

Form No.



Hem Securities Ltd.

CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED

Hem Finlease Pvt. Ltd.

NATIONAL STOCK EXCHANGE OF INDIA LTD. (NSE)
BSE LTD. (BOMBAY STOCK EXCHANGE LTD.)

CLIENT REGISTRATION FORM - INDIVIDUAL

Registration For :	<input type="checkbox"/> BSE	<input type="checkbox"/> NSE	<input type="checkbox"/> DEMAT
Segments :	<input type="checkbox"/> Cash	<input type="checkbox"/> F&O	<input type="checkbox"/> Currency Derivatives

KYC : _____

CKYC No. : _____

CLIENT NAME :	_____
AP/BRANCH CODE :	_____
CLIENT CODE :	_____
CLIENT BO ID :	1201770_

Form Received by

Form Checked by

Form Entered by

Form Audited by

Website : www.hemsecurities.com

HEM SECURITIES LIMITED (HSL)

Depository Participant: CDSL, SEBI Reg No. : IN-DP-568-2021, CDSL DP ID 17701 & 17700

CIN : U67120RJ1995PLC010390

HEM FINLEASE PVT. LTD. (HFPL) SEBI REG. NO.- INZ000167734

Member: National Stock Exchange of India Ltd., Trading Cum Self Clearing Member (Cash, F&O & CDS)

Trading Member Code -11100 (NSE)

Member: BSE Limited, Trading Member (Cash, F&O & CDS)

Trading Member Code - 6741 (BSE-Cash, F&O & CDS)

Member: Multi Commodity Exchange of India Limited (MCX), Trading cum Clearing Member (TCM) Trading Member Code- 56905

CIN : U67120RJ1996PTC011799

Registered Office / Correspondence Address : 203, Jaipur Tower, M. I. Road, Jaipur - 302001 (Rajasthan)

Telephone : 0141 - 4051000/1001 **Website :** www.hemsecurities.com

Corporate Off. : 904, A-Wing, Naman Midtown, Senapati Bapat Marg, Prabhadevi Station, Lower Parel, Mumbai-400013, Ph. : 022-49060000

Compliance Officer : Ms. Kritika Rander (HFPL); compliance@hemsecurities.com; 0141-4051066

Mr. Rohit Sharma (HSL); compliance@hemsecurities.com; 0141-4051000; www.hemsecurities.com

CEO : Mr. Prateek Jain, prateek@hemsecurities.com, 0141-4051000

For any grievance/dispute please contact **Hem Securities Ltd. / Hem Finlease Pvt. Ltd.** at the above address or write us at **investorgrievance@hemsecurities.com** for Trading A/c related matters and **investorgrv_dpjaipur@hemsecurities.com** for Demat A/c related matters and Phone no. 0141-4051000 In case of further queries, you can contact the Exchange at

BSE - ipf.atul@bseindia.com / dis@bseindia.com, Phone no. 0141-2370877/022-22728517

NSE - nsciscjai@nse.co.in/ ignse@nse.co.in, Phone no. 0141-2368444/18002660058

You can also lodge your grievances with SEBI at [http:// scores.gov.in](http://scores.gov.in) For any queries, feedback or assistance, please contact SEBI office or toll free Helpline at 1800-22-7575 / 1800-266-7575 Filing of complaints on SCORES – Easy & quick

a. Register on SCORES portal

b. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, Email ID

c. Benefits: (i) Effective communication (ii) Speedy redressal of the grievances, Toll Free No. 1800-22-7575

SCORES website <https://scores.gov.in/scores/Welcome.html>

Document Check List (Individual)

1. One passport size photograph
2. One Photocopy of PAN Card (Clear Copy) (Self Attested & PAN must be seeded with UID)
3. Proof of Bank Account (**any 1**)
 - a) Copy of Cancelled cheque (Printed name on cheque)
 - b) Certified Bank Statement not more than 2 months old
4. Valid Address (**Photocopy of any 1**)
 - a. Passport
 - b. Voter's Identity Card
 - c. Driving License
 - d. Aadhaar Card

Additional Requirement

(A) In case of only **TRADING ACCOUNT** is being opened Proof of Demat Account (**any 1**)

- a) Demat Client Master
- b) Demat Holding statement (not more than 2 months old)

(B) In case of Demat and/or trading account Opening of Minor

- a) Birth Certificate or Passport of Minor or Mark sheet issued by Higher Secondary Board
- b) KYC Form + PAN Card + Address Proof of Guardian

Note-

1. Any one photo identity proof of Nominee is required
2. In case of Negative nomination, declaration is required
3. All documents need to be self attested
4. In case of Minor account, all the documents and form should be signed by Guardian under proper seal

