



## INDEX

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## **GUIDELINES FOR OPENING A TRADING ACCOUNT**

1. Read the form carefully and in case of any queries contact the concerned officials of our respective local office.
2. Trading Account will not be opened in joint names.
3. Fill up all the details in the enclosed form/agreement in all respect. In case any of the columns are not applicable to you, mentioned N.A. in that column.
4. All the copies proofs of Identity, Address and Bank Account should be certified as true sign by the applicant. Bring the originals at the time of account opening for verification purpose.
5. Paste a recent passport sized photograph in the space provided for in the form and sign across the photograph in a manner where part of the signature is on the photo and other on the form.
6. Please put your signature on the places marked
7. Witness/Introducer Name & trading account no & Signature on the places marked  witness
8. Subbroker should sign on places marked  sub-broker

## **CATEGORYWISE KYC CHECKLIST/ LIST OF PROOF/ DOCUMENTS REQUIRED GIVEN BELOW**

### Basic Requirement

1. Proof of Identity of the client - copy of PAN Card (Mandatory).
2. Address Proof - copy of Ration card, Electricity Bill (Not more than 2 months old), Latest Bank Account Statement, Passport, Voter ID, Flat Maintenance Bill, Rent Agreement, Insurance policy.
3. Bank Acct. Proof - copy of Bank pass Book. 4. Accuracy of MICR - Copy of cancelled cheque leaf.
5. Copy of D.P. Statement reflecting DP ID and client ID & Name of the client.
6. Latest Passport size colour Photograph.
7. Financial Documentary Proof

The KYC will not be accepted if the checklist is incomplete.

### KYC CHECKLIST

No	Type	Branch / Franchisee		Head Office	
		Yes	No	Yes	No
1	Proof of Identity of the Client PAN (Mandatory)				
2	How is the identity of the client verified Client visited the office <input type="checkbox"/> Branch / Franchisee personnel met the client <input type="checkbox"/>				
3	Address proof of the client Latest Bank a/c. stat. <input type="checkbox"/> Electricity Bill (Not more than 2 months old) <input type="checkbox"/> Ration card <input type="checkbox"/> Passport (Valid) <input type="checkbox"/> Flat Maintenance Bill <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence (Valid) <input type="checkbox"/> Telephone Bill (Not more than 2 months old) <input type="checkbox"/> Insurance policy <input type="checkbox"/> Rent Agreement (Valid) <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Under MAPIN <input type="checkbox"/> Certificate issued by employer registered <input type="checkbox"/>				
4	Latest Passport size colour Photograph signed by the client				
	<b>INDIVIDUAL</b>				
1	Latest Passport size Photograph affixed & signed the Photograph				
2	Proof of Identity of the client - copy of PAN Card (Mandatory)				
3	Address proof - copy of ration card, Electricity Bill (Not more than 2 months old), Passport, Voter ID Flat maintenance Bill, Rent Agreement, Insurance policy (latest proof)				
4	Bank Account proof - copy of bank pass book/latest bank statement				
5	Accuracy of MICR - Copy of cancelled cheque leaf				
6	Copy of DP Statement reflecting DP ID and client ID & name of client				
	<b>NRI Account</b>				
1	Copy of PAN Card of NRI (Mandatory)				
2	Latest Passport size Photograph affixed & signed the Photograph				
3	Copy of RBI approval Letter (Primary Banks are also allowed)				
4	Copy of passport (All pages)				
5	Indian & foreign address of client along with the proof				
6	Copy of bank certification for NRE/NRO bank Account				
7	NRI Bank Account proof - Bank passbook / Bank account statement & One Cancelled cheque leaf (NRI/NRO Accounts)				
8	Copy of DP Statement reflecting DP ID and client ID				
9	NRE PIS Account to be opened with bank				
10	Power of attorney Letter to whom power is given for signature & trading on behalf of him (Certified true Copy)				
11	FEMA Declaration				
	<b>Proprietorship Firm</b>				
1	Latest Photograph affixed & signed across the photograph by the Proprietor				
2	Proof of identity of the Proprietor PAN Card (Mandatory)				
3	Address Proof of Proprietorship & Proprietor				
4	Income Tax proof of the Proprietor				
5	Copy of DP statement reflecting DP ID in the name of Proprietor				
6	Bank Account proof - copy of bank passbook, cancelled cheque leaf				
7	A declaration to be given on letterhead of the firm as per the performa enclosed (Refer page No. 37)				
8	Proprietor rubber stamp to be affixed wherever the sign by client				
9	Proprietorship bank account certificate from the banker				
	<b>Attorney Holder</b>				
1	Personal details of Authorized person to whom the power attorney is given for signature & trading on behalf of him with the proof - Pan card, Bank passbook, cheque leaf, Ration card				
<b>Financial Details (Attach copy of any one of following in support of financial details)</b> Illustrative list of documents:- (Compulsory for Derivatives Segment) 1. Copy of ITR Acknowledgement, 2. Copy of Annual Accounts, 3. Copy of Form 16 in case of salary income 4. Net worth certificate, 5. Salary Slip, 6. Bank account statement for last 6 months 7. Copy of demat account Holding statement, 8. Any other relevant documents substantiating ownership of assets. 9. Self declaration along with relevant supporting.					
<b>NOTE : ALL Copies of proof/supporting documents must be sign by the client</b>					

**MANDATORY**Unique Client Code : **The document in this docket are mandatory****(As prescribed by SEBI circular no. MIRSD/SE/Cir-19/2009, dated December 3, 2009)**

To,

**INVENTURE GROWTH & SECURITIES LTD.**

BSE		NSE		MCX-SX	
CLEARING No. 275		CLEARING No. 09017		CLEARING No. 32	
Segments	SEBI Reg. No.	Segments	SEBI Reg. No.	Segments	SEBI Reg. No.
Cash	INB 010901730	Cash	INB 230901739	Cash	-
Derivatives	INF 010901730	Derivatives	INF 230901739	Derivatives	-
Currency Future	INE 010901730	Currency Future	INE 230901739	Currency Future	INE 260901739

Regd. Off.: Viraj Tower, 201, 2nd Floor,

Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069.

Tel.: 3954 8500, Fax: 4075 1535 Admin. Off.: 1012, P. J. Tower, Dalal Street, Mumbai - 400 001.

Tel.: 2272 3790 (8 lines), Fax : 2272 3798. E-mail : customercare@inventuregrowth.com Website : www.inventuregrowth.com

**Note : Inventure Growth & Sec. Ltd.** is Clearing Member in NSE Derivative segment & Self Clearing for BSE Derivatives segment Clearing Member is : Refco-Sify Securities India Pvt. Ltd., No. 1, Second floor, C-Block, Modern Mill Compound, Mahalaxmi, Mumbai - 400 011, Tel. : 2300 2999 and SEBI Regn. No. : INF011123339.

**INDIVIDUAL CLIENT REGISTRATION APPLICATION FORM**

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

<b>1. Name of the Client:</b>		<b>Residential Status:</b> <input type="checkbox"/> Indian <input type="checkbox"/> NRI <input type="checkbox"/> Others									
(Surname)			(Name)				(Middle Name)				
<b>2. Father/Husband Name:</b>						<div style="border: 1px solid black; padding: 5px; text-align: center;">           Affix Latest Passport Size Photograph (if client is individual)         </div> <div style="border: 1px solid gray; padding: 2px; text-align: center; margin-top: 5px;">           Please Sign across the photograph         </div>					
<b>3. Sex :</b> <input type="checkbox"/> Male <input type="checkbox"/> Female			<b>4. Marital Status:</b> <input type="checkbox"/> Married <input type="checkbox"/> Unmarried								
<b>5. Date of Birth :</b>			<b>6. Unique Identification Number (where obtained)</b>								
<b>7. Corr./Residence Address:</b>											
City :			Pin Code :								
State :			Country :								
Nationality :			<b>Pan :</b>			<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tel. No. (with STD Code):		Res:	Mobile:		Fax:		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
E-mail :						Educational Qualification:					
<b>8. Permanent Address:</b>											
City :						Pin Code:					
State :			Country:			Nationality:			Tel.:		
<b>IN PERSON VERIFICATION DONE BY:</b>						<b>FOR INVENTURE GROWTH &amp; SECURITIES LTD.</b>					
NAME _____											
DESIGNATION : EXECUTIVE OFFICER						AUTHORISED SIGNATORY					
DATE _____		TIME _____		PLACE _____							

<b>9. Bank and Depository Account Details</b>	
Bank Name (through which transactions will generally be routed.)	
Branch :	Address:
Account Type:	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRI <input type="checkbox"/> Others : _____ RTGS/NEFT IFSC CODE _____
Account No:	9 - Digit Code No: _____
Bank Name	
Branch :	Address:
Account Type:	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRI <input type="checkbox"/> Others : _____ RTGS/NEFT IFSC CODE _____
Account No:	9 - Digit Code No: _____
(Copy of a cancelled Cheque leaf (9 digit code appearing on cheque)/pass book/bank statement containing name of the constituent should be submitted.)	

Depository Participant Name (through which transactions will generally be routed.)	<b>INVENTURE GROWTH &amp; SECURITIES LTD.</b>
Address (Copy of the Client Master / Holding Statement containing name of the constituent)	Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai - 400 069.
DP ID: 12011200	BO Account No.

Additional DP Details (with proof)		
DP Name & Address	DP ID	BO ID

For more, provide details on a separate sheet.

<b>10. Occupation Details</b> 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"/> Others	
<b>11. If Employed</b>	Name & Address of (Office) Employer: _____ Telephone Number (Office) : _____ Fax / Telex No. : _____
<b>12. If Self Employed / Business / Professional/Others</b>	Name & Address of Establishment: _____ Telephone Number (Office) : _____ Fax / Telex 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"/>
<b>14. Investment/Trading Experience</b>	No Prior Experience	_____ Years in Stocks
_____ Years in Derivatives	_____ Years in Other investment related fields	

**15. Trading Preference (please write these details in your own hand writing)**

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

Segment	Signature of client	Segment	Signature of client
BSE Cash	②  Client sign	BSE Currency Future	⑤  Client sign
NSE Cash	③  Client sign	NSE Currency Future	⑥  Client sign
NSE F&O	④  Client sign	MCX-SX Currency Future	⑦  Client sign

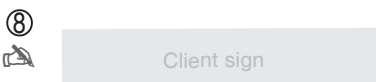
<b>16. Whether registered with any other broker-member: (if registered with multiple members, provide details of all)</b>									
Name of Broker:									
Name of Exchange:				Client Code No.:					
<b>17. Details of any action taken by SEBI/Stock exchange/any other authority for violation of securities laws/other economic offences during last 3 years.</b>									
<b>18. References</b> Existing Client <input type="checkbox"/> / IGSL EMPLOYEE <input type="checkbox"/> / Direct <input type="checkbox"/>									
Introduction: Introduced by another constituent / director or employee of trading member / any other person (please specify)									
Name of the Introducer:									
		(Surname)			(Name)			(Middle name)	
Address of introducer: (Provide Proof)									
Tel.:									
Introducer PAN									
Name and designation of the employee who interviewed the client:									
(Name)									
(Designation)									

(Introducer self attested copy of PAN &amp; Address proof)

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

Place: \_\_\_\_\_

Date: \_\_\_\_\_



**Note :** The clients are required to note that broker in addition to trading on behalf of clients deals in the proprietary account.

**DOCUMENTARY REQUIREMENTS -** For [A] Proof of Identity/[B] Address/[C] Bank Acct. Copies of the following documents may be obtained after due verification with the original thereof

[A] PAN Card Copy (Mandatory), Passport, Voter ID, Driving License,

[B] Ration Card, Voter ID, Driving License, Rent Agreement, Electricity Bill, Passport, Flat Maintenance Bill, Insurance Policy, Certificate issued by employer under mapin, Bank Pass Book, Telephone Bill

[C] Bank Pass Book, Cross cancelled cheque leaf

**All copies of the proof must be signed by the client**

<b>Unique Constituent Code : (to be inserted by the Brokerage Firm)</b> _____				
	NSE	BSE	F&O	
Trading				
Minimum				
Delivery				
Minimum				
Recommended Exposure	4x <input type="checkbox"/>	5x <input type="checkbox"/>	7x <input type="checkbox"/>	8x <input type="checkbox"/>
VERIFIED _____	AUTHORISED BY _____			

**For office use only:**

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

This document is issued by the member of the National Stock Exchange of India Limited (hereinafter referred to as "NSE") / Bombay Stock Exchange Limited (hereinafter referred to as "BSE") and MCX Stock Exchange Limited (hereinafter referred to as "MCX-SX") 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 / F&O and Currency Derivatives Segments of NSE / BSE / MCX-SX. All prospective constituents should read this document before trading on Capital Market/Cash Segment or F&O / Currency Derivatives segment of the Exchanges.

NSE/BSE/MCX-SX/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor has NSE/BSE/MCX-SX/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, derivatives & the currency derivatives 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/BSE/MCX-SX and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE/BSE/MCX-SX, its Clearing Corporation/Clearing House and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a security or derivative being traded on NSE/BSE/MCX-SX.

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

NSE/BSE/MCX-SX does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any trading member and/or sub-broker of NSE/BSE/MCX-SX and/or any third party based on any information contained in this document. Any information contained in this document

must not be construed as business advice/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, DERIVATIVES, CURRENCY DERIVATIVES AND OTHER INSTRUMENTS)****1.1 Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that securities/contracts 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/contracts.

