



**ANNEXURE - 1**

**TRADING CODE :** \_\_\_\_\_

**Mandate to issue contracts and Statement of Funds and Securities in Digital format.**

I/we hereby further agree and give consent to accept the contract notes for transactions carried on by me/us with/through InvestMentor Securities Ltd., to send the Statement of Funds and Securities on the below mentioned email id. I also authorize InvestMentor Securities Ltd. to send any other important notices and communication including changes in the terms and conditions to the email id mentioned in this mandate letter. All such Contract notes and statement of Funds and Securities and other correspondences shall be sent to ..... @ **investmentor.in** (email id).

**Client Signature** X

I/we undertake to check the contract notes and bring the discrepancies to InvestMentor Securities Ltd. notice within 24 hours of issuance of the contract notes. My/our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time. Digital contract notes/any statements/circular/notice issued and sent to the above mentioned email id by InvestMentor Securities Ltd. subject to the terms and conditions specified below.

**Digital Contract Notes**

1. The Digital Contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
2. Digital Contract notes will be mailed to the E-mail address provided to us in the format as may be Prescribed by the Exchanges from time to time.
3. Digital Contract notes will also be available at URL <http://accounts.investmentoronline.com> contract
4. Clients can view the Digital Contract notes on URL by using the username & password.
5. The Digital contract notes will be archived at an interval of 15 days. If the client intends to view the digital contracts notes for a period prior to 15 days client may request for the same in writing.
6. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
7. Discrepancies, if any, should be sent to the branch or to E-mail at [info@investmentoronline.com](mailto:info@investmentoronline.com) within 24 hours of issuance of digital contract notes.

**Other Communications such as Statement of Funds and Securities/Important announcements and notice**

8. All other communication shall be emailed to client at the id given by the client.
9. In case of Statement of Funds and Securities, Client will have to report the discrepancies within 30 Days of the issuance of the Statement.
10. In case of Important Announcement and Notices, the client will have to raise the query within the specified in the respective communication. If the client is not able to respond with in the time specified, it shall be assumed that client has taken the note of the communication and he does not have any objection and/or query on the said communication.
11. Feedback or objections may be raised by sending an email to [info@investmentoronline.com](mailto:info@investmentoronline.com) or any specified email mentioned in the communication.

**Other Clauses**

12. Any changes in the above terms and conditions shall be intimated to client from time to time through by an email or letter.
13. Non bouncing of email shall be considered as a valid delivery to the client and stock broker shall not be responsible for the consequences there of.

I hereby accept to the above mentioned terms and condition.

Yours faithfully

**Client Name** X

**Client Signature** X

**ANNEXURE - 2****INDEX OF KYC DOCUMENTS (INVESTMENTOR SECURITIES LTD.)**

Sr. No	Particulars of Document	Significance of Document	Mandatory/Non Mandatory	Page No.
1	Know Your Client Form	KYC is the due diligence undertaken for client identification process which enables broker to know/understand their customers and their dealings to be able to serve them better	Mandatory	01-02
2	Combine ROD	This document contains important information on trading in equity/F&O Segment of the exchange and each client should read this document	Mandatory	03-04
3	Investor Rights' & Obligation for Cash & F&O Segment	This document familiarizes clients with regard to his rights and obligations in the event of a default in the cash/F&O market or member's insolvency or bankruptcy	Mandatory	05
4	Member(Broker) - Client agreement (NSE)	MCA contains terms and conditions which are binding to member and clients who are desirous of investing/trading in securities/F&O Contracts on the exchange	Mandatory (This also contains certain Non Mandatory terms which are mentioned through stamp of Voluntary)*	06-08
5	Tripartite Agreement (NSE)	TPA contains terms and conditions which are binding to member, Sub Broker and clients who are desirous of investing/trading in securities/F&O Contracts on the exchange	Mandatory (This also contains certain Non Mandatory terms which are mentioned through stamp of Voluntary)*	09-12
6	Tripartite Agreement (BSE)	TPA contains terms and conditions which are binding to member, Sub Broker and clients who are desirous of investing/trading in securities/F&O Contracts on the exchange	Mandatory (This also contains certain Non Mandatory terms which are mentioned as annexure to the Agreement)*	13-16
7	Member (Broker) - Client agreement (BSE)	MCA contains terms and conditions which are binding to member and clients who are desirous of investing/trading in securities/F&O Contracts on the exchange. It also contain clauses on BSE Online Trading Facility.	Mandatory (This also contains certain Non Mandatory terms which are mentioned as annexure to the Agreement)*	17-19
8	Running Account Authorization	It authorizes member to maintain running account of client in stead of settlement wise accounting of funds and securities which results in faster and smoother business operations	Non-mandatory	20

I/We have fully read and understood about the contents of KYC Form including Voluntary documents and do consent for the same.

I/We do hereby declare and confirm that NO ACTION\* is / was ever initiated / completed by SEBI or any other authorities during last 3 years against me/us. In case, if any action is being initiated by SEBI or other authorities in future, I/We do hereby confirm to notify and provide required details to you. Note : In case of if any action is taken during last 3 years by SEBI/other authorities, details on separate page(s) with documentary support and duly signed are attached herewith.

