1.6 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye-laws and the scheme under the Investors' Protection Fund (IPF) may be payable first out of the amount vested in the Committee for Settlement of Claims against Defaulters, on pro-rata basis if the amount is inadequate. The balance amount of claims, if any, to a maximum amount of Rs.10 lakhs per investor claim, per defaulter/expelled member may be payable subject to such claims being found payable under the scheme of the IPF.

Notes:

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE for the purpose of acquiring and / or selling of securities through the mechanism provided by NSE.
2. The term 'member' shall mean and include a member or a broker or a stock broker, who has been admitted as such b NSE and who holds a registration certificate as a stock broker from SEBI.
3. NSE may be substituted with names of the relevant exchanges, wherever applicable.

POLICIES & PROCEDURES

Policies and Procedures adopted by FLORA SECURITIES (hereinafter called 'FLORA SECURITIES'):

Refusal of orders for penny stocks -

Flora Securities does not encourage trading in penny stocks or securities falling in T2T or Z group of BSE and reserves its right to refuse orders in such securities from the clients desiring to deal in such shares, stocks, securities.

Under exceptional circumstances and considering merits on case to case basis, trading in penny stocks/T2T/Z category may be allowed to clients on delivery basis subject to stringent verifications of the client holdings, intentions and bonafide reasons given by the intending clients. Further trading limits will be allowed subject to the client making margin payments, history of the client, trading platform, intention of doing the trades. The said additional trading limits may not be allowed on a regular basis to the client/s.

However if it is observed that client/s is/are indulging in trading activities only in penny stocks or securities falling in T2T or Z group of BSE or carrying on any insider trading activity, the client account maybe immediately suspended without any reasons being given to the client/s.

Further client's traded volumes vis-à-vis market volumes will be considered and 15% of market volumes will be allowed or such market volume as decided by Flora Securities from time to time, subject to due diligence of the RMS and Compliance department.

Setting up client's exposure limits -

Exposures shall be allowed based on the clear credit balance in client's ledger + stocks lying in beneficiary account with Flora Securities + margins (securities and cash) with Flora Securities. However, Flora Securities may at its own discretion allow additional exposure as per credit balances in client account/cash margins/collaterals deposited by the clients or client's track record.

Further the client agrees not to take any fresh positions in securities/contracts in F&O under ban period as and when put by the exchanges. The client shall bear the penalty, if any, charged by the exchange on such tradings.

Imposition of penalty/delayed payment charges by Flora Securities NSE

Flora Securities will apply delayed payment charges (DPC) at the rate of 15 % p.a. on a daily basis from the settlement date on all outstanding obligations. The client understands that such DPC is deterrent in nature & as such Flora Securities can not be assumed to be financing/funding the client's settlement obligations.

Flora Securities reserves its right to change the DPC rate at its sole discretion without assigning any reason therefore. Any change in DPC shall be communicated to the Client/s at least 10 (Ten) days in advance.

Right to sell clients' securities or close clients' positions -

The Flora Securities NSE will have the right to close out all open positions or sell client's securities, without any notice to clients, as and when the client defaults in his settlement/sale delivery/margin/MTM obligations in any segment of the exchanges. The close out/selling will be only to the combined extent of shortages in Margins/MTM or settlement obligations on all segments of exchanges.

Internal Shortages -

In case of an internal shortage in any scrip in the same settlement where both buyer & seller are clients of Flora Securities and seller does not deliver shares for his pay-in obligation:-

The short delivering client is provisionally debited by an amount equivalent to 125% of the rate at which the stock was sold by client.

The securities delivered short are purchased from the market on T+3 day which is the Auction day on Exchange, and the purchase consideration is debited to the short delivering seller client along with the reversal entry of provisional amount debited earlier.