**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/BSE/MCX-SX is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place

and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond 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. As far as Futures and Options segment is concerned, please note and get yourself acquainted with the following additional features:-

#### **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.

### 2.4 Currency specific risks (applicable in case of Currency Derivatives)

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationship' trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and so assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

## 3. GENERAL

### 3.1 Commission and other charges

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

### 3.2 Deposited cash and property

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

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

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

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

Note : The Member Discloses herewith that it undertakes proprietary trading in addition to client business

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

①



Client sign

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

Date : \_\_\_\_\_

**ANNEXURE-1**  
**INVESTORS' RIGHTS AND OBLIGATIONS:**

**MANDATORY**

- 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/BSE/MCX-SX and the scheme of the Investors' Protection Fund in force from time to time.
- 1.1.3 Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE/BSE/MCX-SX 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/BSE/MCX-SX and/or SEBI:
  - 1.3.1 Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE/BSE/MCX-SX and whether they are enabled to trade may be verified from NSE/BSE/MCX-SX website ([www.nseindia.com](http://www.nseindia.com)/[www.bseindia.com](http://www.bseindia.com)/[www.mcx-sx.com](http://www.mcx-sx.com)).
  - 1.3.2 Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.
  - 1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving Licence or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by SEBI/NSE/BSE/MCX-SX 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/BSE/MCX-SX 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/BSE/MCX-SX, without delaying.
  - 1.3.7 Facility of Trade Verification is available on NSE/BSE/MCX-SX website ([www.nseindia.com](http://www.nseindia.com)/[www.bseindia.com](http://www.bseindia.com)/[www.mcx-sx.com](http://www.mcx-sx.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/BSE/MCX-SX.
  - 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/BSE/MCX-SX 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 a 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 NSE/BSE/MCX-SX 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/BSE/MCX-SX.
  - 1.3.10 Every member is required to send a complete 'Statement of Accounts', for both (settlements and margins) 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/BSE/MCX-SX, 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 NSE/BSE/MCX-SX from time to time.

- 1.4 In case where a member surrenders his membership, NSE/BSE/MCX-SX gives a public notice inviting claims, if any, from investors. In case of a claim, relating to “transactions executed on the trading system” of NSE/BSE/MCX-SX, ensure that you lodge a claim with NSE/BSE/MCX-SX/NSCCL/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/BSE/MCX-SX gives a public notice inviting claims, if any, from investors. In case of a claim, relating to “transactions executed on the trading system” of NSE/BSE/MCX-SX, ensure that you lodge a claim with NSE/BSE/MCX-SX within the stipulated period and with the supporting documents.
- 1.6 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye-laws and the scheme under the Investors’ Protection Fund (IPF) may be payable 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/BSE/MCX-SX for the purpose of acquiring and / or selling of securities through the mechanism provided by NSE/BSE/MCX-SX.
2. The term ‘member’ shall mean and include a member or a broker or a stock broker, who has been admitted as such by NSE/BSE/MCX-SX and who holds a registration certificate as a stock broker from SEBI.
3. NSE/BSE/MCX-SX may be substituted with names of the relevant exchanges, wherever applicable.
4. The term ‘contract’ refers to currency derivatives contract and the term ‘underlying’ refers to the underlying currency of such currency derivatives contracts.

**Note :** The Member Discloses herewith that it undertakes proprietary trading in addition to client business

⑬



Client sign

Clients' Name: \_\_\_\_\_

Date : \_\_\_\_\_

**MANDATORY**

**BSE CM / F&O/  
CURRENCY  
DERIVATIVES**

Client Code No.

**For Inventure Growth &  
Securities Ltd.**

Director / Authorised Signatory

## AGREEMENT BETWEEN STOCK BROKER AND CLIENT

This agreement is made and executed at ..... this ... .. day of ... .., 20..... between **Inventure Growth & Securities Ltd.**, a body corporate, registered under the Companies Act, 1956, being a member of Bombay Stock Exchange Limited (hereinafter called "the Exchange"), and having his/her/its registered office at Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069 and Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli (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, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

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

Whereas the stock broker is registered as the stock broker of the Exchange with SEBI registration number INB010901730 in the Capital Market/ Cash Segment of Bombay Stock Exchange Limited, SEBI registration number INF010901730 in the Futures and Options Segment of Bombay Stock Exchange Limited and SEBI registration number INE010901730 in the Currency Derivatives Segment of Bombay Stock Exchange Limited.

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 thereunder 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 thereudner 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.

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

Client sign

- 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 therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange.
  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 thereunder 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.

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

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.

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 executed this Agreement as of the day and year first above written.**

The client's Signature/ Authorised Signatory:

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 Client Sign

The stock broker's Signature/Authorised Signatory:  
**For Inventure Growth & Securities Ltd.**

  
 Director / Authorised Signatory

Signed by: \_\_\_\_\_

Signed by: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Name of the client: \_\_\_\_\_

Name of the stock broker:  
**INVENTURE GROWTH & SECURITIES LTD.**  
 MEMBER : BOMBAY STOCK EXCHANGE LIMITED  
 SEBI REG. NO. : INB010901730  
 INF010901730  
 INE010901730

Witness on behalf on Client:

1.  
 Name \_\_\_\_\_

Witness:

1.  
 Name \_\_\_\_\_

Address \_\_\_\_\_

Address \_\_\_\_\_

 Witness Sign.

 Witness Sign.

2.  
 Name \_\_\_\_\_

2.  
 Name \_\_\_\_\_

Address \_\_\_\_\_

Address \_\_\_\_\_

 Witness Sign.

 Witness Sign.

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

**MANDATORY**

**NSE CM / F&O  
CURRENCY  
DERIVATIVES**

Client Code No.

**For Inventure Growth &  
Securities Ltd.**

Director / Authorised  
Signatory

**AGREEMENT BETWEEN STOCK BROKER AND CLIENT**

This agreement is made and executed at ..... this ..... day of ....., 20..... between **Inventure Growth & Securities Ltd.**, a body corporate, registered under the Companies Act, 1956, being a member of National Stock Exchange of India Limited (hereinafter called "the Exchange"), and having his/her/its registered office at Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069 and Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli (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, 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;

Client sign

And

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



Whereas the stock broker is registered as the stock broker of the Exchange with SEBI registration number INB230901739 in the Capital Market/ Cash Segment of National Stock Exchange of India Limited, SEBI registration number INF230901739 in the Futures and Options Segment of National Stock Exchange of India Limited. and SEBI registration number INE230901739 in the Currency Derivatives Segment of National Stock Exchange of India Limited.

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 thereunder 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 thereudner 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.

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

- 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 therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange.
  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 thereunder 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.

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

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.

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

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

The client's Signature/ Authorised Signatory:

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Signed by: \_\_\_\_\_

Title: \_\_\_\_\_

Name of the client: \_\_\_\_\_

Witness on behalf of client:

1. Name \_\_\_\_\_

Address \_\_\_\_\_

2. Name \_\_\_\_\_

Address \_\_\_\_\_

The stock broker's Signature/Authorised Signatory:  
**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

Signed by: \_\_\_\_\_

Title: \_\_\_\_\_

Name of the stock broker:

**INVENTURE GROWTH & SECURITIES LTD.**

MEMBER : NATIONAL STOCK EXCHANGE OF INDIA LIMITED

SEBI REG. NO. : INB230901739

INF230901739

INE230901739

Witness:

1. Name \_\_\_\_\_

Address \_\_\_\_\_

2. Name \_\_\_\_\_

Address \_\_\_\_\_

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

**MANDATORY**

**MCX-SX  
CURRENCY  
DERIVATIVES**

Client Code No.

**For Inventure Growth &  
Securities Ltd.**

Director / Authorised  
Signatory

**AGREEMENT BETWEEN TRADING MEMBER AND CLIENT**

This agreement is made and executed at ..... this ..... day of ..... 20\_\_ Between: M/s. INVENTURE GROWTH & SECURITIES LTD, a body corporate, registered / incorporated under the provisions of the Companies Act, 1956, being a member of the MCX Stock Exchange Ltd. (hereinafter called "the Exchange"), and having his / her / its registered office at 'VIRAJ TOWER, 201, 2ND FLOOR, NEAR LANDMARK, WESTERN EXPRESS HIGHWAY, ANDHERI (EAST), MUMBAI-400069 and Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli (hereinafter called "the trading member") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the Currency Derivatives Segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

Client sign

And

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

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

Whereas the trading member is registered as the trading member of the Exchange with SEBI registration number \_\_\_\_ in the Capital Market Segment; SEBI registration number \_\_\_\_\_ in the F&O Segment and SEBI registration number INE260901739 in the Currency Derivatives Segment.

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

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

- 1. The client agrees to immediately notify the trading member in writing if there is any change in the information in the 'client registration form' provided by the client to the trading member at the time of opening of the account or at any time thereafter.
- 2. The trading member declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
  - a. He has read and understood the risks involved in trading on a stock exchange.

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

- b. He shall be wholly responsible for all his decisions and trades.
- c. The failure of the client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segment
- d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the trading member or the Exchange or as may be directed by SEBI from time to time as applicable to the segment. The trading member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House / Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
- e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate / require.
3. The Client agrees to pay to the trading member brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that trading member renders to the Client.
4. The trading member agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye -laws of the relevant stock exchange / SEBI.
5. The client agrees to abide by the exposure limits, if any, set by the trading member or by the Exchange or Clearing House/Clearing Corporation or SEBI from time to time.
6. Without prejudice to the trading member's other rights (including the right to refer a matter to arbitration), the trading member shall be entitled to liquidate / close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities / obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
7. The trading member agrees that the money / securities deposited by the client shall be kept in a separate account, distinct from his / its own account or account of any other client and shall not be used by the trading member for himself / itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars / guidelines / Exchange's Rules / Regulations / Byelaws and circulars.
8. The client agrees to immediately furnish information to the trading member in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
9. The trading member agrees to inform the client and keep him apprised about trading / settlement cycles, delivery / payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules / procedures of the stock exchange.
10. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving and paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities, the trading member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.
11. The client and the trading member agree to refer any claims and / or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
12. The trading member hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
13. Information about default in payment / delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity / partnership / proprietary firm or any other artificial legal entity, then the name(s) of director(s) / promoter(s) / Partner(s) / proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).
14. The trading member and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
15. The trading member and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
16. The trading member and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.
17. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
18. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
19. This agreement shall forthwith terminate; if the trading member for any reason ceases to be a member of the stock exchange including cessation of membership by

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

reason of the trading member's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.

- 20. The trading member and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in / be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
- 21. In addition to the specific rights set out in this Agreement, the trading member and the client shall be entitled to exercise any other rights which the trading member or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.
- 22. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under.
- 23. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
- 24. The trading member hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person / authority except as required under any law / regulatory requirements; Provided however that the trading member may so disclose information about its his client to any person or authority with the express permission of the client.

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

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

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

The client's Signature/ Authorised Signatory:

25  Client Sign

Signed by: \_\_\_\_\_


Title: \_\_\_\_\_

Name of the client: \_\_\_\_\_

Witness on behalf of client:

1. Name \_\_\_\_\_

Address \_\_\_\_\_

 Witness Sign.

2. Name \_\_\_\_\_

Address \_\_\_\_\_

 Witness Sign.

The stock broker's Signature/Authorised Signatory:  
**For Inventure Growth & Securities Ltd.**

 [Redacted Signature]

Director / Authorised Signatory

Signed by: \_\_\_\_\_

Title: \_\_\_\_\_

Name of the stock broker:

**INVENTURE GROWTH & SECURITIES LTD.**

MEMBER : MCX STOCK EXCHANGE LIMITED

SEBI REG. NO. : INE260901739

Witness:

1. Name \_\_\_\_\_

Address \_\_\_\_\_

 Witness Sign.

2. Name \_\_\_\_\_

Address \_\_\_\_\_

 Witness Sign.

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

**MANDATORY FOR CLIENTS REGISTERED THROUGH SUBBROKER**

Client Code No.

**For Inventure Growth & Securities Ltd.**

**BSE CM**

Director / Authorised Signatory

**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 **Inventure Growth & Securities Ltd.** (hereinafter referred to as "the stock broker"), a PUBLIC LIMITED COMPANY and having his/its office/registered office at Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069 and Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli 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

Client sign

\_\_\_\_\_  
(name of the sub-broker) (hereinafter referred to as "the subbroker"), 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

Sub Broker sign & Stamp

\_\_\_\_\_  
(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 having membership of Bombay Stock Exchange Limited (hereinafter referred to as "the Stock exchange") with SEBI registration Number(s) INB010901730 (Cash/Capital Market Segment).
2. The sub-broker states that :
  - a) The sub broker is recognized by Bombay Stock Exchange Limited as a sub-broker affiliated to the stock broker of the stock exchange with sub-broker SEBI registration Number (s) .....
  - b) The sub-broker is not affiliated to any other member of the same stock exchange,
  - c) The sub-broker has the necessary infrastructure like adequate office space, equipment and manpower to effectively discharge his/its activities.

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Client Sign

**For Inventure Growth & Securities Ltd.**



Sub Broker sign & Stamp

Director / Authorised Signatory

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

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

1. The stock broker and sub broker hereby acknowledge and confirm that the sub-broker is affiliated to the stock broker and that the sub-broker shall within the scope of the authority given under these presents, be entitled to act as a 'sub-broker' within the meaning and subject to SEBI (Stock Brokers and Sub-Brokers) Rules, 1992 and SEBI (Stock Brokers and Sub-Brokers) Regulations 1992 (hereinafter referred to as the said "Rules" and "Regulations" respectively) as amended from time to time, for assisting the client in buying, selling or dealing in securities through the stock broker.
2. The stock broker, the sub-broker and the client agree that they shall abide by all the statutory responsibilities and obligations imposed on them by the rules, regulations and / or any other rules or regulations applicable to the stock brokers, the sub-brokers and the clients in general either framed by SEBI or by the relevant stock exchange/clearing corporation and/or any Government Circulars.
3. The stock broker and the sub broker declare that they have brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
  - a. He has read and understood the risks involved in trading on a stock exchange.
  - b. He shall be wholly responsible for all his investment decisions and trades.
  - c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
  - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
  - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
4. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker \ the sub-broker renders to the Client. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and byelaws 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 subbroker 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.

