



Eastern Financiers Ltd.

Give us your worries... Take home the returns

CLIENT REGISTRATION AND AGREEMENT FORM

NSE - CAPITAL MARKET / F&O / CURRENCY DERIVATIVES / MFSS SEGMENT

BSE - CAPITAL MARKET / STAR MF SEGMENT



Eastern Financiers Limited (EF) was incorporated in the year 1967 and is the oldest Investment Strategist in Eastern India.

The foundations of our Business

- ❖ One of the largest and most trusted Investment Consultants in India.
- ❖ Over 40 years of unbiased, client-specific investment solutions.
- ❖ Team of experienced professionals and sound Investment Strategists to help you reach your financial goals.
- ❖ Choice of a wide variety of instruments 'under one roof'.
- ❖ Personalised services from EF - the trust of over 3 lakh investors.
- ❖ Prompt post-investment services.

Our Service Motto :

"Give us your worries...Take home the returns"

Financial Planning Solutions comprising of:

Mutual Funds	Equity Trading on NSE/BSE	Fixed Deposits
Bonds	Life Insurance	General Insurance
Senior Citizen Bonds GOI Saving Bonds Capital Gain Bonds	Equity IPO's	Motor, Health, Home, Personal Accident (PA), Travel, etc.

An ISO 9001:2008 certified company



Eastern Financiers Ltd.

Give us your worries... Take home the returns

CLIENT DETAILS

Name : _____

Branch : _____

Unique Client Code : _____

FOR OFFICE USE

ORIGINAL DOCUMENTS

Verified by

Authorised by

EASTERN FINANCIERS LIMITED

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Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003, NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003 and BSE Notice No. 20031125-7 dated 25 November, 2003.

We, Eastern Financiers Ltd., are also engaged in Proprietary trading apart from trading on account of our clients.

MANDATORY DOCUMENTS

The following documents are mandatory and **must be signed** before the client can be registered :

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Exclusive E.mail ID for redressal of Investor Complaints - shares@easternfin.com

Bank Account Details (Through which transactions will generally be routed)		
	First Bank details	Second Bank details
Bank Name		
Branch		
Address		
Account No.		
A/c Type	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> NRI <input type="checkbox"/> Others	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> NRI <input type="checkbox"/> Others
MICR No.		
In case of more than two accounts, give details in additional sheet. (Copy of a cancelled Cheque leaf/Pass Book/Bank Statement containing name of the constituent should be submitted.)		
Depository Account Details (Through which the transactions will generally be routed)		
	First Demat A/c details	Second Demat A/c details
DP ID		
DP Name		
Client ID		
DP Address		
In case of more than two accounts, give details in additional sheet. (Copy of proof of Demat A/c containing the name of the client, client ID, DP ID should be submitted.)		
Investment / Trading Experience		
<input type="checkbox"/> No Prior Experience ___ yrs. in Stock ___ yrs. in Derivatives ___ yrs. in other investment related fields		
Trading Preference - Stock Exchanges on which you wish to trade (if the member is registered for such Exchanges) : Please specify the Exchange and Segment on which you wish to trade by ticking (✓) against the same and strike off (×) the rest.		
Exchange	Market Segment	Signature
1. National Stock Exchange of India Ltd.	- CM	<input type="checkbox"/> <input checked="" type="checkbox"/>
	- F&O	<input type="checkbox"/> <input checked="" type="checkbox"/>
	- CD	<input type="checkbox"/> <input checked="" type="checkbox"/>
	- MFSS	<input type="checkbox"/> <input checked="" type="checkbox"/>
2. Bombay Stock Exchange Ltd.	- CM	<input type="checkbox"/> <input checked="" type="checkbox"/>
	- Star MF	<input type="checkbox"/> <input checked="" type="checkbox"/>
Details of any action taken by SEBI/Stock Exchange / any other authority for violation of laws/other economic offences during the last 3 years		
		<input type="checkbox"/> No <input type="checkbox"/> Yes
Whether convicted any time		<input type="checkbox"/> No <input type="checkbox"/> Yes
Whether declared bankrupt any time		<input type="checkbox"/> No <input type="checkbox"/> Yes
Note : If any one of the above is Yes, Kindly provide the details in a separate sheet.		

Whether registered with any other Broker-Member (If registered with multiple members, provide details of all):			
<input type="checkbox"/> Yes <input type="checkbox"/> No			
Name of the Broker			
Name of Exchange		Client Code No.	
References - Introduction : Introduced by another constituent / director or employee of Trading member / any other person, please specify :			
Name of the Introducer			
		(Surname)	(Name)
		(Middle Name)	
Address of the Introducer			
Passport / Voter ID Card / Driving Licence / PAN of Introducer			
Place of Issue		Date of Issue	
		Phone No.	
Signature			
Attach photocopy of Passport, Voter ID Card, Driving Licence or PAN Card of the Introducer.			
Name and designation of the employee who interviewed the client :			
Name			
Designation		Place	
		Date	
Signature of the employee			

Declaration : I hereby declare that the details furnished above are true and correct to the best of my/our 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/we may be held liable for it.