If securities can not be purchased from market due to any force majeure condition, then all shortages not bought-in are deemed to be closed out and short delivering seller client is debited for Exchange NSE as under:

Exchange NSE: at the higher of (i) the highest price between the first day of the trading day till the day of squaring-off, or (ii) closing price on the auction day plus 20%

Exchange BSE : at the higher of (i) highest price recorded in the scrip from the trading day on which the transaction took place upto a day prior to the day of the auction i.e., pay-in day, or , (ii) 20% above the closing price on the day prior to the day of auction i.e., pay-in day

Restrictions or Regulations on Dealings of clients -

Flora Securities shall decide, from time to time, the volume of business which the client shall be allowed to transact. However, Flora Securities shall have absolute discretion of reducing/restricting or zeroing the volumes of the client without any prior intimation/notice to the client interalia, in particular F&O segment having regards to:

1. Failure by the client to maintain the applicable collaterals/margins with the member as per the Stock Exchanges Byelaws, Rules and Regulations and Circulars and Guidelines of SEBI.

2. The client may not be allowed to take fresh positions if any client's intraday mark to market loss crosses 70% of the base margin. Client may be asked to close all the position if the intraday mark to market loss crossed 80% of the base margin.
3. Delays by the client in meeting its obligations/dues relating to the business/dealings done by the client under this Member Client Agreement (mandatory and voluntary clauses).
4. Observing/discovery any abnormal behaviour/action/deed/trading pattern of the client's dealing with the member for eg. Cheque bouncing, non fulfilment of sale obligation, any regulatory action taken by any of the regulations, ban of the client by SEBI etc.
5. Any restrictions in relation to volume of trading/outstanding business or margins stipulated by Stock Exchanges.
6. Volatility in the market/market segments of respective stock exchanges
7. In view of impending price sensitive announcements by the Exchanges/Listed Companies.
8. Political/financial instability in the country or otherwise.
9. Presence of any other price sensitive factors in the economy
10. In shares of a company where the merchant banking/investment banking department is doing some due diligence or managing an assignment for the company.
11. In scrips which are relisted and where the circuit filters are not applicable on the day of relisting.
12. Orders for buying/selling 1 (one) share will be not allowed except for high value scrips after considering the client's history and trading pattern.

Suspending a client -

Flora Securities may send show-cause notice to a client and/or temporarily suspend a client for further trading and/or temporarily withheld funds & securities payouts, if Flora Securities has reasons to take such action which may arise due to the alerts generated by its Risk Management/Surveillance System and demand reasons/explanations from such client. The account of such client may be suspended till such time suitable explanations are not received.

Flora Securities shall temporarily suspend or close a client's account at the request of client within 24 hours of having received client's such request.

De-registering a client -

Flora Securities will de-register a client without any prior intimation/notice, in addition to the termination clause of the client member agreement, with regards to:

- a. The Client has found to be of unsound mind by a court of competent jurisdiction and the findings is in force
- b. The Client becomes un-discharged insolvent
- c. The Client applies to be adjudicated as an insolvent
- d. The Client has been convicted by a Court of any offence involving moral turpitude
- e. The client being declared a defaulter by any of the regulatory bodies of the country or under any law being in force
- f. In the event of Flora Securities NSE becoming aware of any proceedings being initiated against the client by any of the regulatory bodies of the country or under any law being in force or the client being involved in any criminal proceedings or any illegal business or the member becoming aware of the client's past offences which are illegal or prohibited by the regulatory bodies of the country or under any law being in force.
- g. The death of the client.
- h. The depository account with member is closed and no alternative depository account details are provided.
- i. The client makes a voluntary written request to de-register itself/himself.
- j. In the event of client defaulting in meeting its obligations.
- k. On the specific written directions of any statutory/legal authority/Regulatory Authority.

IV. Policy for Dormant Accounts:

A) Definition of Dormant Account & Limitations/Restrictions on such Account:

An account (irrespective whether having debit or credit balance) shall be classified as dormant account in case there are no transactions (trade, payment, receipts) for a period in excess of 6 Months from the last transaction date. The following limitation / restriction shall apply to a dormant account unless the same is re-activated:

- Account shall be frozen for further transaction
- Pay-out of funds and/or securities will be retained by the Flora Securities NSE

B) Information to clients:

In the interest of the clients, as & when any account has been classified as dormant accounts as above the client shall be informed through either direct phone or mail or letter to the contact details/address last available with the company within seven days of such classification.