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Client Sign



Sub Broker sign & Stamp

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

**22**

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 cooperate 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 /withdrawal of recognition of the sub-broker by the stock exchange. Provided however, in such an event, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimate to the stock broker or the stock broker intimates to the client his/its intention to terminate the agreement by giving one month notice in writing.
20. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
21. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result therefrom.
22. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
23. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
24. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, member shall be entitled to cancel the respective contract(s) with client(s)

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Client Sign

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

**23**












Sub Broker sign & Stamp

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 subbroker 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
<b>INVENTURE GROWTH &amp; SECURITIES LTD.</b> MEMBER: Bombay Stock Exchange Limited SEBI REG. No. : INB010901730 Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069. Tel.: 39548500  <b>For Inventure Growth &amp; Securities Ltd.</b> Sign. Director / Authorised Signatory Name : _____ Witness : _____ Signature  Witness Sign. Name : _____ Address: _____  Signature  Witness Sign. Name : _____ Address _____	Title _____  SEBI REG. No. : _____ Address _____ Sign. _____ Name :  S _____ Witness : _____ Signature _____ Name :  W _____ Address _____  Signature _____ Name :  W _____ Address _____	Title _____  Address _____  Sign.  30  C _____ Name : _____ Witness : _____ Signature  W _____ Name : _____ Address _____  Signature  W _____ Name : _____ Address _____

**MANDATORY FOR CLIENTS REGISTERED THROUGH SUBBROKER**

Client Code No.

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

**NSE CM**

### 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 **Inventure Growth & Securities Ltd.** (hereinafter referred to as "the stock broker"), a PUBLIC LIMITED COMPANY and having his/its office/registered office at Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069 and Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli 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 subbroker"), 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 having membership of National Stock Exchange of India Ltd. (hereinafter referred to as "the Stock exchange") with SEBI registration Number(s) INB230901739 (Cash/Capital Market Segment).
2. The sub-broker states that :
  - a) The sub broker is recognized by Natioanl Stock Exchange of India Ltd. 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.

Client sign



Sub Broker sign & Stamp



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Client Sign

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory



Sub Broker sign & Stamp

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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 byelaws 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 subbroker 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.

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Client Sign

**For Inventure Growth & Securities Ltd.**



Sub Broker sign & Stamp

Director / Authorised Signatory

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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 cooperate 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 /withdrawal of recognition of the sub-broker by the stock exchange. Provided however, in such an event, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimate to the stock broker or the stock broker intimates to the client his/its intention to terminate the agreement by giving one month notice in writing.
20. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
21. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result therefrom.
22. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
23. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
24. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, member shall be entitled to cancel the respective contract(s) with client(s)
25. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
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.

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Client Sign



Sub Broker sign & Stamp

**For Inventure Growth & Securities Ltd.**







Director / Authorised Signatory

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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 subbroker 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
<b>Inventure Growth &amp; Securities Ltd.</b> <b>MEMBER :</b> National Stock Exchange of India Ltd. SEBI REG. No. : INB230901739 Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069. Tel.: 39548500 <b>For Inventure Growth &amp; Securities Ltd.</b>	Title _____ SEBI REG. No.: _____ Address _____ Sign.  Sub-Broker Sign. Name: _____ Witness: _____ Signature  Witness Sign. Name: _____ Address: _____ Signature  Witness Sign. Name: _____ Address _____	Title _____ Address _____ Sign. _____ Name: _____ Witness: _____ Signature  (35) Client Sign Name: _____ Address _____ Witness Sign.  Signature _____ Name: _____ Address _____ Witness Sign. 

"In order to ensure proper compliance with various Notices/Circulars /Guidelines issued by SEBI/Exchanges and uniformity the Company has prescribed the Policies & Procedure as under for guidance of all employees in HO/all Branches which is to be strictly followed by all"

**Policies and Procedures (Mandatory) of INVENTURE GROWTH & SECURITIES LTD. MANDATORY**

**a. Refusal of orders for penny stocks:**

Although, the term 'Penny Stock' has not been defined by BSE/ NSE/MCX-SX or any stock exchanges, SEBI a penny stock generally refers to a stock which has following mentioned characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid (A list if illiquid securities is jointly released by NSE & BSE/MCX-SX from time to time.)

INVENTURE GROWTH & SECURITIES LTD. recognizes that it is client's privilege to choose shares in which he/she would like to trade. However, INVENTURE GROWTH & SECURITIES LTD. like to have special attention to dealing in "Penny stocks". To this end,

- INVENTURE GROWTH & SECURITIES LTD. may refuse to execute any clients orders in penny stocks without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny stocks" should be referred to Head - Dealing, such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny stock" doesn't result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny stock" doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in penny stocks at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of INVENTURE GROWTH & SECURITIES LTD..
- In case of sale of penny stocks, client should ensure delivery of shares to INVENTURE GROWTH & SECURITIES LTD. before the pay-in date.

**b. Setting up client's exposure limit:**

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

**c. Applicable brokerage rate:**

- The applicable brokerage rate is mentioned in the Client registration form and any future change in the brokerage rate is communicated to the client.
- The maximum brokerage chargeable will not exceed as prescribed by SEBI and exchanges.

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

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on part of client in satisfying his/her margin obligation or settlement obligations, then, INVENTURE GROWTH & SECURITIES LTD. shall levy interest at the rate of 24% p.a. on such shortage amount for the delayed period on such client. INVENTURE GROWTH & SECURITIES LTD. shall recover such delayed payment charges from the client by debiting the client's account.
- No interest or charges will be paid by INVENTURE GROWTH & SECURITIES LTD. to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

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

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

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

- In case of BSE, shortages arising out of Internal Netting of trades are given for self auction to the exchange through exchange mechanisms.,
- In case of NSE, shortages arising out of Internal Netting of trades, client shortages are closed out by company at 10% above the closing rate of that particular scrip of auction date.

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Client Sign

- To determine the net obligation of a broker / trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards clearing house may be nil but due to default by one or more clients in satisfying their obligations towards the broker, the broker internally might have shortages to fulfill its obligation towards the other client(s). In such situation, INVENTURE GROWTH & SECURITIES LTD. shall endeavor to collect the securities from the selling client and deliver it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to deliver the securities within 48 hours, then INVENTURE GROWTH & SECURITIES LTD. shall attempt to purchase the security from the market and deliver it to the purchasing client. If INVENTURE GROWTH & SECURITIES LTD. is unable to obtain the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and same will be debited to the selling client.

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

INVENTURE GROWTH & SECURITIES LTD. shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- If there is shortfall in the margin deposited by client with INVENTURE GROWTH & SECURITIES LTD..
- If there is insider trading restrictions on the client.
- If there are any unforeseen adverse market conditions or any natural calamities affecting the operation of market.
- If there are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If INVENTURE GROWTH & SECURITIES LTD. has reached its limit in that scrip.
- If the clients has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the ban period.
- If due to abnormal movement in the market, if market are closed.

**h. Temporarily suspending or closing a client's account based at the Client's request:**

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

**i. Deregistering a Client**

INVENTURE GROWTH & SECURITIES LTD. may, in its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which INVENTURE GROWTH & SECURITIES LTD. may deregister a client are given below:

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

**Dormant Client**

Treatment for dormant client's

The client which are inactive for last 6 months will be treated as dormant client/inactive client. If such client want to trade after 6 months of period than we ask confirmation in written/verbal from the client.

Any outstanding dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication.

(Signature of the constituent)

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Client Sign

**BSE - INTERNET**

Client Code No.

**NON-MANDATORY**

For Inventure Growth & Securities Ltd.

**BELOW MENTION CLAUSES OF MEMBER CLIENT AGREEMENT APPLICABLE TO CLIENT AVAILING INTERNET TRADING FACILITY.**

Director / Authorised Signatory

THIS SUPPLEMENTAL AGREEMENT ("this Agreement") is executed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, by and Between inventure Growth & Securities Ltd., a body corporate, incorporated under the provision of the Companies Act, 1956, having its registered office at "Viraj Tower", 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069 and Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli hereinafter referred to as "the Member", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include Trading its successors, as the case may be ) of the ONE PART;

AND

\_\_\_\_\_, an individual, having his/her residence/office at \_\_\_\_\_

hereinafter referred to as "the Client", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include his / her heirs, executors, administrators and legal representatives) of the OTHER PART;

OR

M/s. \_\_\_\_\_, a sole proprietary concern of Mr./Ms./ Mrs. \_\_\_\_\_, having its principal office at \_\_\_\_\_

hereinafter referred to as "the Client", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include the sole proprietor's heirs, executors, administrators and legal representatives) of the other PART;

OR

M/s. \_\_\_\_\_, a partnership firm registered under the provisions of the Indian Partnership Act, 1932, having its address at \_\_\_\_\_

hereinafter referred to as "the Client", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include the partners or partner for the time being of the said firm, the survivors or survivor of them and its/his/her/their respective heirs, executors, administrators and legal representatives) of the other PART;

OR

M/s. \_\_\_\_\_, a company / body corporate incorporated under the provisions of the Companies Act, 1956 having its registered office at \_\_\_\_\_

\_\_\_\_\_ and a branch office in Mumbai at \_\_\_\_\_, hereinafter referred to as "the Client", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include its successors) of the other PART;

WHEREAS:

- (i) The Trading Member is a Trading Member of Bombay Stock Exchange Ltd, ("the Exchange") and is also registered with the Securities & Exchange Board of India ("SEBI") as a stock broker with SEBI Registration No.INB010901730/INF010901730;
- (ii) The Client is a client/constituent of the Trading Member, and the Trading Member and the Client have entered into a Trading Member-Client Agreement dated the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ in accordance with the model agreement prescribed by SEBI ("the Main Trading Member-Client Agreement");
- (iii) The Trading Member offers and/or proposes to offer the ITORS Service to its clients; and the Client desires to avail of the Trading Member's ITORS Service for purchasing, selling or otherwise dealing in securities;
- (iv) The Trading Member and the Client desire to enter into this Supplemental Agreement to the Main Trading Member-Client Agreement in order to record the agreement between them relating to the Trading Member's ITORS Service to be availed of by the Client.

IT IS HEREBY AGREED BETWEEN THE TRADING MEMBER AND CLIENT as follows:

1. Definitions:

1.1 In this Agreement (including the Recitals above), unless the context otherwise requires the following words shall have the following meanings:-

- (i) "the Exchange" means the Bombay Stock Exchange Ltd and includes a segment of the Exchange.
- (ii) "Exchange Provisions" means the Rules, Bye-laws, Regulations, Business Requirement, Specifications, handbooks, notices, circulars

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

Client sign

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and resolutions of the Exchange or any segment of the Exchange in force from time to time and includes the Minimum Requirements Handbook for ITORS prescribed by the Exchange, as amended from time to time.

- (iii) "ITORS" means Internet based Trading Through Order Routing System, being a system approved by the Exchange for enabling clients to route their orders to their Trading Member/s over the internet.
- (iv) "ITORS Account Application" means the application submitted by the Client to the Trading Member to permit the Client to avail of the Trading Member's ITORS Service.
- (v) "ITORS Service" or "Service" means the service offered by the Trading Member to its clients through ITORS whereunder the clients can route their orders for purchase, sale and other dealings in securities through the Trading Member's ITORS System.
- (vi) "Trading Member's ITORS System" or "Trading Member's ITORS WebSite" means the web site hosted by the Trading Member on the internet through which the Trading Member offers the ITORS Service and includes the hardware and software used for hosting and supporting the WebSite.
- (vii) "Password" means an alphanumeric code used by the Client to validate his/her username and access the Service.
- (viii) "SEBI" means the Securities & Exchange Board of India.
- (ix) "Username" means an alphanumeric login identification used by the Client for accessing the Service.

- 1.2 In this Agreement, headings are used for convenience and ease of reference only and shall not affect the construction or interpretation of any provision of this Agreement.
- 1.3 In this Agreement, unless the context otherwise requires, reference to the singular includes a reference to the plural and vice-versa, and reference to any gender includes a reference to all other genders.
- 1.4 In this Agreement, unless the context otherwise requires, references to Recitals and Clauses shall be deemed to be a reference to the recitals and clauses of this Agreement.
- 1.5 References to any enactment are to be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order or other provision made under it.

## 2. AGREEMENT TO PROVIDE AND AVAIL OF THE ITORS SERVICE:

The Trading Member agrees to provide the Trading Member's ITORS Service to the Client, and the Client agrees to avail of the Trading Member's ITORS Service, on and subject to the terms and conditions of this Agreement, the Exchange Provisions and the terms of the Trading Member's ITORS Web Site.

## 3. USER NAME AND PASSWORD:

- 3.1 The Client will be entitled to a username and password, which will enable him to access the Trading Member's ITORS System for availing of the Service.
- 3.2 The Client is aware that the Trading Member's ITORS System itself generates the initial password and that the Trading Member is aware of the same. The Client agrees and undertakes to immediately change his initial password upon receipt thereof. The Client is aware that subsequent passwords are not known or available to the Trading Member.
- 3.3 The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Trading Member's ITORS System using the Client's Username and/or Password whether or not such person was authorised to do so.
- 3.4 The Client shall immediately inform the Trading Member of any unauthorised use of the Client's Username or Password with full details of such unauthorised use including the date of such unauthorised use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorised use, etc.
- 3.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorised use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on the Trading Member's ITORS System and unauthorisedly routing orders on behalf of the Client through the System. The Client agrees that he shall be fully liable and responsible for any and all unauthorised use and misuse of his Password and/or Username and also for any and all acts done by any person through the Trading Member's ITORS System on the Client's Username in any manner whatsoever.
- 3.6 The Client shall log off from the ITORS Service at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall borne solely by the Client.
- 3.7 Without prejudice to the provisions of Clause 3.5, the Client shall immediately notify the Trading Member in writing with full details if :
  - (i) he discovers or suspects unauthorised access through his Username, Password or account,
  - (ii) he notices discrepancies that might be attributable to unauthorised access,
  - (iii) he forgets his password or
  - (iv) he discovers a security flaw in the Trading Member's ITORS System.
- 3.8 In any of the above events specified in Clause 3.7, the Client shall immediately change his Password. However, if the Client is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Client shall

## For Inventure Growth & Securities Ltd.

Director / Authorised Signatory

immediately request the Trading Member in writing to discontinue his old Password; and thereupon the Trading Member shall cause the Trading Member's ITORS System to discontinue the use of the Client's old Password and the Trading Member's ITORS System shall generate a new Password for the Client which shall be communicated to the Client. At no point in time shall the Trading Member be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the Password.