⊗ _____
Signature

Name : _____

Place : _____

Date : _____

Bank Account Details (Through which transactions will generally be routed)				
	First Bank details		Second Bank details	
Bank Name				
Branch				
Address				
Account No.				
A/c Type	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> NRI <input type="checkbox"/> Others		<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> NRI <input type="checkbox"/> Others	
MICR No.				
In case of more than two accounts, give details in additional sheet. (Copy of a cancelled Cheque leaf/Pass Book/Bank Statement containing name of the constituent should be submitted.)				
Depository Account Details (Through which the transactions will generally be routed)				
	First Demat A/c details		Second Demat A/c details	
DP ID				
DP Name				
Client ID				
DP Address				
In case of more than two accounts, give details in additional sheet. (Copy of proof of Demat A/c containing the name of the client, client ID, DP ID should be submitted.)				
Investment / Trading Experience				
<input type="checkbox"/> No Prior Experience ___ yrs. in Stock ___ yrs. in Derivatives ___ yrs. in other investment related fields				
Trading Preference - Stock Exchanges on which you wish to trade (if the member is registered for such Exchanges) : Please specify the Exchange and Segment on which you wish to trade by ticking (✓) against the same and strike off (✗) the rest.				
Exchange		Market Segment		Signature
1. National Stock Exchange of India Ltd.		- CM	<input type="checkbox"/> <input checked="" type="checkbox"/>	
		- F&O	<input type="checkbox"/> <input checked="" type="checkbox"/>	
		- CD	<input type="checkbox"/> <input checked="" type="checkbox"/>	
		- MFSS	<input type="checkbox"/> <input checked="" type="checkbox"/>	
2. Bombay Stock Exchange Ltd.		- CM	<input type="checkbox"/> <input checked="" type="checkbox"/>	
		- Star MF	<input type="checkbox"/> <input checked="" type="checkbox"/>	
Whether registered with any other Broker-Member (If registered with multiple members, provide details of all) :				
<input type="checkbox"/> Yes <input type="checkbox"/> No				
Name of the Broker				
Name of Exchange				Client Code No.

References - Introduction : Introduced by another constituent / director or employee of Trading member / any other person, please specify :					
Name of the Introducer					
	(Surname)		(Name)		(Middle Name)
Address of the Introducer					
Passport / Voter ID Card / Driving Licence / PAN of Introducer					
Place of Issue		Date of Issue		Phone No.	
Signature					
Attach photocopy of Passport, Voter ID Card, Driving Licence or PAN Card of the Introducer.					
Name and designation of the employee who interviewed the client :					
Name					
Designation		Place		Date	
Signature of the employee					

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

⊗ _____

Signature (with Company Seal)

Name : _____

Place : _____

Date : _____

ANNEXURE - 1

DETAIL OF DIRECTORS / PROMOTERS / PARTNERS / KARTA / PERSONS AUTHORISED TO DEAL IN SECURITIES/DERIVATIVES/CURRENCY DERIVATIVES ON BEHALF OF COMPANY / FIRMS / OTHERS

Particulars	1st Signatory	2nd Signatory	3rd Signatory
Name			
Residential Address with Pin Code			
Telephone No.			
Designation			
Qualification			
Experience			
Date of Birth			
Sex			
Marital Status			
Equity Stake (%)			
Name of the Bank			
Account No.			
Branch Address			
Photograph of the Signatory			
Signature			
Furnish at least any one with Photocopy :			
IT No. (PAN/GIR)			
Passport No.			
Voter ID No.			
Driving Lincence No.			
Ration Card No.			

DOCUMENTARY REQUIREMENTS

FOR INDIVIDUALS : Self Attested Copies of the following documents may be obtained after due verification with the originals thereof :

1. Pan Card
2. For proof of address (any one of the following)
 - Passport (Page containing date of expiry to be attached)
 - Voter ID (Both Sides)
 - Driving Licence (Both Sides)
 - Bank Passbook
 - Rent Agreement
 - Ration Card
 - Flat Maintenance Bill
 - Phone Bill
 - Electricity Bill
 - Insurance Policy
3. Passport Size photograph - sign across
4. Proof of Bank A/c (Copy of Passbook/Bank Statement containing name of the client - not more than 6 months old)
5. Proof of Bank MICR (one cancelled cheque)
6. Proof of Demat A/C (DP Statement - containing the name of client, client ID and DP ID - not be more than 6 months old)
7. Proof of Identity (Additional - any one of the following)
 - Passport (Page containing date of expiry to be attached)
 - Voter ID (Both sides)
 - Driving License (Both sides)
8. Latest IT Return / Balance Sheet /Salary Slips / Net Worth / Form 16 etc.

ADDITIONAL DOCUMENTS
<p><u>PROPRIETORSHIP FIRM</u></p> <ol style="list-style-type: none"> 1. A Declaration on the letterhead of the firm as per Annexure 2. Affix rubber stamp at all places except at the bottom of the declaration in Annexure 3. Copy of Trade Licence

FOR NON-INDIVIDUALS : Self Attested Copies of the following documents to be obtained after due verification with the originals thereof :

1. Copies of the balance sheet, P/L Account, Director's report. Auditor's report for the last two financial years, (copies of annual report to be submitted every year)
2. Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the company secretary/wholetime director/MD. (Copy of updated shareholding pattern to be submitted every year)
3. Copies of the Memorandum and Articles of Association in case of a Company/body incorporate / partnership Deed in case of Partnership firm
4. Copy of the resolution of board of directors' approving participation in equity/derivatives trading and naming authorized persons for dealing in securities as per annexure
5. Photographs of Partners / Wholetime Directors, all Individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorized to deal in securities

ADDITIONAL DOCUMENTS
<p><u>For Partnership Firm</u></p> <ol style="list-style-type: none"> 1. All Documents mentioned in points 6, 9 and 10 2. Copy of Partnership Deed 3. Photographs of Partners 4. Declaration on Letterhead of the Firm as Per Annexure 5. Last Year Balance Sheet & P/L Account <p><u>For HUF</u></p> <ol style="list-style-type: none"> 1. All Documents mentioned in points 6, 9 and 10 2. Declaration as per Annexure 3. Photograph of Karta 4. PAN of Karta 5. Last Year Balance Sheet & P/L Account or ITR