C) Re-activation of Dormant Accounts:

A dormant account can be re-activated when the client submits a formal application stating the reasons for non-operation and provide the proof of identity. After due verification by the company the account shall be re-activated.

The company shall levy Rs 100/- as charge for re-activation, subject to waiver if authorized.

I have read and understood the above policy for RMS and Controls of the Flora Securities and state that I will strictly abide by the conditions laid in this policy.

Latest version of the policy is available at the trading member(s), website www.florasecurities.com.

Client Signature : ⊗ _____

VOLUNTRY DOCUMENTS

THE CLIENTS ARE REQUIRED TO NOTE THAT THE BELOW MENTIONED CLAUSES ARE NOT MANDATORY AS PER THE EXCHANGE /SEBI REQUIREMENTS BUT ARE BINDING ON THE CLIENT IF THEY WANT TO AVAIL THE SERVICE OF FLORA SECURITIES THE : CLIENT MAY REVOKE ANY OR ALL THE CLAUSES OF THIS DOCUMENT BY COMMUNICATIONS IN WRITING AND IN SUCH AN EVENT THE BROKER RESERVES A RIGHT TO TERMINATE SOME OR ALL THE SERVICES PERMITTED TO THE CLIENTS.

1. We hereby declare that in addition to trading on behalf of client, we also undertake / doing proprietary/self trading on our own account.
2. All debits/charges incurred by the Stock Broker due to bad/short/delayed deliveries made by the Client shall be fully recovered by the Stock Broker from the Client.
3. The Stock Broker reserves the right to make such changes to this Agreement as may be considered necessary from time to time. Changes by the Stock Exchanges/other Regulators shall be with immediate effect, under changes shall be effective from the time the Client is notified thereof and authorised to that effect unless otherwise required by the Rules, Regulations & Bye - Laws of the Stock Exchange(s) or Rules & Regulations of SEBI.
4. The Client agrees that the Stock Broker shall not be liable or responsible for non execution of orders placed through trading terminals/website or through any other mode due to the failure of any system or link or due to any other reason whatsoever. The Stock Broker also reserves the right of refusing to execute any particular transaction.
5. The Client authorizes the Stock Broker to retain order confirmation /modification / cancellation / trade confirmation slips and to sent it to him only on specific request being made in this regard.
6. The Client agrees to collect the Contracts for the deal executed and in case of non-collection, the Stock Broker may dispatch the contract notes through ordinary post, courier or through any other mode at the address mentioned in this agreement or at any other address expressly informed to the Stock Broker by the Client and it shall be deemed to be effective delivery of the contract note to the Client.
7. The Client shall indemnify and keep indemnified the Stock Broker harmless form and against all claims, demands, actions, proceedings, loss, damages, liabilities, changes and / or expenses that are occasioned or may be occasioned to the Stock Broker directly or indirectly as a result of bad delivery of shares /securities and / or a result of fake /forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealings / operations on the Exchange.
8. The Stock Broker shall not be responsible for delay or default in the performance of its obligations due to contingencies beyond its control, such as fire, flood, civil commotion, earthquake, war, strikes, failure of the systems, failure of the internet links or government/regulatory action, exchange or market rulings, suspension of trading.
9. Right of set off : The Stock Broker shall have the right to set off the balances of the Client with Stock Broker in any account(s) in any Segment / exchange with respect to money and securities. All monies, securities or other property which the Stock Broker may hold on client's account shall be held subject to a general lien for the discharge of the Client's obligations to the Stock Broker
10. The Client is responsible for all orders, including orders that may be executed without the required margin in the client's t. If the client's order is executed despite the shortfall in available margin, the Client shall whether or not the Stock Broker intimated such shortfall either through delivery of shares in the event of sale or credit the required fund in the bank account via personal cheque, cashier's cheque or money order or account transfer or any other mode.
11. The Client acknowledge that the Stock Broker shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of security or investment.
12. The Client agrees that in the event of the Stocke Broker or any employees or official of the Stock Broker providing any information, to the Client the Client may act upon the same at the sole risk and cost of the client, and the Stock Broker shall not be liable or responsible for the same.
13. The Client assumes full responsibility with respect to his investment decisions and transactions.