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No.
	MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES		
1.	Account Opening Form	A. KYC form - CKYC Document capturing the basic information about the constituent and instruction/checklist for filling form. B. Document capturing the additional information about the constituent relevant to Trading account/Demat A/c.	1-5
2.	Nomination Form	Nomination Form	6
3.	Declaration form	Declaration Form for Opting out of Nomination	7
4.	Modification	Modification / Addition/ Deletion in Trading & Demat Account	7
5.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	8
6.	Depository Service Charges	Document detailing DP services charges/Fee Structure for the Demat Account with Hem Securities Ltd.	9
7.	Policies and Procedures	Document describing significant policies and procedures of our company	10-11
8.	MITC	Most Important Terms & Conditions	23
9.	Rights & Obligations (DP)	Documents stating the rights & obligations of Beneficial owner and Depository Participant.	Annexure A
10.	Rights and Obligations (Stock Broker)	Document stating the Rights & Obligations of stock broker/trading member, client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Annexure A
11.	Risk Disclosure Document	Document detailing risks associated with dealing in the securities market.	Annexure A
12.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Annexure A
13.	Investor Charter	Investor Charter Investor Charter as per SEBI/HO/MIRSD/DOP/P/CIR/2021/676 dated December 02, 2021 & SEBI/HO/MIRSD/DOP/OW/P/2021/37347/1 dated December 15, 2021	Annexure A
14.	Risk Disclosure	Risk Discloser with respect to trading by individual traders in Equity Futures & option Segment	Annexure A
15.	Risk Management Policy	Document Detailing Risk Management	Annexure A
	VOLUNTARY DOCUMENTS		
1.	Terms and Conditions for receiving SMS Alerts from CDSL	Prescribed by Depository. Required to receive alerts directly from the Depository for the transactions executed in the demat account.	12-13
2.	Common Registration Form	For Availing SMS Alert and / or TRUST facility	14
3.	Running Account Authorisation	Required for maintaining clients account on a running account basis.	15
4.	Authorisation for Electronic Contract Note / Statements	Required for issuance of Electronic Contract Notes, Statement of Account and other documents on the client's registered e-mail id.	16
5.	Letter of Authority	Required for the purpose of operational efficiency	17
6.	Internet Trading Letter	Required to avail facility of online trading	18
	Auto Square Off Letter/Intimation	Auto Square Off Letter/Intimation	
7.	FATCA	FATCA & CRS Declaration - Individual	19
8.	Common E-mail, Mobile Format	Declaration of Common Mail, Mobile in Family Accounts	20
9.	DDPI	Demat Debit and Pledge Instruction	21
10.	DIS Option Form Mode of Operation (Joint Holder)	Option Form for Issue of DIS Booklet & Mode of Operation (Joint Holder)	22

Disclosure Information

Sir,

This is to inform you that we may do Pro-account trading at BSE Ltd. (Bombay Stock Exchange Ltd.), NSE (National Stock Exchange of India Ltd.)

Thanks and best regards.

For Hem Securities Ltd. / Hem Finlease Pvt. Ltd.

I acknowledge the receipt of information given above by Hem Securities Limited / Hem Finlease Pvt. Ltd. that they may do Pro-account trading.



Signature Sole/First Holder (1/30)



Signature of Second Holder



Signature of Third Holder

ACKNOWLEDGEMENT

To,

Hem Securities Ltd. / Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower, M. I. Road, Jaipur

Dear Sir / Madam:

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

1. Brief significance of the Document
2. Duly Executed Copy of KYC
3. Rights and Obligations
4. Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies Segments
5. Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors
6. Tariff Sheet
7. Policies and Procedures Document as per Regulatory requirements
8. Dos and Don'ts and best practices to be followed by demat account holders
9. Additional Risk Disclosure documents for Options Trading
10. Risk Management Policy & Details of Good Till Cancelled / Good Till Date and Orders (GTDT)
11. Investor Charter for DP & Stock Brokers
12. Trading Account Opening Form
13. Demat Account Opening Form
14. DDPI

I/We acknowledge and declare that I/We have received, read and understood, acknowledged and agreed to the content of above mentioned documents.

Further, I/We have also been informed that the standard set of mandatory documents is displayed for information on the stock broker's designated website, i.e. www.hemsecurities.com

Client Name _____
Trading Code _____
Date _____
Place _____

DP BO ID _____
E-mail Id _____
Mobile No. _____



Signature Sole/First Holder (2/30)



Signature of Second Holder



Signature of Third Holder

Know Your Client (KYC) Application Form (For Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS

CKYC & KRA KYC Form



Application No. :



For office use only (To be filled by financial institution)	Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update
KYC Number		(Mandatory for KYC update request)	
Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers)	<input type="checkbox"/> Small
			<input type="checkbox"/> OTP Based E-KYC

1. PERSONAL DETAILS (Please refer instruction A at the end)

PAN* Please enclose a duly attested copy of your PAN CardAadhaar, if any:

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)			
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)			
	<input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

PHOTO

Please affix the recent passport size photograph and sign across it

Sign Across (3/30)

Signature / Thumb Impression

Gross Annual Income (Range) ☐ Below Rs 1 LAC ☐ Rs 1-5 LAC ☐ Rs 5-10 LAC ☐ Rs 10-25 LAC ☐ Above Rs 25 LAC ☐

Proof of Identity submitted for PAN exempt cases Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others (Please see guideline 'D' overleaf)

2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*	<input type="text"/>
Tax Identification Number or equivalent (If issued by jurisdiction)*	<input type="text"/>
Place / City of Birth*	<input type="text"/>
ISO 3166 Country Code of Birth*	<input type="text"/>

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
State	<input type="text"/>
Pin / Post Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>
Country	<input type="text"/>

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill '**Annexure A1**') 1

Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

- *Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

- *Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** | d | d | / | m | m | / | y | y | y | y

☐ **6. DETAILS OF RELATED PERSON** (please refer instruction **G** at the end)

- [illegible]

PROOF OF IDENTITY [Pol] OF RELATED PERSON* (Please see instruction (H) at the end)

- ☐
7. REMARKS (If any) OR ANY OTHER INFORMATIONS

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

• I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

• I/We request you to reactivate my/our Trading account(UCC) with Hem Finlease Pvt. Ltd.

• I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

• I hereby give my consent to update/modify the above KYC details in my Demat Account No.

1	2	0	1	7	7	0											
---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--

 & Trading Account No. _____ maintained with you.

[Signature / Thumb Impression]

👉 (4/30)

Signature / Thumb Impression of Applicant

Documents Received ☐ **Certified Copies**

IPV/KYC VERIFICATION CARRIED OUT BY

AMC/Intermediary name OR code IPV Done ☐ on dd / mm / yy yy

- Main Intermediary

DEMAT & TRADING ACCOUNT RELATED DETAILS

(via which transactions will be routed)

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. BANK DETAILS (for Demat & Trading Account)

Bank Code (9-Digit MICR Code)									
IFS Code (11 Character)									
Account No.									
Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN Code			

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name & address of the BO

(iii) Photocopy of the Passbook having name & address of the BO

(iv) Letter from Bank

> In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

B. DEPOSITORY ACCOUNT DETAILS *

I/We already have Demat A/c ☐ Yes ☐ No

Depository Participant ☐ CDSL ☐ NSDL

Depository Participant Name _____

Beneficiary Name _____

DP ID No. _____ Beneficiary ID _____

* Demat Master or recent holding statement issue by DP bearing name of the client should be submitted.