6. Copy of cancelled cheque/Passbook/Bank Statement containing name of the client.
7. Form 18 (registered office address proof), Form 32 (copy of Acknowledgment Memo) with ROC
8. Correspondence Address proof
9. Proof of Demat A/c (Compulsory)
10. Proof of Bank A/c (Compulsory)
(The Bank Statement and/or DP Statement should not be more than 6 months old)
11. Copy of PAN of the Company / Partnership Firm / HUF
12. List of Directors on the Letterhead of the company
13. Contact Numbers of the Client
14. Copy of PAN of all Directors & all Authorised Persons
15. Copy of address proof of Directors/Authorised Persons

FOR TRUST ONLY - Certified copies of each of the following :

1. Registration Certificate
2. Trust Deed
3. An officially valid document in respect of the person holding an attorney to transact on its behalf
4. List of all trustees with their addresses signed by Managing Trustee/ Secretary/Chairperson/Two Authorised Signatories
5. Identity Proof of each of the Trustees (Refer Section – Individual)
6. Address Proof of each of the Trustees (Refer Section – Individual)
7. PAN Card Xerox of the Trustees
8. IT Return of the Trustees

FOR UNINCORPORATED ASSOCIATION OR A BODY OF INDIVIDUALS ONLY - Certified copies of each of the following :

1. resolution of the managing body of such association or body of individuals signed by Managing Trustee/Secretary
2. power of attorney granted to him to transact on its behalf
3. an officially valid document in respect of the person holding an attorney to transact on its behalf
4. List of all office bearers with their addresses signed by Secretary/Chairperson/Two Authorised Signatories

AGREEMENT BETWEEN TRADING MEMBER & CLIENT

⊗

This agreement is made and executed at KOLKATA this _____ day of _____, 20____, between **EASTERN FINANCIERS LTD.**, a body corporate, registered / incorporated under the provisions of the Companies Act, 1956, being a member of the National Stock Exchange of India Ltd. (hereinafter called "the Exchange"), and having its registered office at Allahabad Bank Building, 14, India Exchange Place (2nd Floor), Kolkata - 700 001 (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 Capital Market/ F&O / Currency Derivatives Segment, his/her heirs, executors, administrators and legal representatives/ the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

⊗

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

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

Whereas the trading member is registered as the trading member of the Exchange with SEBI registration number INB 231199333 in the Capital Market segment; SEBI registration number INF 231199333 in the F&O Segment and SEBI registration number INE 231199333 in the Currency Derivatives Segment.

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

Whereas the client has satisfied itself of the capacity of the trading member to deal in securities and / or F&O contracts / 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.

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

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.

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 :

26. 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 :

Signed by :

Title :

Name of the client :

Witness :

1. Signature :

Name :

Address :

2. Signature :

Name :

Address :

✓
The trading member's Signature/Authorised Signatory :

Signed by :

Title :

Name of the trading member : **EASTERN FINANCIERS LTD.**

Witness :

1. Signature :

Name :

Address :

2. Signature :

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.

AGREEMENT BETWEEN TRADING MEMBER & CLIENT

⊗

This agreement is made and executed at _____ this ____ day of _____, 20__ between **EASTERN FINANCIERS LTD.**, a body corporate, registered/incorporated under the provisions of the Companies Act, 1956, being a member of the Bombay Stock Exchange Ltd. (hereinafter called "the Exchange"), and having its Registered Office at Allahabad Bank Building, 14, India Exchange Place (2nd Floor), Kolkata - 700 001 (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 Capital Market/ F&O Segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

And

⊗

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

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

Whereas the trading member is registered as the trading member of the Exchange with SEBI registration number INB 011199339 in the Capital Market segment.

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

Whereas the client has satisfied itself of the capacity of the trading member to deal in securities and / or F&O 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.

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

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.

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:

26. 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 :

Signed by :

Title :

Name of the client :

Witness :

1. Signature :

Name :

Address :

2. Signature :

Name :

Address :

✓
The trading member's Signature/Authorised Signatory :

Signed by :

Title :

Name of the trading member : **EASTERN FINANCIERS LTD.**

Witness :

1. Signature :

Name :

Address :

2. Signature :

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.

likely to pay or receive a competitive price for securities / F&O contracts / currency derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / F&O contracts / currency derivatives contracts as compared to active securities / F&O contracts / currency derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

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

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

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

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

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

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

1.6 Risk of Rumours : Rumours about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on 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 / F&O contract / currency derivatives contract due to any action on account of unusual trading activity or security / F&O contract / currency derivatives contract hitting circuit filters or for any other reason.

2.3 Risk of Option holders :

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

2.4 Risks of Option Writers :

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

3. GENERAL

- 3.1 **Commission and other charges** : Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.
- 3.2 **Deposited cash and property** : You should familiarise yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which has been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the member, the same shall be subject to arbitration as per the byelaws/regulations of the Exchange.
- 3.3 For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.
- 3.4 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of currency derivatives contracts through the mechanism provided by NSE/BSE.
- 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 and who holds a registration certificate from SEBI.

