

Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

An ISO 9001:2008 Company

Serial No.:

Common Client Code :

Segment Activated :

Date :

DP ID :

Approved for Account Opening

Verified By :

Date :

POA

Pg No

Registration Kit

Bankonnect



iINVESTMENTZ^{COM}
— INVESTOR FIRST —

by Asit C. Mehta Investment Intermediates Ltd.

Version-4

Cash Trading + IPO + MF

CHECKLIST

A. Important Points on form Filling.

Please take care of below points at the time of filling form

1. Form to be filled legibly in **BLOCK LETTERS** and in **BLACK INK** only
2. Enclose valid document copy of ID proof , Address proof , bank proof , Financial Proof (Mandatory for Derivative a/c only) as per list given Point No B.
3. All documents / Photocopies of documents submitted along with form should be Self-attested by client(s). In case of HUF A/C it should be signed by Karta of HUF under Seal of HUF.
4. All Photocopy of documents submitted should be verified by authorized person of ACMIIL at branch / Associates as per ACMIIL internal Circular.
5. If any proof is in Non English language, then translation into English is required.
6. Permanent Address is Mandatory; Care of (C/o) address is not accepted as permanent address.
7. In case of Correspondence & Permanent address are different, then proof for both the address should be submitted.
8. Please mentioned Complete address on the form, it should not be short address. Where ever possible, room no, building name, road name, nearest known landmark should be mentioned.
9. Name, Address, Bank details mentioned on the KYC form should match with the documentary proof submitted.
10. Please strike-off the Blank details on the form, which are not applicable.
11. Please affix (Do not staple) photographs of all holders at appropriate place provided & sign Across the photograph as Party is on the form & party on the photograph.
12. In case of NRI account FEMA Declaration given on the form to be duly signed by all holder & PIS approval letter from authorized dealer / Bank is mandatory.
13. In case MF a/c are to be opened , Please submit one more set of documents on A4 size paper & also fill MF KYC form.
14. Please mention Brokerage scheme no at appropriate box on the form.
15. Please mention RC No / RC name where client's a/c would be mapped correctly on the form.
16. Please attach correct POA format .

B. List of Documents to be submitted along with Form.

1. Proof Of Identity (Point i Mandatory)

- i. PAN card with Photograph of All holders. In case of HUF a/c PAN card of HUF & of Karta are required to be submitted.
- ii. UID (Unique Identification No, Passport, Driving Licence, Voter ID Card).

2. Proof of Address

(Any one from the below list, Please also refer point no 8 above. Tick which proof is submitted)

- 1. Bank Passbook / Bank Statement / Letter issued by Bank (Duly attested by Bank official) along with Cancelled cheque (Issued with in 3 months time)
- 2. Voter ID card
- 3. Utility bill such as Electricity bill , Tele bill (Land line only) , Gas Bill (Bill issue date should not more then 2 months old)
- 4. Driving License (Along with Validity details like date of Expiry)
- 5. Passport (Along with Validity details like date of Expiry)
- 6. Ration Card (Where name of holder is displayed)
- 7. Proof of Address in the name of the Spouse (Along with Relationship document – Any from Point 5.)

3. Bank Proof

(Any one from the below list)

- i. Cancelled cheque Specifying name of A/C holder, MICR Code and / or IFSC code. (In case of HUF, it should be in name of HUF)
- ii. Bank Passbook / Bank Statement / Letter issued by Bank (Duly attested by Bank official, issued with in 4 months time) along with Cancelled cheque

4. Demat Proof

(Mandatory in Case of linking Existing Demat a/c with investment a/c)

- 1. Copy of Demat Master
- 2. DP holding Statement

5. Relationship Proof

(Please submit any from the below list, it should contain the names of applicant & Spouse / blood relative to establish relationship)

- i. Passport
- ii. Marriage registration certificate
- iii. Voter ID card
- iv. Ration Card
- v. PAN card
- vi. UID