FROM : _____

Client Signature :⊗ _____

AUTHORISATION LETTER TO MAINTAIN RUNNING TRADING ACCOUNT

FLORA SECURITIES.

Date _____

Office No.4, 2nd Floor, 11/13, Botwala Bldg.,
Horniman Circle, Fort, Mumbai - 400 001.

Sir,

I/We have opened a Trading Account No. (Client Code) _____ with FLORA SECURITIES (hereinafter 'FLORA SECURITIES') and desire to do trading & investing on various segments of various Exchanges. In order to facilitate my/our operations with FLORA SECURITIES, I/We request and authorize FLORA SECURITIES:

- a) To maintain my/our account as a running account for funds & securities instead of settlement-to-settlement (bill-to- bill) clearance of funds & securities due to me/us & agree that FLORA SECURITIES shall not be liable for any loss or for any consequential, incidental, special or exemplary damages, indvertently caused by retention of such securities & funds.
- b) To retain pay out of funds & securities without any interest payable on such retention and agree that FLORA SECURITIES may charge me/us the cost of holding such securities in it's account.
- c) To release the funds & securities to me/us on my/our written request subject to me/us keeping sufficient margins & settlement obligations in respect to my/our trading across the Stock Exchange(s) and the segments of the StockExchange(s) and agree that FLORA SECURITIES may charge me/us the cost of holding such securities in its account.
- d) To completely settle the funds and securities periodically but atleast once in a quarter except retention to the extent of margin etc due on outstanding obligations on the settlement date as prescribed by the Exchanges.
- e) I/We noted that you trade on your PRO/OWN account.

I/We shall bring any dispute arising from the statement of account or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be. I/We hereby understand & agree that if no queries are raised by me/ us in respect of the transactions those appearing in the statement within said period, the statement is treated as Completely Accepted by me/us.

Further, I/We agree that the authorization given above is valid for one year from the date mentioned herein and hence, the same will be renewed every year. I/We agree that the above authorization may be revoked at any time after giving 15 days' notice in writing on either side.

Client Name _____

Client Signature : _____

VOLUNTRY

Place: _____

Date: _____

From,

Name of the Client : _____ Client Code: _____

Address : _____

To,

Trading Member : **FLORA SECURITIES.**
Office No. 4, 2nd Floor, 11/13,
Botawala Building, Horniman Circle,
Fort. Mumbai - 400 001.

Respected Sir,

Sub.: Authorisation in Case of Default

Attention of the client is drawn at the Clause No.6 of The Mandatory Agreement which is quoted below for ready reference.

quote :

" Without prejudice to the Stock Broker's other rights (including the right to refer a matter to arbitration), the Stock Broker shall be entitled to repudiate /close out all or any of the Client's position for non-payment of margins or other amounts, outstanding debts, etc and adjust the proceeds of such liquidation /close out, if any, against the Clients liabilities / Obligations. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by Client"

Unquote :

As a result the client's are required to note that the broker reserves the rights to sell the holdings belonging to the client and square off the open position in case the client defaults in fulfilling the requirement of all debits, margin, obligations or any other Statutory Charges recoverable by the broker.

Client Signature : ⊗ _____

FROM : _____

To,

FLORA SECURITIES
Office No. 4, 2nd Floor, 11/13,
Botwala Building, Horniman Circle,
Fort, Mumbai - 400 001.

I/WE authorise you to keep/sell/my /our shares purchase from you, and adjust against my/our outstanding amount payable to you.

Thanking you,
Yours faithfully,

Client Name _____

Client Signature : ⊗ _____

VOLUNTRY

To,
Trading Member : **FLORA SECURITIES**.
Office No. 4, 2nd Floor, 11/13,
Botawala Building,
Horniman Circle, Fort,
Mumbai - 400 001.