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

⊗

Customer Signature

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

Date:

- 1.3.9** In case pay-out of funds is not received on the next working day after date of pay-out announced by NSE/BSE or its Clearing Corporation, please follow-up with the concerned member for its receipt. In case pay-out is not received as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE/BSE.
- 1.3.10** Every member is required to send a complete 'Statement of Accounts', for both settlements and margins, to each of its constituents, at such periodicity as may be prescribed from time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE/BSE, without delaying.
- 1.3.11** In case of a complaint against a member, you should address the complaint to the Office as may be specified by NSE/BSE from time to time.
- 1.4** In case where a member surrenders his membership, NSE/BSE 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, ensure that you lodge a claim with NSE/BSE /Clearing Corporation within the stipulated period and with the supporting documents.
- 1.5** In case where a member is expelled from trading membership or declared a defaulter, NSE/BSE 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, ensure that you lodge a claim with NSE/BSE within the stipulated period and with the supporting documents.
- 1.6** Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye -laws and the scheme under the Investors' Protection Fund (IPF) may be payable as prescribed by SEBI.

Notes :

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

Signature  _____



Eastern Financiers Ltd.

Give us your worries... Take home the returns

NON MANDATORY DOCUMENTS

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AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS AND SECURITIES

Date : _____

To

Eastern Financiers Ltd.

“LORDS”, Suite No. 102 & 104

7/1, Lord Sinha Road

Kolkata - 700 071

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with Eastern Financiers Ltd. & within 3 working days from the request if the same is lying with clearing member / clearing corporation.
2. I/we understand and agree that no interest will be payable to me/us on the funds or securities so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize Eastern Financiers Ltd. to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. Excess margins deposited towards one exchange / segment may be adjusted, on a running basis towards margin requirement / debit balance in same / other exchange / segment, where I/we have the client account.
5. I/we also confirm that the securities lying in my withhold A/c should be considered as margin deposit / collateral.
6. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
7. I/we hereby authorize you to pledge my / our securities deposited as margin or withheld by you as permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporations towards margin.
8. I/we authorise Eastern Financiers Ltd. to hold shares purchased by me / us in their beneficiary / pool account as collateral / margin against my / our future trades / obligations in same / other exchange / segment.
9. I/we agree that this authority letter shall be renewed at least once a year and shall be dated.
10. I/we may revoke the authorisation at any time by giving a written notice.
11. I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a calendar quarter or month and the statement of account for the same will be provided to me by Eastern Financiers Ltd.
12. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
13. I/we agree that (a) in respect of derivatives market transactions, apart from margin liability as on the date of settlement, trading member may retain additional margins (maximum upto 75% of margin requirement on the day of settlement) to take care of any margin obligation arising in next 5 days, (b) in respect of cash market transactions, Trading Member may retain entire pay-in obligation of funds & securities due from clients as on the date of settlement and for next day's business, the Trading Member may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement..
14. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
15. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of the Trading Member preferably within 7 working days from the date of receipt of funds/securities or statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS & SECURITIES)

Settlement Preferences	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
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Thanking you,

Yours truly,

⊗

Signature of the Client

From:

Name : _____

Address : _____

Date : _____

Eastern Financiers Ltd.

"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

Ref. : Mandate to issue Contract Notes, Daily Margin Statement, Quarterly Statement of Account and any other document in electronic format.

I/We hereby agree and consent to accept the contract notes for transaction carried on by me/us with you and the quarterly statements of funds and securities, (hereinafter referred to as "quarterly statement"), daily margin statement and any other documents in terms of the agreement entered into between us, in electronic form. Electronic Contract Notes and Quarterly statements and daily margin statement issued by you as per the terms and conditions specified hereunder shall be binding on me/us. My/our non-verification or not accessing the contract notes, daily margin statement and quarterly statement on regular basis shall not be a reason for disputing the contract notes, daily margin statement and quarterly statements at any time. The mandate is subject to terms and conditions mentioned below.

This instruction to issue digital contract notes, daily margin statement and quarterly statements is applicable with immediate effect.

I/We agree that any change in my/our E.mail ID will be communicated to you through a physical letter.

Yours truly,

⊗ _____
Signature of the Client

Email id _____

Client Code _____

Dear Customer,

We thank you very much for opting for our offer to send you the contract note, daily margin statement and quarterly statement in the electronic form. Terms and conditions for availing the facility of the electronic contract notes, daily margin statements and quarterly statements digitally signed are as follows. Please sign it as an acceptance to it.

1. The contract notes, daily margin statement and quarterly statements will be issued in electronic form in compliance with the guidelines issued by SEBI/Exchange from time to time.
2. Electronic Contract Note, Daily Margin Statement & Quarterly Statement will be mailed to the email address provided to us in the format as may be prescribed by the Exchange from time to time.
3. Electronic Contract Notes, Daily Margin Statements and Quarterly Statement will also be available on URL <http://www.easternfin.com>.
4. Client can view the electronic contract notes, daily margin statement and quarterly statements on URL by using the username and password.
5. In case of any failure in system or errors in electronic contract notes, daily margin statement and/or quarterly statements will be issued in physical form which shall be binding on the client.
6. Discrepancies, if any should be sent to the member within 24 hours of issuance of electronic contract notes, daily margin statement and within 7 days of receipt of quarterly statements.
7. Any change in the terms and conditions shall be intimated from time to time.
8. Non receipt of bounce mail notification at our end will tantamount to delivery of documents.

Accepted

⊗

Signature of the Client

OTHER TERMS & CONDITIONS

1. PARTICIPATION :

The client shall ensure that he/she/it is eligible to enter into this agreement. The client having agreed to enter into this agreement shall be deemed to have satisfied himself/herself/itself with regards to eligibility in this respect. During the currency of the agreement, it shall be the duty of the client to inform the stock broker immediately of the change in constitution, identity by the change of name, residential status or any other information as provided by the client at the time of entering into this agreement.