Signature guide

Signature of the Client/First Holder



Second Holder



Signature of the Witness of the Client



Signature of the Witness of Member / DP / authorized signatory



Signature of the Member / DP / authorized signatory



Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

Corporate Member : Mumbai Stock Exchange & National Stock Exchange

Regd. Office : "Nucleus House", 5th Floor, Saki-Vihar Road, Andheri (E), Mumbai - 400 072. INDIA.
Tel. : (91-22) 2858 3333 • Fax (91-22) 2857 7647 • E-mail : acmiil@acm.co.in

SEBI Regn. No. - UIN: 100000281 / BSE CM: INB 010607233 & Derivatives: INF 010607233 / NSE CM: INB 230607239 & Derivatives: INF 230607239/AMFI ARN No. 3086
NSE Currency Derivatives : INE 230607239 / W.D.M.: INB 230607239 / Merchant Banking : INM000010973 / Depository (CM & Derivatives): IN-DP-CDSL-28-99

Dear Investors,

We thank you for choosing Asit C. Mehta Investment Intermediates Limited for providing you services for your investment needs. We value your patronage and assure you that we will strive to assist you in the best possible manner for all your investment related needs.

We enclose herewith Know Your Client "KYC Form" and other agreements. Kindly note that these documents are prescribed by the Regulatory authorities and are in mutual interest. We also enclose the risk disclosure document for your understanding of risk when you invest in the Capital Markets and an Annexure describing your rights and obligations. We urge you to go through these documents to enhance your investment experience.

We request you to provide us with your email address so that your accounts and contract information can be sent to you electronically. We suggest that this booklet be returned with all necessary supporting documents together to ensure speedy processing. Requesting you to collect your Login ID and a Password from us to enable you to view / retrieve your records and investment information from our site www.investmentz.com.

We once again thank you.

With warm regards,

Yours faithfully

For **ASIT C. MEHTA INVESTMENT INTERMEDIATES LTD.**



DEENA A. MEHTA
MANAGING DIRECTOR



INVESTMENTZ.com
— INVESTOR FIRST —

by Asit C. Mehta Investment Intermediates Ltd.

Online trading site : www.investmentz.com • E-mail : helpdesk@acm.co.in

Annexure 1 - Index			
Sr. No.	Name of Document	Brief Description of the document	Page
A		MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES	
1	Know your Client Form	Common KYC form: This document captures basic information about investor. This document is as per format prescribed by CDSL Venture Ltd - to whom the KYC documents would be sent for KYC verification Annexure 3: This document captures additional information about Investor such as Bank , Depository, Trading Segment Preferred etc.	1 3 - 4
2	Nomination Document	This document list the Details of Nominee appointed by Investor in Investment account.	5 - 7
	Power Of Attorney (POA)	This document appoints ACMIL to operate your Depository account for settlement of certain obligations and to subscribe or invest in Initial Public Offer/s on your behalf.	8 - 9
B		NON - MANDATORY DOCUMENTS:	
4	Running Account Authority Letter	For ease of fund movement, you agree to maintain a single financial account on running account basis in the books of ACMIL for both the exchanges and segments.	10
5	Disclosure of Proprietary Trading	ACMIL discloses that it may engage in proprietary trading	10
6	Additional Clauses as prescribed by the (ACMIL)	These clauses are not prescribed by any Regulatory Authority but are necessary to enter into a relationship with ACMIL	11 - 12
C		OTHER - MANDATORY CLIENT DOCUMENTS:	
7	Rights & Obligation document *	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (Including Additional rights & obligation in case of internet / wireless technology based trading).	
8	Risk Disclosure Documents (RDD) *	Document detailing risks associated with dealing in the securities market	
9	Guidance Note *	Document details Do's & Don'ts for trading on exchange ,for education of the investor.	
10	Policy & Procedures	This document describes the policies & procedures of ACMIL with respect to Settlement , Risk Management etc..	