C. TRADING PREFERENCES**

Please sign in the relevant boxes where you wish to trade. Please strike segment not chosen by you.				
Exchanges	NSE, BSE			
All Segments	Cash/ Mutual Fund	F&O	Currency	Debt
(5/30)	(6/30)	(7/30)	(8/30)	(9/30)
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____				

If, in future you want to trade on any new segment/new exchange, separate authorization/letter will be taken.

**Please submit any one attested copy of the following in case of trading in F & O and Currency Derivatives.

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months

D. PAST ACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners / promoters whole time directors/authorized persons in charge of dealing in securities during the last 3 years :

E. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

If client is dealing through the Authorised Person(AP), provide the following details:

AP Name: _____ SEBI Registration number : _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

Whether dealing with any other Stock Broker/AP ☐ No ☐ Yes if yes provide following details

(in case dealing with multiple Stock Brokers/AP, provide details of all)

Name of Stock Broker : _____

Name of AP, if any: _____

Client Code: _____ Exchange: _____

Details of disputes/dues pending from/to such Stock Broker/AP : _____

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) : _____
Specify your Email id, if applicable: _____
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): ☐ Yes ☐ No
- Number of years of Investment/Trading Experience: _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer : _____

Status of the Introducer: ☐ Sub-Broker ☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Others, please specify _____

Address and phone no. of the Introducer : _____

Signature of the Introducer : _____

H. NOMINATION DETAILS - As provided on Page no. 6

DECLARATION

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

2. I confirm having read/been explained and understood the contents of document on policy and procedures of HSL/HFPL and tariff sheet.

3. I further confirm having read and understood the contents of the 'Rights and Obligations' document(s) , 'Risk Disclosure Document and Policies & Procedures'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on HSL/HFPL'S designated website **www.hemsecurities.com**

4. "I/We want to opt out of BSDA facility as mentioned in SEBI circular SEBI/HO/MIRSD/MIRSD-PoD1/P/CIR/2024/91 dated June 28, 2024 and wish to avail Regular Demat Account services (Non-BSDA) with Hem Securities Limited" ☐ Yes ☐ Tick Here



Signature of Client (10/30)

Place _____

Date _____

FOR OFFICE USE ONLY

UCC Code Allotted to the Client _____

We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We him/her also made the Risk disclosure with respect to trading by individual traders in Equity Futures & Options Segment. We have given/sent him a copy of all the KYC documents. We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our website **www.hemsecurities.com** for the information of the clients.

Signature of Authorised Signatory

Seal / Stamp of HSL / HFPL

DEMAT ACCOUNT RELATED ADDITIONAL DETAILS

(Required for the purpose of DEMAT A/c Opening)

For Office use only

Application No.		Date											
DP Internal Reference No.													
DP ID	1	2	0	1	7	7	0		Client ID				

Please fill all the details in Block Letters in English only.

I/We request you to open a Depository Account in my/our names as per the following details :

Holder's Details

Sole / First Holder's Name	PAN												
	UID												
Second Holder's Name	PAN												
	UID												
Third Holder's Name	PAN												
	UID												

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

Type of Account (Please tick whichever is applicable)

Status	Sub - Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA) <input type="checkbox"/> Individual Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts <input type="checkbox"/> NRI Non - Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National -Depository Receipts <input type="checkbox"/> Others (specify) _____

Details of Guardian (in case the account holder is minor)

Guardian's Name	PAN												
Relationship with the applicant													

Additional Details

I/We instruct the DP to receive each and every credit in my / our account (if not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (if not marked, the default option be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical & Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
I / We wish to receive dividend / interest directly in to my bank account as given above through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No



Signature of Sole/First Holder (11/30)



Signature of Second Holder

(5)



Signature of Third Holder

Nomination Form

(Annexure A and Annexure B SEBI/HO/MIRSD/POD1/P/CIR/2024/81 June 10, 2024)

Hem Securities Limited/ Hem Finlease Pvt Ltd										FORM FOR NOMINATION										Reg. No.:								
203, Jaipur tower, M. I. Road, Jaipur 302001 (Raj)										(To be filled in by individual applying singly or jointly)																		
Date		D	D	M	M	Y	Y	Y	Y	UCC/ DP ID		1	2	0	1	7	7	0	Client ID									
I/We wish to make a nomination. [As per details given below]																												
Nomination Details																												
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																												
Nomination can be made upto three nominees in the account.										Details of 1st Nominee						Details of 2nd Nominee						Details of 3rd Nominee						
1		Name of the nominee(s) (Mr./Ms.)																										
2		Share of each Nominee		Equally [If not equally, please specify percentage]																								
Any odd lot after division shall be transferred to the first nominee mentioned in the form.																												
3		Relationship With the Applicant (If Any)																										
4		Address of Nominee(s)																										
		City / Place: State & Country:																										
		PIN Code																										
5		Mobile / Telephone No. of nominee(s) #																										
6		Email ID of nominee(s) #																										
7		Nominee Identification details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																										
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																												
8		Date of Birth {in case of minor nominee(s)}																										
9		Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																										
10		Address of Guardian(s)																										
		City / Place: State & Country:																										
		PIN Code																										
11		Mobile / Telephone no. of Guardian #																										
12		Email ID of Guardian #																										
13		Relationship of Guardian with nominee																										
14		Guardian Identification details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																										
										Name(s) of holder(s)										Signature(s) of holder*								
Sole / First Holder (Mr./Ms.)																				(12/30)								
Second Holder (Mr./Ms.)																												
Third Holder (Mr./Ms.)																												