2. ACTING AS A SUB BROKER :

The client agrees that he/she/it will not act as a sub broker without prior written permission of the stock broker and without obtaining certificate of registration from Securities and Exchange Board India (SEBI).

3. ORDER PLACEMENT/CONFIRMATION/MODIFICATION/CANCELLATION :

a) The client or his duly authorized representatives whose particulars has been provided by the client to the stock broker shall be entitled to place/modify/cancel an order for sale or purchase of any securities through e.mail, in writing, oral communication via telephone or otherwise and on receipt of such instructions those orders shall be forwarded for the execution.

b) The client agrees to accept confirmation/modification/cancellation or an order for the sale or purchase of any securities through oral communication via telephone or otherwise.

4. CONTRACT NOTE :

a) The stock broker shall deliver to the client a contract note of the trades executed on their behalf via e.mail/digitally signed document/post or courier or by any of the means of communication specified hereinafter in clause 12 of the agreement. The contract note shall be final and binding proof of the order placed by the client, regardless of any apparent or alleged errors. For the purpose of sending digitally signed contract notes by e.mail, the e.mail ID specified by the client in the application form or sent by any later communication would be used.

b) The client also authorizes the stock broker to deliver the contract note or any other documents at the address provided by the client to any person available at that address.

5. TRADE CONFIRMATION :

The client agrees to accept trade confirmation in the form of contract note. The client understands that it is his/her/its responsibility to review the trade confirmations, the contract notes or statements of account immediately upon their receipt. All information contained therein shall be binding upon the client, if the client does not object in writing to any of the contents within twenty four hours of such intimation / confirmation. In all cases, the stock broker reserves the right to determine the validity of the client's objection to the transaction. The client agrees that the stock broker will not be responsible for the non-receipt of the trade confirmation due to any change in the correspondence address of the client not intimated to the stock broker in writing.

6. MARGINS

a) The client agrees to pay initial margin as specified by NSE/BSE/SEBI before placing any order, The stock broker will have all the right not to execute the order if the client has not placed the required initial margin with the stock broker.

b) Capital/Cash Market :

The client is required to deposit a minimum margin, which shall be decided upon by the stock broker and accordingly the client will be able to take net open position. The stock broker may require additional margin on the securities proposed to be purchased or sold unless the client already has an equivalent credit in his/her party ledger with the stock broker or has transferred the securities to the account of the stock broker.

c) Derivatives Trading :

In the derivatives segment, the client is liable to pay an initial margin up - front on or before creating a position. Such margin shall be decided upon by the stock broker or the exchange from time to time. Furthermore, the client is liable to pay (or receive) daily margins depending on whether the

price of the Derivatives contract moves for or against for the position undertaken. The client may also be liable to pay withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange from time to time. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by the Derivatives segment, the Clearing House or SEBI) and the client shall be obliged to pay such margins.

d) **Mark To Market Margin in Derivatives :**

The client also agrees to pay an upfront margin which will be sufficient to cover the daily margins for the entire duration of the week. If at any time during the week, the cumulative Mark to Market (MTM) margin falls short of the margin available in the client's account, the client agrees to fulfil the stock broker's additional margin calls. As the upfront weekly margin calls are purely for operational convenience, the client will ensure that margins are adequate at all times and will immediately make good any shortfall that the stock broker may communicate.

e) **Margin in the form of Securities :**

The client may place margin with the stock broker in the form of securities or other applicable forms as approved by the stock broker. Such securities may at the discretion of the stock broker be marked under lien in favour of the stock broker from the depository account of the client or such securities may be placed in a separate depository account titled "EASTERN FINANCIERS LTD." to be earmarked as margin from the client.

f) **Margin Merging :**

The client agrees and empowers/authorizes the stock broker to act at its discretion of merging/adjusting balances held as margin kept under various accounts held with the stock broker to nullify the debit in any account of the client without taking any further instructions from the client. Similarly, the client agrees and empowers/authorizes the stock broker to merge the securities held as margin kept with the stock broker in various accounts in order to nullify the debit in any account of the client.

7. CLOSE OUT :

If a Client fails to make payment of consideration to the trading member in respect of any one or more securities purchased by him before the pay-in date notified by the Exchange from time to time, the Trading Member shall be at liberty to sell the securities received in pay-out, in proportion to the amount not received, after taking into account any amount lying to the credit of the Client, by selling equivalent securities at any time on the Exchange not later than the fifth trading day reckoned from the date of pay-in. If the trading member has not sold the securities for any reason whatsoever, such securities shall be deemed to have been closed out at the close out price declared by the Exchange for the fifth trading day. The loss, if any, on account of the close out shall be to the account of the Client.

If a Client fails to deliver any one or more securities to the pool account of the trading member in respect of the securities sold by him before the pay-in date notified by the Exchange from time to time, such undischarged obligation in relation to delivering any one or more securities shall be deemed to have been closed out at the auction price or close-out price, as may be debited to the Trading Member in respect of the security for the respective settlement, to the extent traceable to the Client who has failed to deliver; otherwise the close out price on the date of pay-out in respect of the relevant securities, declared by the Exchange. The loss, if any, on account of the close out shall be to the account of the Client.

8. INTERSETTLEMENT OF SECURITIES :

The Client agrees that stock broker can/may deliver the shares against my/our sale, purchased by me/us in earlier settlement, i.e. inter-transferring the share from one settlement (purchase) to the other settlement (sales).