#### 4. TRANSACTIONS AND SETTLEMENTS:

- 4.1 All orders for purchase, sale or other dealings in securities and other instructions routed through the Trading Member's ITORS System via the Client's Username shall be deemed to have been given by the Client.
- 4.2 The orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions.
- 4.3 The Trading Member may from time to time impose and vary limits on the orders which the Client can place through the Trading Member's ITORS System (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). The Client is aware and agrees that the Trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of the Trading Member's risk perception and other factors considered relevant by the Trading Member, and the Trading Member may be unable to inform the Client of such variation, reduction or imposition in advance. The Client agrees that the Trading Member shall not be responsible for such variation, reduction or imposition or the Client's inability to route any order through the Trading Member's ITORS System on account of any such variation, reduction or imposition of limits. The Client understands and agrees that the Trading Member may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities through the Trading Member.
- 4.4 Though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by the Client on the Trading Member's ITORS System, the Trading Member shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.
- 4.5 The Client agrees that the Trading Member may, at its sole discretion, subject any order placed by a Client to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.
- 4.6 In case of a market order, the Client agrees that he will receive the price at which his order is executed by the exchange's computer system; and such price may be different from the price at which the security is trading when his order is entered into the Trading Member's ITORS System.

#### 5. MARGIN:

The Client agrees and undertakes to immediately deposit with the Trading Member such cash, securities or other acceptable security, which the Trading Member may require as margin. The Client agrees that the Trading Member shall be entitled to require the Client to deposit with the Trading Member a higher margin than that prescribed by the Exchange. The Trading Member shall also be entitled to require the Client to keep permanently with the Trading Member a margin of a value specified by the Trading Member so long as the Client desires to avail of the Trading Member's ITORS Service.

#### 6. CANCELLATION REQUESTS

- 6.1 When the Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the Client's request for cancellation is received and the order is successfully cancelled before it is executed.
- 6.2 The Client shall not be entitled to presume an order as having been executed or canceled until a confirmation from the Trading Member is received by the Client.
- 6.3 The Exchange may annul a trade suo-moto without giving a reason therefor. In the event of such annulment, the Trading Member shall be entitled to cancel the relative contract(s) with the Client.

#### 7. BROKERAGE, COMMISSIONS AND FEES

- 7.1 The Client agrees to pay the Trading Member brokerage, commission, fees, service tax and other taxes and transaction expenses as they exist from time to time and as they apply to the Client's account and transactions, and the services that he receives from the Trading Member.
- 7.2 A schedule of brokerage, fees and commissions, applicable service and other taxes and other transaction expenses shall be provided by the Trading Member to the Client from time to time upon request by the Client.

#### 8. CONFIRMATIONS

Online confirmation will be available to the Client upon execution or cancellation of an order placed by him through the Trading Member's ITORS System. This shall be followed by a confirmation, which may be sent by postal mail, electronic mail or other electronic means. It is the responsibility of the Client to review upon first receipt, whether delivered to him online, by postal mail, by electronic mail, or other electronic means, all confirmations of transactions or cancellations.

#### 9. INVESTMENT ADVICE

- 9.1 The Client acknowledges that the Trading Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.
- 9.2 The Client also acknowledges that the Trading Member's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Trading Member or any of its employees.

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

- 9.3 The Client agrees that in the event of the Trading Member or any employee or official of the Trading Member providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Trading Member shall not be liable or responsible for the same.
- 9.4 The Client assumes full responsibility with respect to his investment decisions and transactions.
- 9.5 The Trading Member, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

**10. SUPPLEMENTAL TO MAIN TRADING MEMBER – CLIENT AGREEMENT:**

This Agreement is supplemental to, and does not supersede, the Main Trading Member-Client Agreement. Save and except as modified expressly or by implication by this Agreement the Exchange Provisions or the terms of the Trading Member's ITORS WebSite, the provisions of the Main Trading Member-Client Agreement shall apply *mutatis mutandis* to the extent applicable to dealings between the Trading Member and the Client pursuant to or otherwise relating to the Trading Member's ITORS Service.

**11. REPRESENTATIONS AND WARRANTIES OF CLIENT**

The Client represents and warrants to the Trading Member that:

- 11.1 All the information provided and statements made in the Client's ITORS Account Application are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and the Client is aware that the Trading Member has agreed to provide the Trading Member's ITORS Service to the Client on the basis, *inter alia*, of the statements made in the Client's ITORS Account Application.
- 11.2 The Client is aware and acknowledges that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and the Trading Member's ITORS Service may at any time be unavailable without further notice. The Trading Member and the Exchange do not make any representation or warranty that the Trading Member's ITORS Service will be available to the Client at all times without any interruption. The Client agrees that he shall not have any claim against the Exchange or the Trading Member on account of any suspension, interruption, non-availability or malfunctioning of the Trading Member's ITORS System or Service or the Exchange's service or systems for any reason whatsoever.
- 11.3 The Client has the required legal capacity to, and is authorised to, enter into this Agreement and is capable of performing his obligations and undertakings hereunder.
- 11.4 All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into pursuant to this Agreement with all applicable laws, shall be completed by the Client prior to such transaction being entered into.
- 11.5 The Client shall abide by the Exchange Provisions and the terms of the Trading Member's ITORS WebSite in force from time to time.
- 11.6 Any instructions given by an authorised representative of the Client to the Trading Member (or to the Trading Member's representative) shall be binding on the Client.

**12. REPRESENTATIONS AND WARRANTIES OF THE TRADING MEMBER:**

The Trading Member represents and warrants to the Client that :-

The Trading Member's ITORS System has been approved by the Exchange. Where the ITORS system has not been approved by the Exchange, the Trading Member has applied/ proposes to apply to the Exchange to approve the said ITORS System and the Trading Member will commence the Trading Member's ITORS Service only after the Exchange has approved the Trading Member's ITORS System.

**13. MARKET DATA**

- 13.1 The Client understands that the Exchange asserts a proprietary interest in all of the market data it furnishes, directly or through the Trading Member or otherwise. The Client understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market data or any other market information, or any messages disseminated by it. Neither the Trading Member nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information and, if the Client acts on the basis of the same, he shall do so at his own risk and cost.
- 13.2 The Client shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the Client uses such information he shall do so at his own risk and cost.

**14. NOTICES**

- 14.1 Any notice or other communication to be given by any party to the other in connection with this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by facsimile transmission or by prepaid registered post or by e-mail to the addressee at the address or (as the case may be), the e-mail or facsimile number (if any), of that party set opposite its name below:

**To the Trading Member at:**

**To the Client at:** \_\_\_\_\_

Name of the person concerned : \_\_\_\_\_

Address : "Viraj Tower", 2nd Floor, Near Landmark,  
Western Express Highway, Andheri (East), Mumbai-400 069.

Fax No. : 39548500

**INVENTURE GROWTH & SECURITIES LTD.**

Name of the person concerned : \_\_\_\_\_

**Address** : \_\_\_\_\_

**TEL NO** : \_\_\_\_\_

**MOBILE NO.:** \_\_\_\_\_

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

E-mail : customercare@inventuregrowth.com

E-mail : \_\_\_\_\_

or at such other address, facsimile number or e-mail address as the party to be served may have notified the other in accordance with the provisions of this Clause.

Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between the Trading Member and the Client may be communicated orally.

#### 15. EXTRAORDINARY EVENTS

The Trading Member and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond the Trading Member's control.

#### 16. AMENDMENT TO AGREEMENT

The Client understands and agrees that the Trading Member may discontinue his ITORS Service in part or in its entirety and change the terms of the Service (including the terms on the Trading Member's ITORS WebSite) at any time and from time to time, without prior notice.

#### 17. TERMINATION OF AGREEMENT:

- 17.1 The Client agrees that the Trading Member may at any time terminate this Agreement. The Client is aware and accepts that in view of the nature of the transactions and dealings involved in providing the Service it may not be possible for the Trading Member to give advance notice of such termination or suspension to the Client.
- 17.2 The Client may at any time terminate this Agreement by not less than seven days notice to the Trading Member, provided that unless the Trading Member otherwise permits, the Client shall not be entitled to terminate this Agreement so long as any amount is payable or securities are deliverable by the Client to the Trading Member.
- 17.3 The termination of this Agreement shall not affect any rights or obligations of either party which have accrued prior to the termination or which may arise out of or in connection with acts done or omitted prior to the termination.
- 17.4 The provisions of Clauses 14, 20 and 21 of this Agreement shall survive the termination of this Agreement.

#### 18. SEVERABILITY

In the event of any provisions of this Agreement being held to be or becoming invalid, unenforceable or illegal for any reason, this Agreement shall remain otherwise in full force apart from the said provision which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.

#### 19. WAIVER

No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of this Agreement shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provision of this Agreement or be considered to be a waiver of any right, unless specifically agreed in writing.

#### 20. LAW AND JURISDICTION

- 20.1 This Agreement shall be governed by and construed in all respects in accordance with the laws of the Republic of India and, subject to the provisions of Clause 21, the courts at Mumbai, India shall have jurisdiction over this Agreement and the arbitration proceedings in relation to the Agreement.
- 20.2 This Agreement and all contracts and transactions between the Trading Member and the Client pursuant hereto shall be subject to the Exchange Provisions, the Rules, Bye-Laws, Regulations, and other provisions of its clearing house, if any, the provisions of the Securities and Exchange Board of India Act, 1992, the Securities Contracts (Regulation) Act of 1956 and the rules and regulations made thereunder and as amended from time to time.

#### 21. DISPUTE RESOLUTION

Any claim, dispute or difference arising between the Parties hereto in respect of this Agreement or any contracts, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Agreement or the interpretation or construction of this Agreement shall be subject to the grievance redressal procedure of the Exchange and shall be subject to the arbitration procedure as prescribed by the Exchange Provisions.

**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement as of the day and year first above written.

The client's Signature/ Authorised Signatory:

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Client Sign

Signed by: \_\_\_\_\_

Title: \_\_\_\_\_

Name of the client: \_\_\_\_\_

Witness on behalf on Client:

1. Name \_\_\_\_\_

Address \_\_\_\_\_



Witness Sign.

2. Name \_\_\_\_\_

Address \_\_\_\_\_



Witness Sign.

The stock broker's Signature/Authorised Signatory:  
**For Inventure Growth & Securities Ltd.**



Director / Authorised Signatory

Signed by: \_\_\_\_\_

Title: \_\_\_\_\_

Name of the stock broker:

**INVENTURE GROWTH & SECURITIES LTD.**

MEMBER : BOMBAY STOCK EXCHANGE LIMITED

SEBI REG. NO. : INB010901730

INF010901730

Witness:

1. Name \_\_\_\_\_

Address \_\_\_\_\_



Witness Sign.

2. Name \_\_\_\_\_

Address \_\_\_\_\_



Witness Sign.

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

**NSE - INTERNET**

Client Code No.

**NON-MANDATORY**

For Inventure Growth & Securities Ltd.

**BELOW MENTION CLAUSES OF MEMBER CLIENT AGREEMENT APPLICABLE TO CLIENT AVAILING INTERNET TRADING FACILITY.**

Director / Authorised Signatory

This agreement is made at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ between Inventure Growth & Securities Ltd. (member of National Stock Exchange of India Ltd. with SEBI Registration No.: INB230901739/ INF230901739, hereinafter called MEMBER and having its registered office at "Viraj Tower", 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069, Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli and \_\_\_\_\_ a individual/company/trust/ firm or any other body duly formed and registered under the relevant Act, hereinafter called the CLIENT, having its residence/registered office at \_\_\_\_\_

Client sign

Witness

Whereas the MEMBER is registered as Trading member of National Stock Exchange of India Ltd. with SEBI registration No. : INB230901739 in the Capital Market/ Cash Segment of National Stock Exchange of India Limited and SEBI registration number INF230901739 in the Futures and Options Segment of National Stock Exchange of India Limited.

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

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

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

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

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

1. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations and guidelines issued by SEBI and Stock Exchange rules, regulations and Bye-laws that may be in force from time to time.
2. In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result there from.
3. The agreement entered into between the MEMBER and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one month written notice. Such cancellation or termination shall not have any effect on transaction executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have same obligations in respect of such transactions.
4. The instructions issued by an authorized representative of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the client.
5. The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party.
6. The CLIENT agrees that the MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/MEMBERS/EXCHANGE end.
7. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.
8. The MEMBER shall also send the Order/Trade confirmation slip through E-mail to the CLIENT at his request, within \_\_\_\_\_ (time period as specified by the Client) from the time of execution of order/trade on the NEAT system, as the case may be. The CLIENT agrees that the information sent by MEMBER by the E-mail is deemed to be a valid delivery of such information by the MEMBER.
9. The CLIENT is aware that the MEMBER has provided on the web site a facility for reconfirmation of orders, which are larger than that specified by the MEMBER's risk management, by the MEMBER and is also aware that the MEMBER has the discretion to reject the execution of such

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**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

orders based on his risk perception.

- 10. The Member and the Client are aware of the provisions of Bye-Laws, Rules and regulations of the Exchange relating to resolution of disputes/ differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
- 11. All trades, transactions and contract are subjects to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the Rules and regulations of the Exchange.

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

The client's Signature/ Authorised Signatory:


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Client Sign

Signed by: \_\_\_\_\_

Title: \_\_\_\_\_

Name of the client: \_\_\_\_\_

The stock broker's Signature/Authorised Signatory:  
**For Inventure Growth & Securities Ltd.**


[Redacted Signature]  
 Director / Authorised Signatory

Signed by: \_\_\_\_\_

Title: \_\_\_\_\_

Name of the stock broker:  
**INVENTURE GROWTH & SECURITIES LTD.**  
 MEMBER : NATIONAL STOCK EXCHANGE OF INDIA LIMITED  
 SEBI REG. NO. : INB230901739  
 INF230901739

Witness on behalf of client:

1.  
Name \_\_\_\_\_  
Address \_\_\_\_\_


Witness Sign.