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Optional Fields (Information required at Serial nos. 4,5,6,7,10,11,12 & 14 is not mandatory)

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)



Declaration Form for opting out of nomination
[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

*Mandatory in case no nominee is appointed

To	Date	D	D	M	M	Y	Y	Y	Y
Hem Securities Limited/ Hem Finlease Pvt Ltd 203, Jaipur tower, M. I. Road, Jaipur 302001 (Raj)									
UCC/DP ID	1	2	0	1	7	7	0		
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I/ We hereby confirm that I / We do not wish to appoint any nominee(s) in my/our trading / demat account and understand the issues involved in non-appointment of nominees(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
									(13/30)

Request Form for Modification/ Addition/ Deletion in Trading and Demat Account

Application No.		Date: __/__/____
-----------------	--	------------------

I/ We request you to make the following Modification/ Addition/ Deletion in my/ our Demat and Trading account in your records.

DP ID:	1	2	0	1	7	7	0	Client ID:								
--------	---	---	---	---	---	---	---	------------	--	--	--	--	--	--	--	--

Client's Trading Code	
-----------------------	--

Account Holder's Details	
Name of the First/ Sole Holder	
Name of the Second Holder	
Name of the Third Holder	

☐ I/We request to carry out the change my/our Correspondence Address/ Permanent Address/Signature in the Demat Account / Trading Account / KRA

Request for Modification (Please mark tick on the appropriate column)

Only in Demat		Only in Trading		Demat & Trading	
---------------	--	-----------------	--	-----------------	--

Details (please specify change of correspondence/ permanent Address, Bank Details, Email Id, Mobile No, sub-status, etc.)	Addition/ Modification/ Deletion (Please Specify)	Existing Details	New Details

Attach an Annexure (with signature(s)) if the space above is found insufficient.

(Kindly affix stamp along with the signature in case of Account of Minor/ HUF/ Firm/ Company).

	FIRST/ SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
Name			
Signature of Client	(14/30)		

TARIFF SHEET

BROKERAGE STRUCTURE

CASH SEGMENT

Brokerage Slab	Slab %		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
Delivery Based		Not Applicable		Not Applicable
Daily Square Up				

DERIVATIVE SEGMENT : SLAB% FOR FUTURE

Brokerage Slab	Future %		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
Daily Square Up				
Settlement Square Up	Same as above		Same as above	

DERIVATIVE SEGMENT : SLAB FOR OPTIONS

Brokerage Slab	Option		Minimum per lot	
	First Leg	Second Leg	First Leg	Second Leg
Daily Square Up				
Settlement Square Up	Same as above		Same as above	
GST				

CHARGES*

	CM SEGMENT	F&O SEGMENT	CD SEGMENT
STT			
TURN OVER CHARGES			
STAMP DUTY			
OTHER CHARGES			
(i) Inter-Settlement Charges: Rs. 15/- Per Instruction/ Scrip. (ii) Online Transfer of funds through Atom/ other Payment Gateway: Rs. 10/- per transaction (iii) Minimum Brokerage per Note is Rs.10			

*As per applicable rates.



Signature of Client (15/30)



Hem Securities Ltd.

203, Jaipur Tower, M.I. Road, Jaipur-302 001

S. No.	TARIFF STRUCTURE FOR DEPOSITORY SERVICES W.E.F. 21.02.2025	
1	Annual Maintenance Charges (AMC)	
	a. Individual/ HUF	SCHEME I : Annual AMC - Rs. 300/- SCHEME II : Annual AMC- Rs 400/-* (1st Year Free AMC only for new accounts) SCHEME III : One Time AMC- Rs1200/-** valid for 6 years
	b. BSDA	Up to ₹4,00,000 : No AMC ₹4,00,001 to ₹10,00,000 : ₹100/- Above ₹10,00,000 : Regular AMC plans
	c. NRI	Rs 750/-
	d. Non- Individual	Rs 1000/- ***
2	Transaction Charges	
	a. Purchase (On Market/ Off Market)	FREE
	b. Sale (On Market/ Off Market - Slip Transaction)	INDIVIDUAL+ HUF - 0.01 % of transaction value; minimum Rs 30/- NON- INDIVIDUAL - 0.02% of transaction value; minimum Rs. 30
	c. Sale (POA/DDPI)	INDIVIDUAL+ HUF - 0.002% of transaction value or Rs 15, whichever is higher (subject to maximum Rs 200) NON- INDIVIDUAL - 0.02% of transaction value, minimum Rs. 20
3	Delivery Instruction Slip Book	
	a. First DIS Book	FREE + Courier/ Postage Charges
	b. Additional DIS Book	Rs. 30/- per book (10 Slips) + Courier/ Postage Charges
4	Additional Statement Charges (one Statement per month will be provided free of cost vide E-mail)	
	a. By E Mail	FREE
	b. Physical	Rs 10/ page + Courier
5	Dematerialization	
		Rs. 50/- per certificate + Courier Postage Charges
6	Rematerialization/ Restat	
		Remat: A fee of Rs.12/- for every 100 securities or part thereof; subject to maximum fee of Rs.6,00,000/- or a Flat fee of Rs.12/- per share certificate, which ever is higher payable on confirmation of the request. Restat: Rs 100/- of maximum 0.02% of transaction value whichever is higher
7	Instruction Failure/ Demat Rejection Charges	
		Rs. 40/- per transaction
8	Pledge Creation/ unpledge / Invocation Charges	
		Rs 20/- per request per ISIN
9	Margin Pledge/ Unpledge/Re-pledge of funded stock	
10	CUSPA : Pledge Creation/ unpledge / Invocation Charges	
		Rs. 7/- per request per ISIN
11	KRA Charges	
		Rs.80/-
12	Stamp Charges Payable Upfront	
		Rs 140/-
13	Modification Charges (Online/ Offline)	
		Rs.25/- per request
14	Cheque Bounce Charges	
		As per Bank

GST as per prevailing rates will be charged extra on aforesaid Fees.