**Client Signature** X

**Date**

**Trading Preference**

Sign Against the exchange/segment you wish to trade

**Client Signature**  **BSE Cash Segment**  **NSE Cash Segment**  **NSE F&O Segment**  
 (1) X (2) X (3) X

\*This contains voluntary clauses which are required for smooth functioning of business operations.



### ANNEXURE - 3 AUTHORISATION FOR RECEIVING DIGITALLY SIGNED ELECTRONIC DOCUMENTS

1. Whereas the Client has requested the member to transmit contract notes, statement of accounts, daily margin information, bills, circulars, debit-credit notes, confirmations, periodical submissions of statement of accounts for securities and margins and such other communication in soft form under digital signature obtained from a valid certifying authority as provided under the Information Technology Act, 2000 and in accordance with circulars, clarifications, guidelines, rules, regulations of SEBI and the Stock Exchange. And whereas the member having agreed, both the parties to this agreement hereby agree as under:
  - a. The member shall be duly discharged from its obligations upon transmission of the contract notes, confirmation of trades executed on behalf of the client and all such other communications as stated hereinabove at the Client's digital address. However member shall send/issue Statement of Funds and Securities as on 31st March every year , in writing, to the client. The client further agrees and understands that all information transmitted by the member shall be binding on the Client, subject to the Client pointing out error, if any in writing within 24 hours from the transmission of documents in soft form.
  - b. In case of non-receipt of digitally transmitted documents, from the member, the client may request the member to send duplicate copy of such document either in soft form or hard copy thereof.
  - c. The client shall communicate to the member his/her electronic/e-mail address, and undertakes the responsibility to ensure the secrecy of login name and password. The client hereby agrees to communicate in writing regarding any change in their electronic/e-mail address forthwith.
  - d. The Client shall be provided with a login ID and password to login on IMSL's portal and undertakes the responsibility to

ensure the secrecy of login name and password. The term "Portal" here means an Internet portal or Website where the Client can view these documents after login id and password to log in to the said portal for viewing these documents after login as specified by the Member from time to time.

- e. Due to capacity constraints, it would not be possible to keep such documents ad-infinitum on the server. In such a case, the documents older than three months would be removed and shall be made available to the Clients upon request.
- f. Non receipt of bounced mail notification by the member shall amount to delivery of contract note at the e-mail id of the client.
- g. I/we confirm that sending of e-mail on any of the following id shall be sufficient delivery to me.

My/our e-mail id(s) are

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**Client Signature** X

**Client Name**

**Client Code**

(To be signed by client himself and not by any authorised person on his behalf or holder of the Power of Attorney)



### ANNEXURE - 4 RUNNING ACCOUNT AUTHORIZATION

I/We hereby authorize(s) the MEMBER to maintain running account, instead of settlement to settlement clearance of funds / securities due to me/us.

The payout of funds / securities may be retained by the MEMBER and no interest shall be payable, by the MEMBER on such securities / funds so retained.

I/We also authorize(s) the MEMBER to consider the funds/securities so retained by the MEMBER towards collateral margin for allowing enhanced gross exposure to me/us.

I/We agree(s) that the MEMBER shall not be liable for any claim for loss of profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities / funds under this document or otherwise.

On written request of the CLIENT the MEMBER may release funds/securities to him, if sufficient margins in respect of his trading, across the Stock Exchange(s) and across the segments of the stock exchange(s) are available with the

MEMBER, within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation..

Notwithstanding anything contained in this authorization, the actual settlement of funds and securities, except for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR), shall be done by the member, at least once in a calendar  Quarter or  Month (Tick applicable). For the clients having outstanding obligations on the settlement date, the Member may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations as per SEBI/Exchange guideline. There shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

This authorization may be revoked at any time by me/us by giving written notice to the member.

**Client Name**

**Date of Authorization**

**Client Code**

**Client Signature**

(To be signed by client himself and not by any authorised person on his behalf or holder of the Power of Attorney)

### INTIMATION TO CLIENTS AND NOTING-MANDATORY

To,  
Investmentor Securities Limited, Ahmedabad  
Sir(s),

#### Re. : Confirmation of noting

We confirm that we have made note of the following:

1. That you trade in your OWN/PRO account
2. That your investor grievance email ID is grievances@investmentoronline.com
3. That I have read all the mandatory and voluntary terms and conditions and do consent for the same.
4. That we have to furnish/update Financial Details every year to the Member as per SEBI / PMLA requirement.
5. That I / We have read / understood the Anti Money Laundering Policy & Procedure and I know that the same is made available on your website www.investmentoronline.com.
6. That I / We agree/s that I / We am / are responsible for clearing out my debit ledger balance to NIL at least once in every month / quarter.
7. That any Voluntary terms and conditions which is in violation of exchange / SEBI rules and regulations and circular issued from time to time shall become null and void.

Thank you

**Client Signature** X

**Place :**

**Date**