2.  
Name \_\_\_\_\_  
Address \_\_\_\_\_



Witness Sign.

Witness:

1.  
Name \_\_\_\_\_  
Address \_\_\_\_\_


Witness Sign.

2.  
Name \_\_\_\_\_  
Address \_\_\_\_\_


Witness Sign.

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

Client Tel. No / Mobile No . \_\_\_\_\_

E\_mail ID \_\_\_\_\_

**MCX-SX : INTERNET**

Client Code No.

**NON-MANDATORY**

For Inventure Growth & Securities Ltd.

**BELOW MENTION CLAUSES OF MEMBER CLIENT AGREEMENT APPLICABLE TO CLIENT AVAILING INTERNET TRADING FACILITY.**

Director / Authorised Signatory

This agreement is made at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ between Inventure Growth & Securities Ltd (hereinafter called 'Member') and having registered office at 201, Viraj Towers, 2nd Floor, Near LAMDMARK, Western Express Highway, Andheri (East), Mumbai - 400 069 And Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli AND \_\_\_\_\_ an individual / firm / company / any other body duly formed and registered under the relevant Act, (hereinafter called 'Client' or 'Constituent') and having residence / registered office at \_\_\_\_\_.

Whereas the member is registered as a member of MCX Stock Exchange Ltd. (hereinafter called 'Exchange') with SEBI Registration No.INE260901739

Whereas the client is desirous of investing / trading in those securities admitted for dealing on the Exchange.

Whereas the client has satisfied and shall continue to satisfy himself of the capability of the member to deal in securities and wishes to execute his orders through the member.

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

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

Whereas the member has the requisite approval of the Exchange to provide internet based trading facility and fulfills all requirements specified by SEBI and the Exchange in that regard.

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

1. Definitions

"IBT" means internet based trading, being a system approved by the Exchange for enabling clients to route their orders to their Member over the internet. "IBT Service" means the service offered by the Member to its clients through IBT where under the clients can route their orders for purchase, sale and other dealings in securities / contracts on the Exchange through the Members Web Site.

"Password" means alpha, numeric or alphanumeric code used by the client to validate his username and access the IBT Service.

"System" means the system hosted by the Member on the internet through which the IBT Service is offered, the Member's system for accepting orders over the telephone and also includes any other system offered by the Member for accepting orders from a client and performing any part of the Service.

"Member's Site" means the Member's web site at or such other web site as may be hosted by the Member for access through the internet, through which the Member offers the Services.

2. The client will be entitled to a unique User Name, Password and Customer User identification Number or other identification or security code (herein after referred to as 'IBT account'), which will enable the client to access the Member's System or Service through the Member's website.
3. The client acknowledges that he is fully aware of and understands the risk associated with trading through IBT, including the risk of misuse and unauthorized use of the User Name, Password and Customer User identification Number. And being so fully aware he desires to avail of such facility out of his own free will and is agreeable to bear all associated risks and responsibility.
4. The client shall be responsible for keeping the User Name, Password and Customer User identification Number allotted to him confidential and secure. The client shall be wholly accountable for all the trades executed from the IBT account allotted to him.
5. The client shall immediately inform the Member in case he
  - discovers any flaw in the member's IBT security system
  - discovers or suspects unauthorized access through his IBT account
  - notices any discrepancies in use of IBT account allotted.
  - he does not, on the same day as the receipt or execution of an order by the member, receive a message from the member indicating that the order has been received or executed; he does not receive an accurate written confirmation of an execution; or receives confirmation of an order and/ or execution which he did not place; or receives inaccurate information about his account balances or positions taken or transaction history along with all the particulars including the date, manner of use, the transactions effected, etc.

Client sign

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**For Inventure Growth & Securities Ltd.**

Director / Authorised Signatory

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Client sign

6. In any of the above events, the Member will allot new user name, password or User identification Number or other identification or security code to the constituent to secure the authenticity of the orders placed by the constituent through his IBT account on the Member's web site.
7. The constituent shall log off from his IBT account when he completes a session. The constituent will be solely liable for the consequences of failure to log off his IBT account.
8. The constituent agrees and undertakes to immediately deposit with the Member such cash, securities of other acceptable security, which the trading member may require as margin. The Member is entitled to require the constituent to keep permanently with him a margin of a specified value as long as the constituent desires to avail the facility of trading through IBT system.
9. The Constituent acknowledges that an instruction to modify or cancel an order placed on the trading system of the Exchange may not be carried out if -
  - (a) the order was executed before such instruction was received by the Member's IBT System or
  - (b) it was executed within a short time thereafter, which turns out to be insufficient for the Member's IBT System to place a corresponding instruction in the Exchange's trading system prior to its execution
10. The Member will send an online confirmation to the constituent on his IBT account upon the execution or cancellation of order placed by the constituent using the IBT service.
11. This agreement is supplemental to and does not supersede, the Member- Constituent Agreement. Save and except as modified expressly or by implication by this Agreement the Member-Constituent Agreement shall apply to transactions done through IBT system also.
12. The constituent acknowledges that all the information provided while applying for IBT facility are true and correct and are not misleading and the constituent is aware that the Member has agreed to provide the facility of trading through IBT system on the basis of such information.
13. The constituent is aware that trading over internet involves many uncertain factors and complex hardware, software systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and it is possible that the Member's service may become unavailable without notice. The Member and the Exchange do not make any representation nor warranty that the IBT Service will be available to the constituent at all times without any interruption. The constituent agrees that he shall not have any claim against the Exchange and the Member on account of any suspension, interruption, non-availability or malfunctioning of the member's System or Service or the Exchange's service or systems for any reason whatsoever.
14. The Member and the constituent shall abide by the Exchange requirements and the terms of the IBT service provided by the Member, in force from time to time.
15. The Member will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, natural calamities, accident, power failure, equipment or software malfunction, strikes or other conditions beyond the Member's control.
16. The constituent agrees that the Member may at any time discontinue this Agreement, by giving not less than seven days notice. Provided that in exceptional circumstances the member may terminate this agreement without advance notice to the constituent. The constituent may at any time terminate this Agreement by not less than seven days notice to the Member, provided that unless the Member otherwise permits, the constituent shall not be entitled to terminate this Agreement so long as any amount is payable by the constituent to the Member.
17. In the event of any provisions of this Agreement being held to be or becoming invalid, unenforceable or illegal or any reason, this Agreement shall remain otherwise in full force apart from the said provisions which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.
18. No forbearance, relaxation or inaction by any party at any time to require the performance of that or any other provision of this Agreement or be considered to be a waiver of any right, unless specifically agreed in writing.
19. The Member and the constituent are aware of the provisions of rules, bye-laws and regulations of the Exchange relating to resolution of disputes / differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions
20. All trades, transactions and contracts are subject to the rules, bye-laws and regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the rules, bye-laws and regulations of the Exchange mechanism of arbitration provided by the Exchange and agree to abide by the said provisions
20. All trades, transactions and contracts are subject to the rules, bye-laws and regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the rules, bye-laws and regulations of the Exchange

Signed for and on behalf of MEMBER

Inventure Growth & Securities Ltd

SEBI Regn. No: INE260901739

Signature :

Witness :

Signed for and on behalf of CONSTITUENT

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Signature :

Witness :

## NON-MANDATORY

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

**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 SERVICES OF IGSL. THE CLIENTS MAY REVOKE ANY OR ALL THE CLAUSES OF THIS DOCUMENT BY COMMUNICATING 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. The Shares shall be delivered by the Clearing House(s) to the Client's Demat account on payout date subject to clear account balance with the Stock Broker. Failure of which, the Stock Broker will be entitled to sell the shares and the loss if any shall be to the Client's account.
3. In case of Sale transactions, the securities shall be delivered by the Client to the Stock Broker before the pay in for the sale takes place. 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.
4. 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, other 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.
5. The Stock Broker shall have the right to refuse to accept any buy or sell instruction from the Client without providing any reasons thereof provided that the Stock Broker shall inform the Client of any such decision in advance.
6. **OTHER OPERATIVE CLAUSES**
- 6.1 In this agreement, unless the context specifies otherwise, reference to the singular includes a reference to the plural and vice versa and reference to any gender includes reference to all other gender. Heading are given for convenience only.
- 6.2 The Client authorizes Member to retain order confirmation / modification / cancellation / trade confirmation slips and to send it to him only on specific request being made in this regard.
- 6.3 The Client agrees that any failure by member to exercise or enforce any rights conferred upon it by this Agreement shall not be deemed to be a waiver of any such rights or operate so as to bar the exercise or enforcement thereof at any subsequent time or times.
- 6.4 The Client agrees to be bound by all changes or modifications that are made to this Agreement by the Member by Sending a notice to the Client at this last known address, at its sole and complete discretion.
- 6.5 The client agrees to abide by operational procedures laid down by Member regarding dispatch of contract notes and mode of communication, banking transaction, billing etc. and any changes made in these procedures from time to time. The Member may send contract note, bill or any other information to the Client through post / courier or through electronic mode.
- 6.6 The Client agrees to be bound by the guidelines, including the rules pertaining to the adjustment of shortages in Client's position in securities transacted on behalf of the Clients, by the Member, either through orders placed through the use of the e-broking services of the Member or otherwise as may be issued by the Member from time to time. In case of internal shortage of securities, any entry passed to the account of the client in accordance with practice consistently followed by the Member across all its Clients shall be binding on the Client.
- 6.7 The Client's shall indemnify and keep indemnified the member harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, changes and / or expenses that are occasioned or may be occasioned to the Member 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 Clients during the course of its dealings / operations on the Exchange.
- 6.8 The Member 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.
- 6.9 All trades transactions and contracts are subject to Government notifications, any rules, bye-laws, regulations and guidelines issued by SEBI Stock Exchange, Clearing Houses / Corporations, BOI Shareholding Ltd. and any other stock lending intermediary that may be in force from time to time and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of trade execution and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts any where in India for the purpose of giving effect to these provisions.
- 6.10 Right of set off : The member shall have the right to set off the balances of the client with the Member in any account(s) in any segment / exchange with respect to money and securities. All monies, securities or other property which member may hold on client's account shall be held subject to a general lien for the discharge of Client's obligations to the member.

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Client Sign

6.11 The Client is responsible for all orders, including orders that may be executed without the required margin in the client's account. If the client's order is executed despite the shortfall in available margin, the client shall whether or not the member intimated such shortfall in margin to the client, Instantaneously make up the 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.

7. **INVESTMENT ADVICE :**

7.1 The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.

7.2 The Client also acknowledges that the Member's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any advice from the Member or any of its employees.

7.3 The Client agrees that in the event of the Member or any employee or official of the Member providing any information, to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Member shall not be liable or responsible for the same.

7.4 The Client assumes full responsibility with respect to his investment decisions and transactions.

7.5 The Client shall always keep himself abreast of all requirements to be complied by him under various laws including the Foreign Exchange Management Act, 1999 wherever applicable and the rules, regulations, directions, circulars, notifications or guidelines issued under of pursuant to the relevant laws.

**8 TRANSACTIONS AND SETTLEMENTS**

The Sub Broker and client hereby agree and confirm that

- a) Unless the member otherwise permits, all orders for the purchase and / or sale of securities shall result in delivery of securities for a sale trade or payment for purchase trade.
- b) The Member shall not be obliged to deliver any securities or pay any money to the Client unless and until the same has been received by the Member from the Exchange or the Clearing House (as the case may be).
- c) Unless the Member otherwise specifies, and subject to the Member's rights of set off and other rights, the Securities to be delivered by the Member to the Client pursuant to the Client's purchase transactions shall be delivered by the Member to client's Depository Account and sale proceeds to be paid by the Member to the Client shall be credited to the Member Account on or after the pay-out date, as scheduled by the Clearing House and as prescribed by the Member from time to time.
- d) The Member shall have the right to allocate securities and money among the Client and other Clients of the Member in a manner and from that the Member deems fit where (i) the member has a net purchase obligation in respect of the Client and other Clients with the Exchanges, but receives a short delivery and (ii) the Exchanges is only able to partly receive in auction and partly close out the securities falling short on behalf of the defaulting party.
- e) The Member shall be entitled to offset the purchase value of a the purchase transaction of the Client against the proceeds of a sale transaction of the Client.

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Client Sign

Name of the Client: \_\_\_\_\_

**NON-MANDATORY**

**DECLARATION BY FIRM (SOLE PROP.) ON LETTER HEAD OF THE FIRM**

To,

Dated :

**Inventure Growth & Securities Ltd.**

Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway,  
Andheri (East), Mumbai-400 069.

Dear Sir

I refer to the trading account opened with you in the name of \_\_\_\_\_ and declare and authorize you as under.

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ having DP ID \_\_\_\_\_ opened in the name of the undersigned who is the sole proprietor of the firm.

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

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Client Sign

(Please sign with stamp of the firm)

Further I the undersigned am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

The cheques/DD may be issued by me from my individual account or my joint account with some one else. This said amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s \_\_\_\_\_ with Inventure Growth & Securities Ltd. I shall not lay any claim whatsoever in future against Inventure Growth & Securities Ltd. for affording credit of such cheques/DDs issued from my individual/joint account credit of which has been provided by Inventure Growth & Securities Ltd. to the account of my proprietorship firm M/s \_\_\_\_\_

Yours truly,

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Client Sign

Signature (Please sign **without** stamp of the firm)

Name of Client : \_\_\_\_\_

Client Code : \_\_\_\_\_

Date : \_\_\_\_\_

Place : \_\_\_\_\_

**NON-MANDATORY**

**RUNNING ACCOUNT AUTHORISATION**

Financial Year: \_\_\_\_\_

From: \_\_\_\_\_

\_\_\_\_\_

Date : \_\_\_\_\_

To

**Inventure Growth & Securities Ltd.**

Viraj Tower, 201, 2nd Floor, Near Landmark,


Western Express Highway,

Andheri (East), Mumbai-400 069.