9. FORCE MAJEURE :

The stock broker shall not be responsible for any losses, costs, or damages resulting directly or indirectly from :

- i) any action, omission, suspension or trading, decision or ruling of any exchange or regulatory, governmental or other body or of any other person which is beyond the stock broker's control (including floor broker, exchange, dealing or clearing house); or
- ii) any war, strike, lock-out, national disaster, act of terrorism, delay in postal service or any other delay or inaccuracy in the transmission of orders or other information, or any breakdown, failure or malfunction beyond the control of the stock broker of any telecommunication or computer system;

The above Force Majeure events do not exempt the client to fulfill the obligations in his account with the stock broker.

10. MEMBER CLIENT COMMUNICATION :

(i) Form of Communication

All notices or communications issued under this agreement shall be served in any one or more or all of the following ways and such notice or communication under (a) to (l) below shall be served at the ordinary business address and / or ordinary place of residence and /or last known address of the party in any one or more of the following ways.

- (a) by post,
- (b) by registered post,
- (c) under certificate of posting,
- (d) by express delivery post,
- (e) by telegram,
- (f) by affixing it on the door at the last known business or residential address,
- (g) by oral communication to the party or on the last known telephone number or on the recording machine of such number,
- (h) by advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated,
- (i) by sending a message through trading system,
- (j) by a notice pasted on the notice board of the Exchange if no address is known.
- (k) by electronic mail or fax or
- (l) by hand delivery

ii) Any communication sent by the stock broker to the client shall be deemed to have been property delivered or served, even if such communication is returned to the stock broker as unclaimed / refused / undelivered, if the same is sent to the ordinary business address and / or ordinary place of residence and / or last known address of the party, in any one or more of the ways as mentioned in clause (i) above.

(iii) Digitally Signed Documents

- a) It shall be the duty of the client to check his/her/its e.mail account and view the contract notes and other documents sent to him/her/it. e.mail documents shall be treated as delivered to the client if they leave the e.mail server. There is no need of confirmation from the client acknowledging receipt of contract note and other documents sent to him/her/it by e.mail.
- b) The client shall be required to intimate the stock broker in case of non-receipt of documents by e.mail within the stipulated time period. Delay in delivery of e.mail sent the stock broker due to network and internet related problems, which are beyond the control of the stock broker is possible and the client shall construe such delay as normal.
- c) The client shall be required to intimate immediately to the stock broker in case of any change of e.mail address.
- d) Non-delivery of the documents by e.mail due to wrong or invalid e.mail ID given by the client and any other problem related to network and internet and due to any problem in the e.mail received at the end of client shall not be the responsibility of the stock broker.

11. INDEMNIFICATION :

The client shall indemnify and keep indemnified the stock broker harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges and /or expenses that are occasioned or may be occasioned to the stock broker directly or indirectly, owing to bad delivery of shares / securities / and or / as a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the client during the course of its dealings / operations of the Exchange(s).

The client confirms having read and understood the terms and condition of the Stock Broker Client agreement and those relating to various services and products and accepts and agrees to be bound by the terms and conditions including those excluding / limiting the stock broker's and Exchange's liabilities.

12. COMPLIANCE WITH LAW :

All transactions that are carried out by and on behalf of client shall be subject to Government notification, the rules, regulations and guidelines issued by SEBI, the Reserve Bank of India and the national Security Depository Limited, the Central Depository Services Limited, the Securities Contract Regulations Act and the rules made there under, and the byelaws, constitution, rules, regulations, customs and usages, if any, of NSE/BSE.

13. PROPRIETARY TRADING :

The stock broker discloses herewith that it undertakes proprietary trading in addition to client based trading.

14. TELEPHONE RECORDING :

Client agrees to Eastern Financiers Ltd. (EFL) tape-recording the conversations between client / client's representative and EFL officers / employees / agents etc. in its absolute discretion, wither personally or over the telephone. Such recordings may be relied upon by EFL as and when required, and the Client agrees not to challenge the evidentiary value of such recordings.

15. OTHER CHARGES :

Client hereby authorizes EFL to debit Client's account with depository services charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/ pay order/PGP charges. NEFT/RTGS charges, call and trade charges, SMS charges, settlement/ professional charges (for as may be applicable to NRIs), research service/message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments, etc. generally various investment avenues / products, processing fees/charges towards contract note/statement of account etc. and any other such or similar fees / charges as may become applicable from time to time.

Clients will be informed through E.mail if any charges as mentioned above will be levied upon them.

16. AMENDMENT :

The stock broker may from time to time amend the agreement if required, for complying with any change in statute, regulation or with the requirements of any competent authority or if required under its corporate policies. The same shall be intimated to the client by the stock broker. In case the client continues to deal with the stock broker subsequent to the intimation of such amendment, it shall be deemed that the client is agreeable to the new clauses. However the client has the right to terminate the agreement through communication in writing subject to the meeting of the financial and other obligations under this agreement.

17. SEVERANCE :

In case anyone or more of the provisions contained in this Agreement becomes invalid, illegal or unenforceable in any respect under any law, the validity legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

18. DISCLAIMER :

The Client agrees that all investments and disinvestments decisions are based on the Client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information that may be made available by the Member through any media. The Client will neither hold, nor seek to hold the member or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses, costs or damage incurred by the Client consequent upon relying on investment information, research opinion or advice or any other material / information provided by the Member. The Client is aware that any information provided by the Member through any medium based on the research of the Member or other external sources is subject to normal variations in the stock market and is merely an estimation of the availability or otherwise of certain investments, and the Member shall not be deemed to have assumed responsibility for any such information. The Client should seek independent professional advice regarding the suitability of any investment decision.

NSE - MFSS Facility
(Letter to be provided by the Investor to the Participant)

Date : _____

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Sub : Mutual Fund Service System (MFSS) Facility

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/we am/are willing to abide by the terms and conditions as mentioned in the Circular dated 24 November 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/we shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in the MFSS.