Sub.: Letter of Authority-Cash and / or Futures & Options Segment of NSE

I/We am/are your Client in NSE Cash and/or Derivatives Segement having account in the name of _____ Code No. _____. I/We hereby request and authorise you for the following matters for my/our dealing in the Cash and futures & Options Segment of NSE.

1. To maintain running account for my / our settlement obligation in cash segment / Mark to Market and Initial margin account in Futures and Option Segment.
2. No cheque to be issued to me/us towards credit balance in my/our account, unless specifically demanded by me/us & only to the extent of amount demanded by me /us & with held funds towards all applicable margins. Also no interest shall be payable to me/us on such withheld amount.
3. To Transfer the amount of mark to market required on a daily basis from my/our initial margin account credit, to my mark to market account & vice versa.
4. To adjust the pay-out of funds and securities of one settlement against the pay-in of funds and securities, if any, for subsequent settlements, wherever required.
5. To undertake any inter account transfer of balances available between various segments i.e Cash Segment to Derivatives Segment & vice versa.
6. To undertake transfer of balances & securities, if needed among my/our family member dealing with you.
7. To retain the demat shares with you, for shares bought through you, for inter settlement adjustments or towards Margins. I/We undertake to bear all the charges in respect of the aforesaid adjustments.
8. To issue me / us weekly bills for transactions at Futures & Options Segment of NSE.
9. To accept all my/our order verbally or on phone or in any other manner decided mutually by us from time to time. I/We will not dispute in any manner about same & it will be binding to me/us.

Thanking You,
Yours faithfully,

Client Name _____

Client Signature : ⊗ _____

DECLARATION

TO WHOM SO EVER IT MAY CONCERN

I/WE Mr. / Mrs. / M/s. _____ hereby declare that all trades entered by me with **FLORA SECURITIES** on NSE are for my personal / family account.

I confirm I/WE do not operate for any client and no contracts are issued by me.

Client Name _____

Client Signature : ⊗ _____

VOLUNTRY

FROM : _____

To,
FLORA SECURITIES
SEBI Registration No. : NSE : CASH : INB 230677426
SEBI Registration No. : NSE : F&O : INF 230677426
Office No. 4, 2nd Floor, 11/13, Botawala Building, Horniman Circle, Fort. Mumbai - 400 001.

Dear Sir,

SUB : LETTER OF AUTHORITY FOR ADJUSTMENT OF BALANCES IN FAMILY ACCOUNTS

Sr. No.	Name of the Person	Client Code	Signature

We the above mentioned family members are existing clients of FLORA SECURITIES (FS) and have been regularly trading and investing with you on NSE. For the purpose of operations with you, we agree to be treated as a family account.

In order to facilitate operations we hereby authorise you to set off the outstandings in any of the above mentioned accounts against credits available or arising in any of the above accounts, irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of exchange &/or against the value of cash margin or collateral shares provided to you by any member(s) of the family.

We agree to intimate you from time to time of any additions or deletions of clients to the said family. We agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all the accounts of the clients belonging to the family.

In order to facilitate operations, we authorise the Member to maintain a running account instead of settlement to settlement clearance of dues or delivery of securities to us.

We have affixed our signatures above consenting to the above mentioned terms of adjustments.

We understand that this is an irrevocable authority till such time an intimation is given in writing to the contrary by any one or all of us.

Client Name _____

Client Signature : ⊗ _____

Acknowledgement

To,
FLORA SECURITIES.
Office No. 4, 2nd Floor, 11/13,
Botawala Building, Horniman Circle,
Fort, Mumbai - 400 001.

Sir,

I / We have read and understood Flora policies and procedures and also accepted the terms and conditions mentioned in the various agreements of the KYC form

I / We hereby acknowledge receipt of copy of duly executed KYC form with supporting documents and POA bearing trading code no. _____.