Dear Sir,

Regarding Authorization to maintain running account trading account No. \_\_\_\_\_

I am / We are regularly Trading with you for Cash, Derivative & Currency Market in Multiple Exchanges. I/we hereby authorized you to do following on my/our behalf:

1. You are requested to accept all my buy / sell orders over the telephone / fax conveyed by myself /our selves or Mr. \_\_\_\_\_ who is duly authorized by me / us, and thus no need to take our orders in writing every time. All such orders and trades will be binding on me /us.
2. I / we hereby authorize the undersigned Mr./ Ms. \_\_\_\_\_ to collect & acknowledge on my /our behalf Bills, Contracts, Ledger Statement, Demat Statement, Cheques or any other documents of my /our daily transactions.  
 (Signature of authorized person)
3. You can adjust any amounts receivable from me /us against any credits standing into my /our account or from my /our forthcoming pay-outs payable to me/ us.
4. Further, I/We hereby give my/our consent to maintain my/our account for fund and securities as RUNNING ACCOUNT. The Securities lying in my withhold A/c should be considered as margin deposits. The said Running Account authorization is subject to revocation in writing by me at any time. I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of any Exchanges. The actual settlement of funds & Securities shall be done by you every Monthly/Quarterly interval. You will send quarterly/ monthly statement of Funds & Securities and I/We shall bring any discrepancy within 7 working days from the receipt of Statements. You will transfer my funds/Securities lying with you within one / three working day of the request as the case may be.

I have noted the following :-

- 1) This authorization must be renewed at least once a year.
- 2) The authorization shall be signed by me only and not by any power of attorney holder or by any authorized person.
- 3) I may revoke the authorization at any time.

Thanking you,

Yours faithfully,

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Client Sign

Name of the Client : \_\_\_\_\_

Client Code : \_\_\_\_\_

**NON-MANDATORY**

## Digitally contract notes confirmation

From : \_\_\_\_\_

\_\_\_\_\_

Client Code:

To,

**Inventure Growth & Securities Ltd.**

Viraj Tower, 201, 2nd Floor, Near Landmark,

Western Express Highway,

Andheri (East), Mumbai-400 069.

Dear Sir,

**Sub.: Mandate to issue contract notes & other documents in digital format.**

I / We hereby agree and consent to accept the contract notes & other documents for transactions carried on by us with you, in terms of the agreement entered into between us, in digital form. Digital documents issued by **Inventure Growth & Securities Ltd.** as per the terms and conditions specified herein shall be binding on me. The mandate is subject to terms and conditions mentioned herein below.

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

- 1) Digital Documents in the format as may be prescribed by the Exchange from time to time will be mailed to the E-mail address provided me.
- 2) I / we undertake to check the digital documents and bring the discrepancies to your notice within stipulated time of such issuance of contract notes.  
My /our non-verification or not accessing the documents on regular basis shall not be a reason for disputing the documents at any time.
- 3) In case of any failure in system or errors in digital documents, such documents will be issued in physical form, which shall be binding on the client.
- 4) Discrepancies, if any, should be sent by client or to E-mail: [grievances@inventuregrowth.com](mailto:grievances@inventuregrowth.com).
- 5) **Inventure Growth & Securities Ltd.** will not be responsible for the bounced mail or Delivery failure (Digital Contract sent to client).
- 6) The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
- 7) It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.

This instruction to issue digital documents is applicable with immediate effect. This instruction is several to all parties mentioned above.

My E-mail ID \_\_\_\_\_

My alternative E-mail ID is \_\_\_\_\_

If there is any change in my/our email ID or in the name or in the residential/correspondence address, the same shall be intimated to you in writing through physical letter within reasonable period of time. In respect of internet clients, the request for change of email id may be made through the secured access by way of client specific user id and password.

I/we have noted the following:

The authorization shall be signed by the me/us only and not by any authorised person on my behalf or any holder of the Power of Attorney.

Yours faithfully,

\_\_\_\_\_

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Client Sign

**NON-MANDATORY**

**LETTER OF STANDING INSTRUCTION**

I am aware that the below mentioned points are voluntary and I have an authority to set aside or revoke any of them whenever I want to. I am giving this authorization for my operational convenience.

Date: .....

To,

**Inventure Growth & Securities Ltd.**

Viraj Tower, 201, 2nd Floor, Near Landmark,

Western Express Highway,

Andheri (East), Mumbai-400 069.

Respected Sir,

Sub : Letter of Standing Instructions

I hereby will fully and unconditionally issue following standing instructions with references to personal discussion between us:

1. I/We are agreeable that the credit balance of funds and shares be treated as margin for both cash and derivatives segment and that no interest will be payable by the company thereon.
2. I/We am/are agreeable for transfer of credit balance in margin account / client account of cash segment towards adjustment debit balance in margin account / client account of derivatives segment and vice versa.
3. I/We am/are agreeable for transfer of credit balances in margin account / client account of cash, derivatives and currency futures segments of any of the Exchanges (i.e. BSE, NSE and MCX-SX) against debit balance in margin account / client account of cash, derivatives and currency futures segments of any of the Exchanges (i.e. BSE, NSE and MCX-SX).
4. I/We am/are agreeable for inter settlement transfer of securities towards pay in / pay-out of securities in the future / past settlements.
5. I/We am/are agreeable for and authorise you to withhold funds pay our towards all the applicable margins and debits.
6. As regards the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me / us in complying the same, I/We would request you to accept orders placed orally on telephone.
7. I/We have noted that you trade on your PRO/OWN account
8. I/We shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes to anyone else for trades done in our client code.
9. All fines / Penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my accounts.
10. I/We authorise you to give instructions to my Bank and DP for debiting / crediting my / our account/s with them.
11. I/We am/are confirm that the revocation of standing instructions will be effective only from the date and time the notice is received by the company. I also confirm that all transactions originated prior to it are valid.

Thanking you.

Yours faithfully,





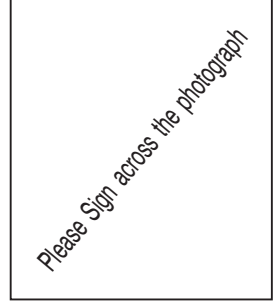
Client Sign

Client Name : \_\_\_\_\_

**BANK CONFIRMATION LETTER**

**NON-MANDATORY**

From :



To, The Manager,

Ref. : Saving / Current A/c No. \_\_\_\_\_

Sir,

I am having Saving / Current a/c No. \_\_\_\_\_ with you bank since \_\_\_\_\_ Kindly verify my signature & certify it with date of opening the account.

Kindly do the needful & oblige.

Thanking You,

Yours Faithfully,

\_\_\_\_\_

Date: .....

**NON-MANDATORY**

To,

**Inventure Growth & Securities Ltd.**

Viraj Tower, 201, 2nd Floor, Near Landmark,  
Western Express Highway,  
Andheri (East), Mumbai-400 069.

Dear Sirs,

**Re: Special consent letter with reference to the Tripartite Agreement between Stock Broker, Sub-Broker and Client**

1. Please refer to the Agreement dated \_\_\_\_\_ signed by me/us at the time of registering myself/ourselves with your Company as a Client for the purpose of investing / trading in shares and securities / derivatives and F&O segment on Bombay Stock Exchange Limited (BSE) / National Stock Exchange of India Limited (NSE) and the Client Registration Form submitted by me/us along with the requisite documents as proofs.
2. This Agreement has spelt out in detail responsibilities / obligations and rights and duties of all three parties namely you (Stock Broker - Member of the Exchange), Mr/Ms/ - M/s. \_\_\_\_\_ (Sub-Broker) and myself / ourselves (Client) to the Agreement. Further the document called "Combined Risk Disclosure Document for Capital Market / Cash Segment and Futures & Options Segment "handed over by you to me/us outlines risks involved in transacting in the Stock Exchanges procedures which I/we have read, understood, and signed. You/your Sub-broker explained to me/us technicalities of dealing in the Stock Exchanges and precautions I/we am/are required to take and the safeguards I/we am/are required to follow. In addition to the Do's and Don'ts prescribed by SEBI / NSE / BSE / NSDL / CDSL, I/we am/are required to follow procedures, practices and implement the following Do's and Don'ts while buying or selling and / or dealing in securities through the Sub-Broker.
3. I/we agree and will make payments by A/c Payee cheques drawn in favour of Inventure Growth & Securities Ltd. and receive amounts due from you by A/c Payee cheques which I/we shall deposit in the Bank Account advised by me/us to you in my/our KYC form. At present main brokers are required to make payments after two days from the dates of transactions and if I/we do not receive your payment in time, I/we shall bring the matter to your attention immediately. In case I/we fail to do and fail to act as stated above you shall not be responsible for such payment or any loss suffered by me.
4. I/we shall deliver shares sold by me/us on the same day or on the following day from my/our demat account only and receive shares in my/our demat account only against my/our purchases within 2 days from the date of the transaction/s. In respect of my/our purchases of shares I/we shall regularly check and ensure that shares are credited in my/our demat account within time mentioned above and in case my/our account is not credited I/we shall report the matter to you immediately. In case I/we fail to act as stated above you shall not be responsible for any loss suffered by me/us.
5. All my/our transactions are to be done through you and if instructions are given through the Sub Broker or any Authorized Person I/we will ensure that I/we have received money / shares as the case may be within prescribed time limit. In case I/we fail to act as stated above you will not be responsible for any loss suffered by me / us.
6. Please note that if I/we handover shares or money to your Sub broker which is not relating to or not with reference to the transaction/s done through you then I/we understand that such a transaction/s or dealing will be solely at my/our risk, cost and consequences. If I/we deal with Sub-Broker by undertaking off-market transaction/s and or to/fro off-market exchange of shares, you will not be liable in any manner whatsoever. In case by doing so if I/we suffer any loss you will not be responsible in any way / manner for my/our such acts.
7. I understand, agree, admit and confirm that no Claim for shares can lie against you without underlying purchase/s trade through you on the trading system of exchanges. Further no Claim for shares can lie against you for shares on the basis of demat slips issued by the Sub-broker for transfer of shares from his demat account which are subsequently not honored by the Sub-Broker. I/We clearly understand that my/our claim of shares and/or money not based on any underlying transaction on the trading system of the exchanges but for which payments have been made to the Sub-Broker, then liability, if any, will be that of mine/ours and not yours (i.e. Inventure Growth & Securities Ltd.)
8. Claim of sale proceeds in respect of shares delivered to the Sub-Broker's demat account without underlying trades on the trading system of exchanges and shares transferred to the Sub-Broker in any manner and for whatever purpose without underlying trade on the trading system of exchanges shall lie only against the Sub-Broker and liability, if any, will be that of mine/ours only.
9. I/we agree, admit and confirm that any action on my/our part which is not in conformity with the above special consent will not bind you and you shall at all times remain absolved of any liability civil and/or criminal and I/we alone will be responsible for ever.
10. I/we confirm that I/we have read this letter thoroughly, understood the contents and I/we agreed with it and have signed this willingly and voluntarily.

Thanking you.

Yours faithfully,

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Client Sign

Client Name: \_\_\_\_\_

Date: .....

To,

**Inventure Growth & Securities Ltd.**

Viraj Tower, 201, 2nd Floor, Near Landmark,

Western Express Highway,

Andheri (East), Mumbai-400 069.

Sub: Acknowledgement receipt for the various documents.

Dear Sir / Madam,

I/We have received below mentioned documents and information while opening trading and / or demat account with you.

**NON-MANDATORY**

Sr. No.	List of Documents
1.	Know Your Client (KYC) Registration Form (i.e. KYC Form, all mandatory and non-mandatory documents, copies of personal documents like identity proof, address proof, bank proof, I.T. Return etc.)
2.	Demat Opening Form along with mandatory and non-mandatory documents
3.	Power of Attorney of securities
4.	Trading Code: Demat ID:
5.	Login ID & Password for Back office purpose: Login ID: Password:
6.	Noting your website (i.e. www.inventuregrowth.com) for all communication that you as a stock broker give to your clients including various policies and procedures as updated from time to time.

Thanking you,

Yours faithfully,

59



Client Sign



Regd. Off. : Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069. Tel.: 39548500, Fax: 4075 1535  
Admin. Off. : 1012, P. J. Tower, Dalal Street, Mumbai - 400 001. Tel. : 2272 3790 (8 lines), Fax : 2272 3798. E-mail : helpdesk.dp@inventuregrowth.com  
Website : www.inventuregrowth.com

## ACCOUNT OPENING FORM FOR INDIVIDUAL

**Account No.** : 12011200

**Name (1)** : \_\_\_\_\_

**Name (2)** : \_\_\_\_\_

**Name (3)** : \_\_\_\_\_

**DP Internal Ref. No.** : \_\_\_\_\_

**Mobile No.** : \_\_\_\_\_

**Email Id** : \_\_\_\_\_

## INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

- All correspondence / queries shall be addressed to the first / sole applicant.
- Signatures can be in English or Hindi or any of the other languages contained in the 8th schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
- Signatures should be preferably in **black** ink.
- Details of the Names, Address, and Tel No. etc. of the Magistrate / Notary Public / Special Executive Magistrate are to be provided in case of any attestation done by them.
- In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarized copy thereof must be lodged along with the application.
- All holders of the account will be required to sign all the depository instructions / correspondence.
- Any change in the details given here in required a letter alongwith supporting documents duly signed.
- Strike off whichever is not applicable.
- **Kindly update the D P about any changes in address and bank details to ensure proper receipt of Corporate Benefits, correspondence etc.**
- **Nomination is compulsory for Single Holder.**
- If the Clearing member is a Sole Proprietor or an Individual, then the Corporate Account Form should be filled in.
- All Correspondence / queries shall be addressed to the first / sole applicant.
- Suffix refers to Mr. X Junior or Mr. X Senior Lord Y I or Lord Y II etc.
- Where the holder is a minor, person lawfully entitled to act on behalf of the minor should sign the nomination.
- **The minor should be the first and sole holder in the account. i.e. there should not be any joint accounts where a minor is a First / Second / Third joint holder.**