Thanking You,

Yours faithfully,

⊗ _____
Signature of the Client

Details of terms & conditions for the Investor / Client for using New MFSS facility

1. Pre-requisites for becoming Investor/Client for the New MFSS facility
 - 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
 - 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
 - 1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transaction through the Participant.
 - 1.4. The Client has approached to the Participant with the application for availing the New MFSS facility.
 - 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants.
2. Terms and Conditions
 - 2.1. The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
 - 2.2. The client shall notify the Participant in writing if there is any change in the information in the client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
 - 2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
 - 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
 - 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
 - 2.6. The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
 - 2.7. The Client shall pay to the Participant fees 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 Participant renders to the Client.
 - 2.8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
 - 2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
 - 2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and /or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

BSE STAR MF
(Letter to be provided by the Investor to the MFI)

Date : _____

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Sub : BSE StAR MF

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose or dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in BSE StAR MF.

Thanking You,

Yours faithfully,

⊗ _____
Signature of the Client

Voluntary information provided by the client in relation to the Prevention of Money Laundering Act, 2002

Name of the Client : _____

If Business / Profession : Nature of business : _____

Industry : _____

Details of my/our Relatives, having account with EASTERN FINANCIERS LTD. :

Name	Relationship	UCC (Client Code)
1.		
2.		
3.		
4.		

Details of the Corporate / Partnership Firm / Trust etc. where I/We am/are affiliated

Name	Entity Type	Nature of Business	Relationship	UCC (Client Code)
1.				
2.				
3.				
4.				

I/We hereby submit and agree to submit every year following documents to EASTERN FINANCIERS LTD., before the due date as prescribed by EASTERN FINANCIERS LTD. :

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self attested copy of Income Tax Return (If return not available, I/we will furnish Form 16)
4. Copy of Form 16 in case of Salary Income
5. Any other document providing financial details of the client

I/We confirm that I/We will immediately inform EASTERN FINANCIERS LTD. in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We intend to invest in the stock market with : Own Funds Borrowed Funds

(If Borrowed Funds, then please specify below Sources of funds :)

Sources of Borrowed Funds (if any)	Amount (Rs.)

(Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account is to be attached, which I/We agree to attach herewith.)

I/We hereby declare that I/We am/are beneficial owner of the Trading / On-line account opened with EASTERN FINANCIERS LTD., and that I/We am/are investing my/our own funds with EASTERN FINANCIERS LTD.

⊗ _____
Client Signature

Client's Name

For Office use only :

Risk categorisation of client as per PMLA, 2002 :

- High Risk Medium Risk Low Risk

Verified by : _____

Authorised & Approved by : _____



FORMATS

FORMATS		
List of formats to be used by various constituents :		Page Nos.
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DECLARATION BY FIRM (SOLE PROPRIETORSHIP)
(To be obtained on pre-printed Letter Head of the Firm)

Dated : _____

To,
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

I refer to the trading account to be opened with you in the name of _____
and declare and authorise you as under.

I recognise 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 the completing the share transfer obligations pursuant to the trading operation, I authorise you to recognise 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 transfers to / from the above mentioned account. I recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

⊗ _____

Signature (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 advice 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/DDs may be issued by me from my individual account or my joint account with some one else. The said amount so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s. _____
_____ with Eastern Financiers Ltd.. I shall not lay any claim whatsoever in future against Eastern Financiers Ltd. for affording credit of such cheques/DDs issued from my individual/joint account credit of which has been provided by Eastern Financiers Ltd. to the account my proprietorship firm M/s. _____.

Yours truly,

⊗ _____

Signature (Please sign without stamp of the firm)

DECLARATION OF JOINT FAMILY

To,
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

A/c No. _____

1. WHEREAS the Hindu Undivided Family of _____
(hereinafter referred to as the said "joint family") carrying on business in the firm name and style of _____
_____ at _____
_____ or
elsewhere (hereinafter referred to as "the said H.U.F. firm") have or desire to have Share Trading A/c with **Eastern Financiers Ltd.** (hereinafter referred to as "Member") we, the undersigned, hereby declare :
 - (a) that we are the present adult co-parceners of the said joint family;
 - (b) that Shri _____ is the present Karta or Manager of the said Joint Family;
 - (c) that we are entitled to trade in shares and open Share Trading Account of the said Joint Family;
 - (d) that each one of us has full and unrestricted authority to act on behalf of, and bind, the said H.U.F. Firm and all the present as well as future members, both adults and minors, of the said joint family, howsoever constituted from time to time.
2. We confirm that the affairs of the said joint family and the business of the said H.U.F. firm are carried on mainly by the Karta/Manager, the said Shri _____, on behalf and in the interest and for the benefit of all the co-parceners of the said joint family. We hereby authorise the Karta/Manager Shri _____, on behalf of the H.U.F., to deal on Capital Market Segment (CM), Futures & Options Segment (F&O) or any other Segment that may be introduced by NSE in future and the said Trading Member is hereby authorised to honour all instructions oral or written, given by him on behalf of the H.U.F.