Yours faithfully,

Client's Signature(s): _____

Client Name : _____

CLIENT REGISTRATION FORM AGREEMENT / TRIPARTITE AGREEMENT

Client Name : _____

Client Code: _____ Branch : **INDORE** _____



FLORA SECURITIES

MEMBER : THE NATIONAL STOCK EXCHANGE, OF INDIA LTD.

Office : Office No. 4, 2nd Floor, 11/13, Botawala Building, Horniman Circle,
Fort, Mumbai - 400 001. Tel. : 2266 1925 Fax: 2266 4846

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Check-List for KYC form (for office use only)
Documents required

GROUP A - Compulsory Requirement	Identity Proof	Address Proof	Bank Proof	Financial Details
PAN card (Verified with Income Tax site)	Yes	No	No	No
Group B				
Address proof :				
Passport*	Yes	Yes	No	No
Voter ID	Yes	Yes	No	No
Driving License *	Yes	Yes	No	No
Identity Card**	Yes	No	No	No
Ration Card	No	Yes	No	No
Electricity Bill #	No	Yes	No	No
Telephone Bill #	No	Yes	No	No
Original Bank Statement / Passbook ##	No	Yes	Yes	Yes
Leave & License / Sale agreement	No	Yes	No	No
GROUP C				
Bank Proof :				
Copy of a cancelled cheque containing preprinted name of the client and MICR / IFSC code	No	No	Yes	No
Passbook having name & address of account holder ##	No	Yes	Yes	Yes
Bank Statement having name & address of account holder ##	No	Yes	Yes	Yes
Letter from Bank (bearing address / Acc. No. / MICR No.)	No	Yes	Yes	No
GROUP D - Mandatory requirement for Derivatives segment				
Financial Details :				
Copy of ITR Acknowledgement	No	No	No	Yes
Copy of Annual Accounts	No	No	No	Yes
Copy of Form 16 in case of salary income	No	No	No	Yes
Net worth certificate	No	No	No	Yes
Latest salary slip	No	No	No	Yes
Bank account statement for last 6 months	No	No	No	Yes
Copy of demat account holding statement	No	No	No	Yes
Any other relevant documents substantiating ownership of assets	No	No	No	Yes

* Expiry date should be more than 6 months

** Issued by State/Central Government department

Should not be older than 2 months

Should not be older than 4 months

Other Documents required are -

- | Demat Proof (in case of DP account other than **Flora Securities**)
- | Provide one document each for address proof, bank proof and financial details

Note:

1. All details should be filled in block letters with black ink.
2. Please write your name(s) in KYC form as it appears on PAN card
3. Details of e-mail ID and mobile number are compulsory
4. Please note that the mode of payment should be only by way of cross cheque
5. For address proof, in case Bank statement is not original, it is required to be attested by Bank Manager
6. Supporting documents should be self attested by the client and verified by authorized person at Branch Office with his/her name, employee code, seal and signature
7. The Stock broker hereby discloses that it does client based business and proprietary trades as well.

| To ascertain the requirements for NRI/HUF/Corporate/Trust/Society/Partnership Firm client(s), please contact KYC department at HO.

| Flora Securities reserves rights to ask for more documents other than listed above to satisfy identity/ authenticity. Checklist may change/ alter/ amend to meet legal requirement from time to time.

| The information given above would be confidential. However, if the information is required by any government agency, it may be given to them.

CLIENT REGISTRATION FORM AGREEMENT / TRIPARTITE AGREEMENT

Client Name : _____

Client Code: _____ Branch : **INDORE** _____



FLORA SECURITIES

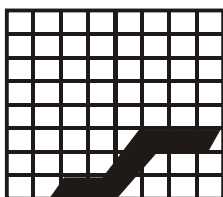
MEMBER : THE NATIONAL STOCK EXCHANGE, OF INDIA LTD.

Office : Office No. 4, 2nd Floor, 11/13, Botawala Building, Horniman Circle,
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CLIENT REGISTRATION FORM AGREEMENT / TRIPARTITE AGREEMENT

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