TERMS & CONDITIONS W.R.T. CHARGES:

- **Scheme I**, Annual Account Maintenance Charges will be charged upfront every year.
 - * **Scheme II**, if Account is closed during the First year, AMC will be charged as per **SCHEME I**.
 - ****Scheme III** includes Account Maintenance Charges for a period of **6 years** (Rs. 1,200/- will be charged in 1st year (upfront) and Account Maintenance charge for the next 5 years will be FREE). In case, if account is closed during the said period, **the AMC will be charged as per SCHEME I**
 - **For Non Individual account**, ***Rs 1000 will be charged as an AMC and Rs 1000 credit balance is to be maintained by BO in their account.
 - Courier/ postage charges will be **Rs. 20/- per courier** (wherever applicable) and **Rs. 40/- per postage** and **Rs. 50/- (In case of Dematerialization Request-up to 10 certificates)**
 - **CAS charges: ONLINE via mail- Rs.2/month & OFFLINE via courier: Rs10/page per month + Courier**
 - **EASIEST (CDSL Portal) login access, client is required to maintain a minimum credit balance of Rs 2,000 in their demat account.**
 - Tariff structure is based on existing CDSL charges and Hem Securities Limited reserves the right to revise the tariff structure by giving notice of 30 days.
 - Value of transaction will be in accordance with the rates provided by CDSL.
 - In case of delay in the payment of charges, the demat account will be frozen for all operations till such period all dues are cleared and is subject to 30 days' notice from the payment due date.
 - Interest @ 12% p.a. will be charged on outstanding payment (above 30 days).
 - Access to online Depository back office will be provided Free of Cost - Download the **HEM- Back office App**.
 - Transaction and holding statement will be sent through E-Mail.
 - Cheque/ DD/ NEFT should be issued in favour of "Hem Securities Limited" payable at Jaipur.
 - The BO unconditionally authorizes **Hem Securities Limited** and has no objection in charging the depository services bill to their trading accounts maintained with **Hem Finlease Pvt. Ltd** and vice versa.
 - **The DDPI charges** (stamping/notary) will be Rs 140 OR as per actuals
- Any service not quoted above will be charged separately.



Signature of Client (16/30)

POLICIES & PROCEDURE

a) Policy for Penny Stock: A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depending on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

b) Setting up client's exposure limits : The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

c) Applicable brokerage rate : Brokerage will be charged within the limits prescribed by SEBI/Exchange.

d) Imposition of penalty / delayed payment charges

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their payin/margin obligation on time

as per the exchange requirement/schedule at the rate upto 2% per month.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

e) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/ obligations The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client unpaid securities account (CUSA) and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account. In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of pledge securities or any other property, the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion. The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close / liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

f) Shortages in obligations arising out of internal netting of trades Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the

exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

As per Internal Close Out policy of the Company, if a client initiates a short position and thereafter fails to deliver the securities, then Auction of Market shortage will be carried out by the exchange itself and if there is any internal shortage, then it will be dealt as under:

1. Auction shall be in respect of internal shortages in capital market segment, physical settlement of equity derivatives.
2. Clients are requested to kindly place the delivery of securities within T+1 day, before 5 p.m. or else the same will be voluntarily auctioned.
3. In case the Voluntary Auction is not successful then the internal close out (as already existing) shall apply i.e. the first priority will be given to Voluntary auction and only if required the internal closeout will be done thereafter.
4. In case where auction is successful but there is a settlement shortage i.e. auction seller fails to deliver the securities on T+3 day, NSE Clearing shall conduct financial close out in accordance with the extant procedures.
5. This is only a facility and no settlement guarantee shall be provided.
6. There shall be a facilitation fees of 1.5% (1% NSE's fees 0.5% company charges) on the value of security considering the price of security on day prior to auction.

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

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy (available on our website www.hemsecurities.com) of the company. Clients introducing open position may be squared off before market closing a the auto squared off/RMS. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts.

h) Temporarily suspending or closing a client's account at the client's request On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the return request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

i) Deregistering a client :-Notwithstanding anything to the contrary stated in the agreement, the trading member shall be entitled to terminate the agreement with immediate effect and client account can be de-registered.

(I) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.

- (ii) If there is any commencement of a legal process against the client under any law in force;
 - (iii) On the death/lunacy or other disability of the Client;
 - (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
 - (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
 - (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
 - (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
 - (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
 - (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
 - (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
 - (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
 - (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;
- j) Inactive Client account: -Client account will be considered as inactive if the client does not trade for period of 12 months. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account and submit the required documents.
- (k) Client Acceptance of Policies and Procedures stated hereinabove: I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or electronic mode. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.



Signature of Client (17/30)

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

[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited (CDSL) a company incorporated in India under the Companies Act 1956 and having its registered office at Marathon Futurex, A-Wing, 25th Floor, N M Joshi Marg, Lower Pearl, Mumbai and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms & conditions.

Availability :

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

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this period.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and / or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and / or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred / suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, e-mail address and mobile number for marketing offers between CDSL and any other entity.

6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his acknowledge on receiving SMS alerts. The BO send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.