Shri _____ is authorised to sell, purchase, transfer, endorse, negotiate documents and/or other wise deal through **Eastern Financiers Ltd.** on behalf of the H.U.F. _____. He is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are however jointly and severally responsible for all liabilities of the said H.U.F. firm to the Member and agree and confirm that any claim due to Member from the said H.U.F. firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor coparceners, if any.
3. We undertake to advise the Member in writing of any change that may occur in the Kartaship/Managership or in the constitution of the said joint family or of the said H.U.F. firm and until receipt of such notice by the Member, the member will be entitled to regard each of us as a member of the said joint family and as a partner of the said H.U.F. firm and all acts, dealings and transactions purporting to have been done on behalf of the said joint family or of the said H.U.F. firm before the Member shall have received notice in the manner aforesaid, shall be binding on the said joint family and the said H.U.F. firm and on our respective estate. We shall, however, continue to be liable jointly and severally to the Member for all dues and obligations of the said H.U.F. firm in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.

4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account no. _____ with Depository _____ opened in name of Shri _____ who is the Karta/Manager of this H.U.F.
5. I agree that obligations for share purchase and/or sale by the H.U.F. will be handled and completed through transfers to/from the above mentioned account. I recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the H.U.F.
6. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind the said H.U.F. Firm.

<u>Name of the minor</u>	<u>Father's Name</u>	<u>Date of Birth</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

7. We have received and read a copy of the Member's rules and regulations for the conduct of Share Trading Accounts and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

Yours faithfully,

 (Full personal signature of Karta and all major co-parceners)

Format of Board Resolution (on Company's/Trust's letterhead)

Extracts of the Minutes of the Meeting of the Board of Directors of <<COMPANY/TRUST NAME>> at its Registered Office at _____
on _____

“RESOLVED THAT the company/trust be registered as CLIENT with Eastern Financiers Ltd., a Member of NSE and BSE, for the purpose of dealing/trading in equities, derivatives including currency derivatives, debentures, debt products in NSE/BSE and the said member be and is hereby authorized to honour all instructions oral or written, given on behalf of the Company by any one of the undernoted authorized signatories:-

<<Name of the authorised signatory>> – <<Designation>>
<<Name of the authorised signatory>> – <<Designation>>

who are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with through Eastern Financiers Ltd. on behalf of the Company/Trust.

RESOLVED FURTHER THAT <<Authorised Signatory(ies), Designation>> of the Company/Trust be and are hereby <<MODE OF OPERATION i.e., singly/severally/jointly>> authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT <<Authorised Signatory>> is hereby authorized to submit the above resolution to Eastern Financiers Ltd..

For

Chairman/Company Secretary

Specimen Signatures of the above noted Authorised Signatory(ies)

Name	Signature

Please Note :

- 1) Board of Resolution must be signed by at least two directors/trustees.
- 2) Attach 'List of Directors/Trustees' as on date

BANKER'S VERIFICATION

Dated : _____

To,
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

This is to certify that the Savings/Current Account No. _____
of Mr./Ms./Mrs. _____ held
jointly with Mr./Ms./Mrs. _____
with our branch has been active since _____.

We confirm that the signature of the client agrees with the specimen held in our records. This verification is without any responsibility on the part of the bank or the signing officer.

Signature of client

Signed in my/our presence and attested by me/us

Bank Name & Address	
Name & Signature of Authorised Signatory	
Stamp of the Bank Branch	

DECLARATION BY INDIVIDUAL

Date : _____

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir ,

I refer to the trading account opened with you in the name of _____
and declare and authorize you as under :

The Cheques / DDs may be issued by me from my individual account or my Sole Proprietorship firm M/s _____
_____. The amount so given shall be solely / exclusively for credit to my own trading
account with Eastern Financiers Ltd. and M/s _____ shall not lay any
claim whatsoever in future against Eastern Financiers Ltd. for affording credit of such cheques / DDs issued.

Thanking you ,

Yours faithfully ,

⊗ _____
(Signature & Name of the Client)

Brokerage Structure

(Service Tax, Stamp Charges, Transaction Charges and other charges, if any shall be levied extra as per the rate stipulated by the concerned Authority)

Segment	Square off	Delivery	Minimum (paisa)	Risk Category
NSE & BSE Equity				
NSE Futures				
NSE Options				
NSE Currency Derivatives				

Signature _____

IN PERSON VERIFICATION OF CLIENTS

Sl. No.	Particulars	Details
1.	Name of the client	
2.	Client's Signature in the presence of Easten Financiers Ltd. Officials	
3.	Date of In Person verification (Date / Month / Year)	
4.	Name & Designation of Official of Easten Financiers Ltd. Conducting In Person Verification	
5.	Signature of the Official of Easten Financiers Ltd.	
6.	Stamp	
7.	In Person verification conducted	Yes / No
8.	Documents verified with original	Yes / No

Date : _____

To,
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

I/we confirm the receipt of following documents :

1. Account Opening letter having details of my Unique Client Code, Bank and DP Account.
2. Copy of Client Registration Form (KYC)
3. Member / Constituent Agreement
4. Copy of Risk Disclosure Document
5. Copy of Investors' Rights & Obligations
6. Copy of Policies & Procedures
7. Copy of Authority Letter for running account
8. Copy of mandate to issue documents in electronic format
9. Copy of Other Terms and Conditions
10. Copy of Letter of NSE-MFSS & BSE StAR MF
11. Copy of Client's declaration in relation to PMLA
12. Copy of relevant format & Brokerage Charge Sheet

Thanking you,

Yours faithfully,

⊗ _____

Name : _____

Client Code : _____

Corporate Office

7/1, Lord Sinha Road

Kolkata - 700 071

Ph. : (033) 4000-6800

Fax : (033) 2282-8154, 4003-4089

Registered Office

14, India Exchange Place

(2nd Floor)

Kolkata - 700 001

Ph. : (033) 4010-4242

Fax : (033) 2230-6993

E.mail : shares@easternfin.com • **Website** : www.easternfin.com