### CHECK-LIST

**(A) Identity Proof** (any one of the following)

- **PAN Card with photograph\***  
(Compulsory for all the Account holders w.e.f. 1/4/06)
- Passport • Driving License • Voters Card  
(Copy of Front & Back side compulsory)
- Identity card/document with applicant's Photo, issued by :
  - Central/State Government and its Departments
  - Public Sector Undertakings
  - Public Financial Institutions
  - Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their members
  - Statutory / Regulatory Authorities
  - Scheduled Commercial Banks
  - Colleges affiliated to Universities
  - Credit cards / Debit cards issued by Banks

**(B) Address Proof**

(Compulsory for all the A/c holders )  
(For Permanent & Correspondence Address)  
(any one of the following)

- Ration card • Bank Passbook  
• Bank Statement  
(original copy duly attested by BO)  
(Not more than 6 months old)
- Voters Card • Passport (Valid) • Driving License (Valid)  
(Copy of Front & Back side compulsory)
- Residence Telephone Bill (not more than two months old)
- Electricity Bills (not more than two months old)
- Leave & License agreement / Agreement for sale
- Identity card / document with address issued by
  - Central/State Government and its Departments
  - Public Sector Undertakings
  - Public Financial Institutions
  - Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their members; and Self-declaration by High court & Supreme Court judges, giving the new address in respect of their own accounts.
  - Scheduled Commercial Banks
- Statutory / Regulatory Authorities
- Colleges affiliated to Universities

**(C) Correspondence Address**

(If Permanent Address differs from Correspondence address then provide) (any one of the following)

- Electricity Bill & Residence Telephone Bill  
(not more than two months old)
- Leave & License Agreement
- Purchase Agreement
- Office Address - Certificate from the employer

**(D) Bank details proof**

- Copy of cheque & any bank documentary proof having Name & A/c No. on it, Photo copy of Bank Statement having name & address of BO (not more than 4 months old)

**(E) Minor Details** All Mandatory

- Birth certificate of minor.
- PAN Card of minor.
- Proof of address and identity documents of the Guardian as per list A and B above.
- One passport size photograph of minor and one of guardian with guardian's signature across the photograph. Guardian should sign across the photograph of the Minor.
- According to the Hindu Guardians and Wards Act, natural parent i.e. Father, and in his absence, Mother, only can be the guardians. In any other event, the guardian has to be appointed by the court.

**(F) HUF** All Mandatory (Stamp must be as per HUF, PAN Card)

- All the documents as mentioned above for account opening of individual investors will be applicable.
- Declaration giving details of the family members of the HUF with their names, date of birth and relationship with the Karta.
- HUF PAN Card & Bank Pass Book - Contained HUF  
Note : [HUF accounts cannot be opened with joint holder(s) and nominee cannot be appointed.]  
[In the account opening form, the Karta should sign under the HUF stamp.]  
[in the event of death of Karta, his death certificate and succession certificate must be taken]

**(G) NRI** All Mandatory

- PAN Card
  - Proof of foreign address and Indian address (if any)
  - Proof of identity
  - Bank a/c details (Indian)
  - Power of Attorney, if any
  - Copy of passport (Full set)
- For NRI accounts without repatriation benefits, address in India & proof thereof is mandatory
- Fema Declaration

Note:

1. All proof should sign with their firm name / designation rubber stamp.
2. If client applied under NRI category & appoint attorney holder than in provide signature card for attorney holder signature also affixed rubber stamp "name of client - power of attorney holder".
3. If client applied under Minor category than guardian must sign provide signature card, guardian must also affix rubber stamp as "name of child - minor rep. by guardian".

**ACCOUNT OPENING FORM FOR INDIVIDUAL**  
Individual / NRI / Foreignnational

Type of Account												(Please tick whichever is applicable)											
Status						Sub – Status																	
<input type="checkbox"/> Individual						<input type="checkbox"/> Individual Resident				<input type="checkbox"/> Individual-Director				<input type="checkbox"/> Individual Director's Relative									
						<input type="checkbox"/> Individual HUF / AOP				<input type="checkbox"/> Individual Promoter				<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)									
						<input type="checkbox"/> Others (specify)																	
<input type="checkbox"/> NRI						<input type="checkbox"/> NRI Repatriable				<input type="checkbox"/> NRI Non-Repatriable				<input type="checkbox"/> NRI-Repatriable Promoter									
						<input type="checkbox"/> NRI Non-Repatriable Promoter				<input type="checkbox"/> NRI – Depository Receipts				<input type="checkbox"/> Others (specify)									
<input type="checkbox"/> Foreign National						<input type="checkbox"/> Foreign - National				<input type="checkbox"/> Foreign National - Depository Receipts				<input type="checkbox"/> Others (specify)									
Application No.						Date																	
DP Internal Reference No.																							
DP ID		1	2	0	1	1	2	0	0	Client ID													

(To be filled by the applicant in **BLOCK LETTERS** in English)

I / We request you to open a Demat Account in my / our name as per the following details: -

**Sole / First Holders Details**

First Name																							
Middle Name																							
Last Name																							
Father / Husband Name																							
Title						<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other						Suffix											
Correspondence Address						Permanent Address (if different from Correspondence Address)																	
City						State						City						State					
Country						PIN						Country						PIN					
Tel. No.						Fax No.						Tel. No.						Fax No.					
Mobile No.																							
PAN No. (Compulsory)*																							
E-mail ID																							
Date of Birth																							
Nationality						<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)																	
Sex						<input type="checkbox"/> Male <input type="checkbox"/> Female																	
Occupation						Service { <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public/Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body}																	
						<input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired																	
						<input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____																	
Nature of business: (Products/services provided)																							
Financial Details:						Income Range per annum:																	
						<input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,001 to 2,00,000 <input type="checkbox"/> Rs. 2,00,001 to 5,00,000 <input type="checkbox"/> More than Rs. 5,00,000																	
I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit]												<input type="checkbox"/> Yes <input type="checkbox"/> No											
Account Statement Requirement						<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly																	
Do you wish to receive dividend / interest directly in to your bank account through ECS?												<input type="checkbox"/> Yes <input type="checkbox"/> No											



Name
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

**Additional Details**

<b>SMS Alert Facility</b>	<input type="checkbox"/> Yes MOBILE NO. +91 _____ Refer to Terms & Conditions given as <b>Annexure-A</b>	<input type="checkbox"/> No
<b>easi</b>	<input type="checkbox"/> Yes. If yes, please contact your DP for details (Facility through CDSL's website: www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.)	<input type="checkbox"/> No

<b>Details of Guardian</b>		(If Holder is a minor)					
First Name	Middle Name			Last Name			
Relationship with the applicant							
Correspondence Address							
City	State						
Country	PIN						
Telephone No.	Fax No.		Mobile No.				
PAN No. (Compulsory)*							
E-mail ID							

<b>For NRIs</b>	
Foreign Address	
City	State
Country	PIN

I/We have read the terms & conditions DP-BO agreement and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by / us in this form. I / We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	1 <sup>st</sup> .Holder Sign	2 <sup>nd</sup> .Holder Sign	3 <sup>rd</sup> .Holder Sign
Latest Passport size colour photograph  →	Please Sign across the photograph Excluding Face	Please Sign across the photograph Excluding Face	Please Sign across the photograph Excluding Face

**(Signatures should be preferably in black ink)**  
**(In case of minor holder, photograph of guardian has to be affixed along with minor's photograph)**  
**(Please confirm & check that all the A/c holder has to do the signature in same order in all the places wherever required)**

<b>IN PERSON VERIFICATION DONE BY:</b>	<b>FOR INVENTURE GROWTH &amp; SECURITIES LTD.</b>
NAME: _____	
DESIGNATION : EXECUTIVE OFFICER	<b>AUTHORISED SIGNATORY</b>
DATE: _____ TIME: _____ PLACE: _____	

===== ( Please Tear here ) =====

**(Please preserve this Acknowledgement Receipt) Acknowledgement Receipt**

Application No. :	Date :
DP ID   1   2   0   1   1   2   0   0   Client ID	

We hereby acknowledge the receipt of the Account Opening Application Form : (To be filled up by Inventure Growth & Securities Ltd.)

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature	Client Sign.	Client Sign.	Client Sign.

For Inventure Growth & Securities Ltd.

Dear Sir/ Madam,

**NOMINATION FORM**

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

I/We do not wish to nominate any one for this demat account (Strike out what is not applicable) (Signatures of all account holders should be obtained on this form)

I/We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

**BO Account Details**

DP ID	1	2	0	1	1	2	0	0	Client ID	0	0						
-------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--	--

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

(Please sign across the photograph)  
(Excluding face)  
Paste Latest Colour Photograph of Nominee

**Nominee details**

Name: Mr./Mrs./Ms./Master → (As per PAN Card)	First Name	Middle Name	Last Name
Address			
City	State		
Country	PIN		
Telephone No.	Fax No		
E-mail ID			
Relationship with BO (if any)			
Date of Birth (if nominee is a minor)			

Nominee Signature

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

Name: Mr./Mrs./Ms. → (As per PAN Card)	First Name	Middle Name	Last Name
Address			
City	State		
Country	PIN		
Age			

(Please sign across the photograph)  
(Excluding face)  
Paste Latest Colour Photograph of Guardian

to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. This nomination is in accordance with the **section 109 A of the companies act, 1956**, and shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Guardian's Signature

Place: \_\_\_\_\_ Date: \_\_\_\_\_

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	Client Sign	Client Sign	Client Sign

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

**Details of the Witness (Other than account holder, nominee and guardian)**

	First Witness	Second Witness
Names of Witness		
Address of witness		
	Signature of Witness	Signature of Witness

(To be filled by DP)

For Inventure Growth & Securities Ltd.

Nomination Form accepted and registered vide Registration No. \_\_\_\_\_ dated \_\_\_\_\_ Director/Authorised Signatory

----- ( Please Tear here ) -----

Received nomination form from : **Acknowledgement Receipt** (Please preserve this Acknowledgement Receipt)

DP ID	1	2	0	1	1	2	0	0	Client ID	0	0	0					
Name																	
Address																	
Nomination in favour of																	Guardian Name:
No Nomination	<input type="checkbox"/> Does not wish to nominate																
Registration No.											Registered on						

For Inventure Growth & Securities Ltd.

[ ]

For **Inventure Growth & Securities Ltd.**

**AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING TO OPEN A BENEFICIAL OWNER'S ACCOUNT**

 Director/Authorised Signatory

This Agreement made and entered into at \_\_\_\_\_ this day of \_\_\_\_\_, between **INVENTURE GROWTH & SECURITIES LTD.** a body corporate registered under the Companies Act, 1956 having its Registered Office at Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai-400 069 and Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli here in after called "**the Participant**" of the One Part; AND, \_\_\_\_\_, \_\_\_\_\_ & \_\_\_\_\_ (description of the legal entity) having his/her/ its office/ registered office/ address at \_\_\_\_\_

All Holders Signature

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

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

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

**General Clause**

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

**Fees, Charges and deposits**

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

**Statement of Account**

- 3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.
- 3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.
- 3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

**Beneficial Owner shall intimate change of particulars**

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

**Depository not liable for claims against Beneficial Owner**

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

**Authorised Representative**

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

**Closure of Account**

7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on

For **Inventure Growth & Securities Ltd.**



First/Sole Holder



Second Joint Holder



Third Joint Holder



Director/Authorised Signatory

the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

**Stamp Duty**

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

**Force Majeure**

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

**Service of Notice**

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

**Arbitration**

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

**Jurisdiction**

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


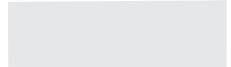
**Governing Law**

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

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

SIGNED AND DELIVERED by the withinnamed the Participant \_\_\_\_\_ ) **For INVENTURE GROWTH & SECURITIES LTD.**

**INVENTURE GROWTH & SECURITIES LTD.**



by the hand of its authorised \_\_\_\_\_ )

**Director/Authorised Signatory**

representative Shri \_\_\_\_\_ )

in the presence of witness for DP \_\_\_\_\_ )

Name : \_\_\_\_\_ )

  \_\_\_\_\_ )

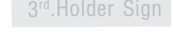
SIGNED AND DELIVERED

Name : \_\_\_\_\_ ) 1.  

by the withinnamed the

Name : \_\_\_\_\_ ) 2.  

Beneficial Owner

Name : \_\_\_\_\_ ) 3.  

in the presence of witness for BO \_\_\_\_\_ )

Name : \_\_\_\_\_ )

**POA FOR PAY-IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT / MARGIN OBLIGATION**

To all to whom these presents shall come I/ we \_\_\_\_\_  
 \_\_\_\_\_, (name of the beneficial owner/s), residing at/ having its registered office at \_\_\_\_\_, send greetings.

Whereas I/ we hold beneficial owner account number 12011200 \_\_\_\_\_ with Central Depository Services (India) Limited (CDSL), through Inventure Growth & Securities Ltd. registered with Securities and Exchange Board of India (SEBI).