8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever

9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees :

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

Disclaimer:

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

Liability and Indemnity :

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

Amendments:

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

Governing Law and Jurisdiction :




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

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

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

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

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

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 (18/30)		

Common Registration Form for availing SMS Alert and /or TRUST facility

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART-SMS alert facility
- b. TRUST- TRansaction using Secured Texting facility

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID

1	2	0	1	7	7	0	1								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holders Name : _____

Third Holder's Name : _____

Mobile Number on which
message are to be sent

+91											
-----	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

(Please write only the mobile number without prefixing country code or zero)

(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The Mobile number is registered in the name of : _____

E-mail ID : _____

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

I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

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

SMS Alert Facility and / or TRUST facility

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	Mobile No. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA/DDPI)) If POA/DDPI is not granted you do not wish to avail of this facility, cancel this option.).	<input type="checkbox"/> YES <input type="checkbox"/> NO									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure-2.6	I wish to avail the TRUST facility the mobile number registered for SMS Alert Facility. I have read and understood the Terms & Conditions prescribed by CDSL for the same. <input type="checkbox"/> YES <input type="checkbox"/> NO I wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1"><thead><tr><th>Stock Exchange Name / ID</th><th>Clearing Member Name</th><th>Clearing Member ID (optional)</th></tr></thead><tbody><tr><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td></tr></tbody></table>		Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (optional)									
Easi	To/We register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										



Signature of Client (19/30)

RUNNING ACCOUNT AUTHORISATION VOLUNTARY

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date

Dear Sir,

I/We will be dealing through you as client in Capital Market and/ or Future & Option segment and/ or Currency Derivatives at BSE/NSE. In order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my/our account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/ Clearing Corporation, unless I/We instruct you otherwise.
2. I/We request you to retain with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/ Clearing Corporation, unless I/We instruct you to transfer the same to my account.
3. I/We request you to settle my/our fund account once in every calendar Quarter or /Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/ margin in form of Bank Guarantee and /or Fixed Deposit Receipts.
4. In case I/ we have any outstanding trade position on the day on which settlement of running account of funds is scheduled, you may retain the entire pay-in obligation of funds outstanding at the end of the day on settlement of running account, of T day & T-1 day and upto 225% of the total margin liability in all the segments across exchanges.
5. I/We shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker preferably within thirty (30) working days from the date of receipts of funds or statement, as the case may be.
6. I/We confirm you that I/We can revoke the above mentioned authority anytime by giving notice in writing to you.
7. If I/We have credit balance, and have not done any transaction in the 30 calendar days since the last transaction, the credit balance shall be returned to me by HSL/HFPL, within next three working days irrespective of the date when the running account was previously settled.

I/We request you to settle my/our funds account.

Once in every :-

- ☐ **Calender Quarter**
☐ **Calender Month**

Thanking you
Yours faithfully,

Client Name _____

Trading Code _____



Signature of Client (20/30)



Signature of Second Holder

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTE / STATEMENTS
VOLUNTARY**

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date

Dear Sir,

Subject: Issuance of Electronic Contract Notes/Statements in Electronic Form (Trading/Demat A/c)

In reference to my/our dealing with you as a client for trading in the Capital Market and/or Futures & Options Segment and/or Currency Derivatives at BSE/NSE, I/We hereby give my/our consent to receive electronic contract notes (ECN), financial statements, margin statements or any other reports/notices in electronic mode from Hem Securities Ltd. (HSL) and/or Hem Finlease Pvt. Ltd. (HFPL) on my/our below mentioned e mail id.

I/We further give my/our consent to receive bills, ledgers, transaction statements, monthly/quarterly demat statement of accounts/holding statement(s)/bills, or any other reports/notices in electronic mode on my/our below mentioned e mail id for the Depository services I/we am /are availing through Hem Securities Ltd.- DP.

I/we confirm that the e mail address has been generated by me/us.

1.....

2

I/We further hereby agree that the HSL/HFPL shall fulfill the legal obligation by sending the mentioned documents electronically to my/our e-mail id. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email id(s).

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of documents to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non receipt/ delayed receipt for any reason whatsoever.




I/We also undertake to check the ECN/Statement and other documents and bring the discrepancies to your notice within the time period as specified by the regulatory authorities. My/Our non-verification or not accessing the ECN/Statement and other documents on regular basis shall not be a reason for disputing the same at any time.

I/We understand and agree that I/we shall intimate any change in the email id mentioned herein through a physical letter to you. Whenever I/We want to discontinue the said facilities, I/We shall inform to HSL/HFPL immediately in writing.

I/We further agree that HSL/HFPL will not be held responsible for non receipt of documents sent via electronic delivery due to change in correct e-mail address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify HSL/HFPL, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

My Trading code is _____

My/Our BO ID _____

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 (21/30)		

**LETTER OF AUTHORITY
VOLUNTARY**

To,

Hem Securities Ltd./ Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower,
M. I. Road, Jaipur-302001

Date.....

Dear Sir,

Subject: Letter of Authority -CASH/F&O / Currency Derivatives of BSE/NSE.

I/We shall be dealing in securities with you at BSE Ltd. (Bombay Stock Exchange) and National Stock Exchange of India Ltd. (NSE) in Cash, F&O, Currency Derivatives Segment and in order to facilitate ease of operations, I authorise you as under:

1. I/We authorise you to setoff outstanding in any of my accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by me.
2. I/We hereby authorise you not to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep/pledge all the securities which we give/pledge you in margin including the payout of securities received by me for meeting margin / other obligation in stock exchange or for giving the same as margin to the Stock Exchange or otherwise.
4. I/We request you to retain credit balance in any of my account and to use the idle funds towards my margin/future obligations of Exchange unless I instruct you otherwise. I also authorize you to debit the necessary demat charge from time to time, for keeping the shares in your client unpaid securities pledgee account on my behalf. I also authorise you to debit the financial charges upto @ 2% p.m. for the debit balances if any, in my/our account and not settled as per the exchange requirements.
5. I/We request you to consider my telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contract note issued by you.
6. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We agree that I/We shall be fully liable and responsible for any such problems.
7. I am agreeable for inter-settlement transfer of securities towards settlements.
8. I am agreeable for and authorise you to with hold funds pay-out towards all the applicable margins and debits.
9. All fines/penalties and charges levied upon you due to my/our acts/deeds or transactions may be recovered by you from my/our account.
10. I/We hereby authorize you to send me/us SMS alerts on my mobile number for trade confirmations, research calls, investment ideas or any other information etc. including all commercial communication even though I am registered or may register with National Do Not Call Registry established under the Telecom Unsolicited Commercial Communications Regulations, 2007 or registered or may register under the National Customer Preference Register established under new regulation viz the Telecom Commercial Communications Customer Preference Regulations, 2010.
11. I/We have a Trading as well as depository relationship with Hem Finlease Pvt. Ltd. & Hem Securities Ltd. Respectively Please debit the charges relevant with depository services from my trading account. I/We also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reasons.
12. I/We hereby confirm that I/We have read & understood the provisions of Prevention of Money Laundering Act and will comply with these provisions.
13. I/We Confirm you, that I/We can revoke the above mentioned authority at any time by giving notice in writing to you.

Yours faithfully,

Client Name _____

Trading Code _____



Signature of Client (22/30)

Letter for Securities Trading using Internet & Wireless Technology

VOLUNTARY

To,

Hem Finlease Pvt. Ltd.

Regd. Off. : 203, Jaipur Tower, M. I. Road, Jaipur-302001

Date

Sub: Securities trading using Internet & wireless technology (incl. trading through mobile application).

I/ we _____ registered as your client having trading code - _____ wish to trade through Internet & wireless technology (including trading through mobile application) and have executed the trading member and client agreement for the purpose of trading in the capital market segment, Futures & Options Segment, Currency Derivatives segment of BSE Ltd. (Bombay Stock Exchange) and/or National Stock Exchange Limited. (NSE).

I/we am / are interested in carrying securities trading through use of Internet & wireless technology which shall include devices such as mobile phone, tabs, PC's & laptop with data card etc. using internet protocol (IP) and /or through mobile application.

I/we understand that the terms and conditions applicable to internet based trading will also be applicable to securities trading through use of wireless technology. I/ we am/are made aware by you regarding all the possible risks including risk of misuse and unauthorized use of username and or password by a third party and the risk of a person hacking into our account on your ITORS system and, responsibilities and liabilities associated with securities using Internet & wireless technology.

I/we shall be fully liable and responsible for any and all unauthorized use and misuse of our password and/ or username and also for any and all acts done by any person through your ITORS system on our username in any manner whatsoever.

I/we hereby confirm you to send my/ our username and password on my/ our registered e-mail ID _____ and therefore request you to enable me/ us for carrying securities trading through use of Internet & wireless technology (Including trading through mobile Application)

Client Name _____

Client Trading Code _____



Signature of Client (23/30)

INTRADAY TRADING FACILITY (AUTO SQUARE OFF LETTER)

VOLUNTARY

Date

I/ We request you to grant me/us higher trade limit for executing intra-day trades at permitted stock exchange(s).

I/We agree and undertake to square-off my/ our open intraday trades on the same day any time before 20 minutes of normal market close or such other time as may be informed to me/us through email or otherwise. In the event of my/our failure to square off all outstanding intraday trades by the predefined time or such other time as may be intimated to me/us from time to time, you are authorized to cancel all pending intraday orders and to square-off my/our open intraday position on the same day at market rate at your discretion.

Notwithstanding the above, I/we agree that if the mark to market losses on my/our cash positions and/ or F&O and/ or Currency Derivative positions reaches the specified percentage of margin deposit, as may be intimated from time to time, the entire outstanding positions in cash, derivative, currency segment may be closed /squared up by you on occurrence of such event.

If due to power failure, connectivity failure, circuit breakers, lack of market depth or any other reason, my/our open trade is not square-off on the same day, you may square-off the same on the next trading day at market rate at your discretion.

I/ We agree that in all the above instances the resulting loss and penalty chargeable by you or stock exchanges, if any, shall be fully borne by me/us.

Client Name _____

Client Trading Code _____



Signature of Client (24/30)



FATCA & CRS Declaration - Individual

(For FATCA Instruction & Definition please visit www.hemsecurities.com/downloads)

PAN Trading DP Code

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

Net Worth Amount Rs. Net Worth as on
(Net worth should not be older than 1 year)

Occupational ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
 Detail . ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India Yes ☐ No ☐

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform M/s. Hem Securities Ltd./ Hem Finlease Pvt. Ltd. for any modification to this information promptly.
 I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Date

Place : _____



Signature of Client (25/30)

DECLARATION UNDER PMLA

Other Details Gross Annual Income Details	Income Range per annum :	
	<input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000	
	Net worth as on (Date)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Rs.
[Net worth should not be older than 1 year]		
Occupation	<input type="checkbox"/> Private /Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify).....	
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)	
Any Other information	Education : _____	



Signature of Client (26/30)

Common E-mail ID / Mobile No. in Family Accounts

(Family means : Self, Spouse, Dependent Children & Dependent Parents only)

To

Hem Securities Ltd. / Hem Finlease Pvt. Ltd.

203, Jaipur Tower, M. I. Road,
Jaipur-302001

Date

We the below mentioned entities are / will be account holders / Beneficiary owners for Trading & Demat purpose in your company. In order to facilitate operations the below mentioned entities be treated as family. We request you to upload mobile No.

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

 which is in the name of _____ (Self) and Email ID _____ in your records, Exchanges & DP.

We all below mentioned family members have no objection if the same Email ID & Mobile No. will be used by you for sending any documents & information.

S. No.	Name of Family Member	Trading Code	Demat Account No.	Relation with Self	Signature of Family Member
1.				Self	
2.					
3.					
4.					
5.					