And Whereas I/ we am/ are desirous to buy and sell securities through Inventure Growth & Securities Ltd who is a stock broker registered with SEBI and member of recognized stock exchange/s. My/Our Trading A/c No. \_\_\_\_\_

And Whereas I/ we am/ are desirous of appointing Inventure Growth & Securities Ltd as my/our constituted attorney to operate my/ our beneficial owner account on my/ our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/ we do hereby nominate, constitute and appoint Inventure Growth & Securities Ltd (hereinafter referred to as "the stock broker") as my/our true and lawful attorney and authorise it to perform the following functions on my/our behalf:

- i. To transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me/us in writing to the stock broker from time to time to the demat account nos. BSE1201120000000011, NSE1201120100002771 & F&O Margin 1201120000008889. Early payin A/c BSE 100001000012642, NSE 100001100015411 of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/we have executed a Client Member Agreement with the stock broker for such exchanges.
- ii. To pledge the securities in favor of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker.
- iii. To return to me/us, the securities that may have been received by the stock broker erroneously or those securities or funds that the stock broker was not entitled to receive from me/us;
- iv. The POA shall facilitate off-market trades between the related parties mentioned in the POA.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked. in witting by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at **Viraj Towers, 201, 2<sup>nd</sup> Floor, Near Landmark, Western Express Highway, Andheri (East), Mumbai - 400 069 and Processing office at: Shop No.2, 1st floor, Gokul Vihar, Opp. Canara bank, Tokarkhada, Silvassa Union Territory of Dadra & Nagar Haveli.**

**SIGNED AND DELIVERED**

By the withinnamed Beneficial Owner

Beneficial Holder(s) Signature

Name [1]. \_\_\_\_\_ )

 1<sup>st</sup>.Holder Sign

Name [2]. \_\_\_\_\_ )

 2<sup>nd</sup>.Holder Sign

Name [3]. \_\_\_\_\_ )

 3<sup>rd</sup>.Holder Sign

**For HUF**

Name of Coparceners

Signature(s) Coparceners

Name 1 \_\_\_\_\_ 

Name 2 \_\_\_\_\_ 

Name 3 \_\_\_\_\_ 

Name 4 \_\_\_\_\_ 

Name 5 \_\_\_\_\_ 

Name 6 \_\_\_\_\_ 

IN THE PRESENCE OF WITNESS \_\_\_\_\_ )

Name : \_\_\_\_\_ ) R \_\_\_\_\_

Address : \_\_\_\_\_ )

\_\_\_\_\_ )

We accept (Name, Address and Signature of the attorneys)

**For INVENTURE GROWTH & SECURITIES LTD.**

DIRECTOR / AUTHORISED SIGNATORY

Place : MUMBAI Date : \_\_\_\_\_

All Holders Signature

**ANNEXURE:- A**

**Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL**

**Definitions:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**Availability:**

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

**Receiving Alerts:**

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

Signatures



1<sup>st</sup>.Holder Sign



2<sup>nd</sup>.Holder Sign



3<sup>rd</sup>.Holder Sign

Place: \_\_\_\_\_

Date: \_\_\_\_\_

**Fees:**

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

**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

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

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

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

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID	1	2	0	1	1	2	0	0							
	(Please write your 8 digit DPID)								(Please write your 8 digit Client ID)						
Sole / First Holder's Name	: _____														
Second Holder's Name	: _____														
Third Holder's Name	: _____														
Mobile Number on which messages are to be sent	+91														
	(Please write only the mobile number without prefixing country code or zero)														

The mobile number is registered in the name of: \_\_\_\_\_

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

Signatures



1<sup>st</sup>.Holder Sign



2<sup>nd</sup>.Holder Sign



3<sup>rd</sup>.Holder Sign

Place: \_\_\_\_\_

Date: \_\_\_\_\_

## HUF DECLARATION

**NON-MANDATORY**

Date : \_\_\_\_\_

To,









**Inventure Growth & Securities Ltd.**

Viraj Tower, 201, 2nd Floor, Near Landmark, Western Express Highway,  
Andheri (East), Mumbai-400 069.

Dear Sir,

I hereby request you to open our demat account with you, for our HUF.

Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e.

SR. NO.	NAME OF FAMILY MEMBERS	RELATIONS	DATE OF BIRTH	AGE	SIGNATURE
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,



Client Sign

Karta

(Affix stamp of HUF)

**Consent to debit the trading account for the  
DP charges and the penalties levied in the Demat account**

**NON-MANDATORY**

Date : \_\_\_\_\_

To,  
The Director,  
**INVENTURE GROWTH & SECURITIES LTD.**  
Viraj Tower, 201, 2nd Floor, Near Landmark,  
Western Express Highway,  
Andheri (East), Mumbai-400 069.

Sir,

I/We have a trading account as well as a Demat account with Inventure Growth & Securities Ltd. (herein after refer to as IGSL). For the convenience of payment of all the charges, pertaining to my demat account, I/We hereby request you to debit my trading account with all the DP account charges, as and when the bill is raised by IGSL (Depository Participant).

Further, I understand that in case of any non-compliance of the Bye Laws, Rules and Regulations as laid down by SEBI / Exchanges and/or the Depositories, and for any other matters that may be decided by IGSL from time to time, IGSL may charge penalty on me. Such penalty amount shall be directly debited to my account. I/We hereby request you to debit my trading account for the amount of penalty charged in my demat account with you.

My Unique Client Code is \_\_\_\_\_

My Demat account no. is 

1	2	0	1	1	2	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

Yours faithfully,

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature of Account holder	1 <sup>st</sup> .Holder Sign	2 <sup>nd</sup> .Holder Sign	3 <sup>rd</sup> .Holder Sign

-----

DP ID 

1	2	0	1	1	2	0	0
---	---	---	---	---	---	---	---

 Client ID 

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

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	1 <sup>st</sup> .Holder Sign	2 <sup>nd</sup> .Holder Sign	3 <sup>rd</sup> .Holder Sign

Sub.: Acknowledgement receipt for various documents:

I/We have received below mentioned Document with Account Opening Form by Mr/Mrs/M/s \_\_\_\_\_

List of documents:	
1. Client Registration Form (KYC)	13. All the copies of personal documents attached with the form (Identity proof, address proof, Bank proof etc.)
2. Member Constituent Agreement/Tripartite Agreement	14. Trading code allotted:
3. Risk Disclosure document.	15. Email Id:
4. Member Constituent Agreement/Tripartite Agreement for Internet Trading	16. Consent Letter for auto debit of Dement Charges from trading accounts.
5. Voluntary Agreement	17. Power of Attorney for pay-in of securities for the purpose of settlement / Margin obligation
6. Mandate to issue a Contract note in digital format	18. Noting of your website www.inventuregrowth.com for all communications that you as stock broker give to your clients including policies as updated from time to time.
7. Authority to debit Trading and Demat account opening charges.	19. Receipt of "Documents dealing with policies and procedures" and literature from PMLA requirements.
8. Authority to adjust balances in family account.	20. Receipt of our login ID and password of your website www.inventuregrowth.com giving us our accounts position, trade position, daily margin details, etc.
9. Authority in case of default	
10. Running Account Statement	
11. Letter of standing instruction	
12. Proprietor Trade Declaration	

**Note:** Correspondences address of different from permanent please produce address proof of the both the address.



Client Sign

#### Client Acknowledgement

I/We received photo copy of duly completed client registration documents [Client Registration Form/KYC, Member Client Agreement/Tripartite Agreement, Risk Disclosure Document & a copy of other document executed]

## Acknowledgement

Sub.: Acknowledgement receipt for various documents:

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List of documents:	
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7. Authority to debit Trading and Demat account opening charges.	19. Receipt of "Documents dealing with policies and procedures" and literature from PMLA requirements.
8. Authority to adjust balances in family account.	20. Receipt of our login ID and password of your website www.inventuregrowth.com giving us our accounts position, trade position, daily margin details, etc.
9. Authority in case of default	
10. Running Account Statement	
11. Letter of standing instruction	
12. Proprietor Trade Declaration	

**Note:** Correspondences address of different from permanent please produce address proof of the both the address.



Client Sign

#### Client Acknowledgement

I/We received photo copy of duly completed client registration documents [Client Registration Form/KYC, Member Client Agreement/Tripartite Agreement, Risk Disclosure Document & a copy of other document executed]

**INVENTURE GROWTH & SECURITIES LTD.**  
**Depository Participant with Central Depository Services (I) Ltd.**  
**TARIFF PLAN FOR DEPOSITORY SERVICES**

Sr. No	Demat Services	FOR IGSL'S [ON-MARKET POA CLIENTS]		FOR IGSL'S [WITHOUT ON-MARKET POA CLIENTS]		FOR OUTSIDERS CLIENT	
		Minimum Charges	Maximum Charges	Minimum Charges	Maximum Charges	Minimum Charges	Maximum Charges
1	Account Opening	Nil	Nil	Nil	Nil	Nil	Nil
2	Annual Maintenance 1)Individual 2)Corporate	300 500		300 500		300 500	
3	Custody Charges	Nil	Nil	Nil	Nil	Nil	Nil
4	Transaction charges (Purchase)	Nil	Nil	Nil	Nil	Nil	Nil
5	Transaction	Rs.10.00 Per Transaction	0.02% of Market Value	Rs.15.00 Per Transaction	0.02% of Market Value	Rs.20.00 Per Transaction	0.02% of Market Value
6	Pledge	Rs.50.00 Per Transaction	0.02% of Market Value	Rs.50.00 Per Transaction	0.02% of Market Value	Rs.50.00 Per Transaction	0.02% of Market Value
7	Dematerialisation Charges	Nil		Nil		Nil	
8	Postal charges For Dematerialisation	Postal charges Rs. Rs.35		Postal charges Rs. Rs.35		Postal charges Rs. Rs.35	
9	Rematerialisation	Rs.10 for every 100 securities or Rs.50.00 per Request whichever is higher..		Rs.10 for every 100 securities or Rs.50.00 per Request whichever is higher..		Rs.10 for every 100 securities or Rs.50.00 per Request whichever is higher..	

Instructions:-

- Market Value of securities will be in accordance with the price file provided by CDSL.
- Annual maintenance charges will be recovered on yearly basis in advance.
- Billing will be done at the end of every month.
- Demat & Remat Charges should be paid along with the request.
- Stamp Papers used if any will be charged extra.
- 10.30% Service Tax will be charged on bill amount
- Late/same day Instructions are accepted at clients risk. & it will be charge Rs.50 per instruction.(Per ISIN)
- The payment should be made within 10 days of bill, otherwise a penal interest at the rate of 2% per month will be charged.
- Easi facility - Holding & Transaction can be viewed & print through internet. This facility will be free of charges.
- Inventure Growth & Securities Ltd reserve the right to Modify/changes the charges & fees.










To

**Inventure Growth & Securities Ltd.**  
**DP ID:-11200**



I/We do hereby agree to the above mention charges, terms & conditions.

Name of First/Sole Holder	Name of Second Holder	Name of Third Holder
Sign. of First/Sole Holder	Sign. of second Holder	Sign. of Third Holder

**Check List for Office Use Only**

1. Form and Document checked by:		
	Name	
	 <span style="background-color: #cccccc; display: inline-block; width: 80px; height: 15px;"></span>	
		Date
2. Authorised by :		
	Name	
	 <span style="background-color: #cccccc; display: inline-block; width: 80px; height: 15px;"></span>	
		Date
3. CDSL Account opened by :		
	Name	
	 <span style="background-color: #cccccc; display: inline-block; width: 80px; height: 15px;"></span>	
		Date
4. Trading Account by / BSE UCC / NSE UCI :		
	Name	
	 <span style="background-color: #cccccc; display: inline-block; width: 80px; height: 15px;"></span>	
		Date
5. POA (Marked by) :		
	Name	
	 <span style="background-color: #cccccc; display: inline-block; width: 80px; height: 15px;"></span>	
		Date
6. Brokerage define by :		
	Name	
	 <span style="background-color: #cccccc; display: inline-block; width: 80px; height: 15px;"></span>	
		Date
7. Mapin by :		
	Name	
	 <span style="background-color: #cccccc; display: inline-block; width: 80px; height: 15px;"></span>	
		Date
8. Internet/Odin Diet (Mapin by):		
	Name	
	 <span style="background-color: #cccccc; display: inline-block; width: 80px; height: 15px;"></span>	
		Date
9. Scan by :		
	Name	
	 <span style="background-color: #cccccc; display: inline-block; width: 80px; height: 15px;"></span>	
		Date

Client must sign at places marked with  Client

Subbroker must sign at places marked with  sub-broker and witness must sign at places marked with  Witness

	INDEX	First Holder	Sec. Holder	Third Holder	Subbroker	Witness	IGSL
Page No.	Description						
1-5	Categorywise Proof required for account opening						
4	Declaration by Firm (sole prop.) Format						
5	Application Form Individual (Pt. No. 1 to 8)	1					
6	Application Form Individual (Pt. No. 9 to 15)	6					
7	Application Form Individual (Pt. No. 16 to 19)	1					
8	Combined Risk Disclosure Document	1					
9	Combined Risk Disclosure Document	1					
10	Combined Risk Disclosure Document	1					
11	Investors' Rights and Obligations	1					
12	BSE - Agreement (Stock Broker & Client)	2					2
13	BSE - Agreement (Stock Broker & Client)	1					1
14	BSE - Agreement (Stock Broker & Client) / Int	1					1
15	BSE - Agreement (Stock Broker & Client)	1					1
16	BSE - Agreement (Stock Broker & Client)	1					1
17	BSE - Agreement (Stock Broker & Client)	1					1
18	BSE - Agreement (Stock Broker & Client)	1				2	1
19	NSE - Agreement (Stock Broker & Client)	2					2
20	NSE - Agreement (Stock Broker & Client)	1					1
21	NSE - Agreement (Stock Broker & Client) / Int	1					1
22	NSE - Agreement (Stock Broker & Client)	1				2	1
23	BSE - Tripartite Agreement (Stock Broker Subbroker & Client)	2			2		2
24	BSE - Tripartite Agreement (Stock Broker Subbroker & Client)	1			1		1
25	BSE - Tripartite Agreement (Stock Broker Subbroker & Client)	1			1		1
26	BSE - Tripartite Agreement	1			1	4	1
27	NSE - Tripartite Agreement (Stock Broker Subbroker & Client)	2			2		2
28	NSE - Tripartite Agreement	1			1		1
29	NSE - Tripartite Agreement	1			1		1
30	NSE - Tripartite Agreement	1			1	4	1
31	Policies & Procedures - Inventure Growth & Securities Ltd.	1					
32	Policies & Procedures - Inventure Growth & Securities Ltd.	1					
33	Voluntary Clauses - Direct Client	1			1		1
34	Voluntary Clauses - Direct Client	1			1		
35	Voluntary Clauses - Direct Client	1			1		
36	Voluntary Clauses - Direct Client	1			1		
37	Voluntary Clauses - Direct Client	1			1		
38	Voluntary Clauses - Direct Client	1			1	4	1
39	Running Account Authorisation	1					
40	Digitally Contract Notes Confirmation	1					
41	Letter of Standing Instruction	1					
42	Authorisation of Group / Family	1					
43	Collection of Documents & Bank Confirmation	1					