Client Name : _____

Trading Code : _____



Signature of Client (27/30)



Demat Debit and Pledge Instruction





To all to whom these Presents shall come I/we

Name	Address
1. _____	_____
2. _____	_____
3. _____	_____

Whereas I/ We hold a Beneficiary Account No. _____ (BO- ID) with Central Depository Services (India) Limited, through Hem Securities Limited, 203, Jaipur Tower, M.I. Road, Jaipur – 302001 (Rajasthan), having SEBI Registration No. IN-DP-CDSL-568-2021.

And Whereas I/ We am /are an investor engaged in buying and selling of Securities/Commodities through Hem Finlease Private Limited, a member of The National Stock Exchange of India Ltd. (NSE) & BSE Limited (Bombay Stock Exchange) & Multi Commodity Exchange of India Limited (MCX) having SEBI Registration No. INZ000167734

NOW THESE PRESENTS WITNESSTH That I/ We the above named do hereby nominate, constitute, and authorize Hem Finlease Private Limited, 203, Jaipur Tower, M.I. Road, Jaipur – 302001 (Rajasthan) to perform the following functions on my/ our behalf to:

S.No.	Purpose	Signature of Client *
1.	Transfer of securities held in the aforesaid beneficial owner accounts towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the National Stock Exchange of India Ltd. (NSE) or BSE Ltd. (Bombay Stock Exchange) through Hem Finlease Private Limited.	<div>1st holder  (28/30)</div> <div>2nd holder</div> <div>3rd holder</div>
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by Me/us on the National Stock Exchange of India Ltd. (NSE) or BSE Ltd. (Bombay Stock Exchange) or Multi Commodity Exchange of India Limited (MCX) through Hem Finlease Private Limited.	<div>1st holder  (28/30) Signature</div> <div>2nd holder</div> <div>3rd holder</div>
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	<div>1st holder  (28/30) Signature</div> <div>2nd holder</div> <div>3rd holder</div>
4.	Tendering shares in open offers through Stock Exchange platforms	<div>1st holder  (28/30) Signature</div> <div>2nd holder</div> <div>3rd holder</div>

Our Designated Demat account/CM ID

Clearing Member ID No. M51081 (NSE, BSE), 56905 (MCX), Client Securities Margin Pledge Account No.: 1201770101261327, Pool Account No. 1201770100000061, Early Payin Account No. 1100001000024373 (BSE), 1100001100015348 (NSE), Client Securities Margin Funding Account No - 1201770101261561, Pool Account (SLBS) 1201770101272871, Client Securities Margin Pledge Account No (MCX): 1201770101317582.

I/ We further agree and confirm that the powers and authorities conferred by this DDPI shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received at office at Hem Finlease Private Limited, 203, Jaipur Tower, M.I. Road, Jaipur- 302001 (Rajasthan)

Witness:

Name	Address	Signature
_____	_____	_____

Hem Finlease Private Limited

Authorised Signatory

203, Jaipur Tower, M.I. Road, Jaipur

* The same may be eSigned or signed physically

Additional KYC Form for Opening a Demat Account

To,

Hem Securities Limited

203/215, Jaipur Tower, M. I. Road, Jaipur-302001

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID										
Client ID										

I/We request you to open a demat account in my/ our name as per following details:

Holders Details

Sole / First Holder's Name		PAN															
		UID															
		UCC															
		Exchange Name & ID															
Second Holder's Name		PAN															
		UID															
Third Holder's Name		PAN															
		UID															

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
----------------------------------	---

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder .)		
<input type="checkbox"/> first Holder	<input type="checkbox"/> All Holder	Email id
	Second Holder	
	Third Holder	

OPTION FORM FOR ISSUE OF DIS BOOKLET


☐ OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/ our CDSL account through I / We have issued a DDPI in favour of Hem Finlease Private Limited for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

OR

☐ OPTION 2 :

I / We do not require the Delivery Instruction Slip (DIS) for the time being. Since I / We have issued a DDPI in favour of Hem Finlease Private Limited for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member. However the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately my/our request at any later day.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			
	Signature of Client (29/30)		

To,
Hem Finlease Pvt. Ltd.
204, Jaipur Tower, M. I. Road, Jaipur-302001

Annexure A

Most Important Terms and Conditions (MITC)

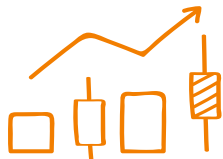
(For non-custodial settled trading accounts)

1. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.



Signature of Client (30/30)

OUR SERVICES



Equities and
Derivatives Broking



Commodities &
Currency Futures



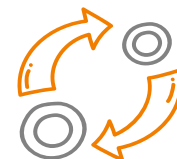
Margin Trading
Facility



Research & Advisory



Portfolio Management
Services



Distribution of IPO



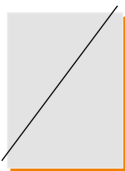
Mutual Funds



Depository services
CDSL



NRI Services



100% Paperless
Account Opening

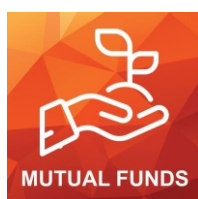


Investment Banking



Mobile Trade App

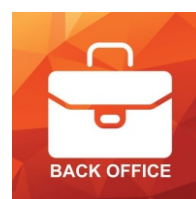
“Download the **Hem Tradestar**, **Hem Mutual Funds** and the **Hem Back Office** applications from the Play store/ App Store now”



Hem Mutual Fund



Hem TradeStar App



Hem Back Office

Contact Details : Research (Whatsapp & Telegram) 7976732684, Back Office : (Whatsapp) 9358994497

For any other queries call us at 0141-4051000, website : www.hemsecurities.com

Registered Office : 203, Jaipur Tower, M. I. Road, Jaipur-302001 • Phone : 0141-4051000

Mumbai Office : 904, A-Wing, Naman Midtown, Senapati Bapat Marg, Prabhadevi Station, Lower Parel, Mumbai-13