Note:

"OTHER MANDATORY CLIENT DOCUMENT" is a separate booklet, which is given to client.

* Formats are as prescribed in SEBI circular CIR/MIRSD/16/2011 issued on Aug 22 , 2011

<p>Asit C. Mehta <small>INVESTMENT INTERMEDIATES LTD.</small> Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA Tel.:022-2858 3333 - Fax: 022-2857 7647 - Website: www.investmentz.com - Email: customerservice@acm.co.in SEBI Registration Nos.: BSE:INB/INF 010607233 - NSE:INB/INF/INE 230607239 Compliance Officer: Mr.Jaideep Vaidya - Phone No.: 022 2858 3021 - Email: compliance@acm.co.in CEO / MD Details :- Mrs. Deena Mehta - Phone No.: 022 2858 3333 - Email: acmil@acm.co.in</p> <hr/> <p>For any grievance / dispute please contact Asit C. Mehta Investment Intermmediates Ltd. at the above address or write to email id customerservice@acm.co.in / investorgrievance@acm.co.in and Phone no. 91-022-2858 4545. In case not satisfied with the response, please contact the concerned exchange(s) at ignse@nse.co.in and Phone no.91-022-2659 8190 (NSE) / is@bseindia.com and Phone No.: 91-22-2272 1233 (BSE)</p>

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



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back), if printed separately then both the pages should be attached and signed by the applicant.

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).
Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth

3. Nationality Indian Other (Please specify) _____

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN

 Please enclose a duly attested copy of your PAN Card
Unique Identification Number (UID)/Aadhaar, _____ if any: _____

6. Proof of Identity submitted for PAN exempt cases Please Tick (UID (Aadhaar) Passport Voter ID Driving Licence Others _____ (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village _____ State _____ Country _____ Pin Code _____

2. Contact Details

Tel. (Off.) (ISD) (STD)	Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-Mail Id. _____	

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
 Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____
 *Not more than 3 Months old. Validity/Expiry date of proof of address submitted:

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village _____ State _____ Country _____ Pin Code _____

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
 Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____
 *Not more than 3 Months old. Validity/Expiry date of proof of address submitted:

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details (Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs
OR
Net-worth in ₹. (*Net worth should not be older than 1 year) _____ as on (date)

2. Occupation (Please tick (✓) any one and give brief details):
 Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
 Housewife Student Forex Dealer Others (Please specify) _____

3. Please tick, if applicable: Politically Exposed Person Related to a Politically Exposed Person
For definition of PEP, please refer guideline overleaf

4. Any other information: _____

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

FOR OFFICE USE ONLY	IPV Done <input type="checkbox"/> on <table border="1" style="width: 100%; height: 20px;"></table>	
AMC/Intermediary name OR code _____	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date
<input type="checkbox"/> (Originals Verified) Self Certified Document copies received		
<input type="checkbox"/> (Attested) True copies of documents received Main Intermediary _____		

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity(POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

Annexure 3 - TRADING & DEMAT ACCOUNT RELATED DETAILS

BANK DETAILS

Bank Name :

Branch :

Address :

City Pin Code State

STD Code Telephone

Bank Phone No. : A/c Type : SB/CA/OD/Others

Bank Account number :

Internet enables for transactions : Yes No Dividend / Interest through ECS : Yes No MICR number :

(To avail ECS Facility)

Note : In case of additional details, please attach separate sheets IFSC Code :

DEPOSITORY PARTICULARS

Depository : CDSL NSDL

DP Name :

DP I.D. : DP A/c. Number :

(Beneficiary Owner A/c. Number)

Address :

City Pin Code State

Note : Attach separate sheets if you have more than one DP.

TRADING PREFERENCES

(Please Sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.)

Segment	Exchange		Signature of 1st holder
CASH	NSE	BSE	
Mutual Fund	NSE	BSE	
IPO with ACMIL			

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

PAST ACTIONS

Details, of any action/proceedings initiated/pending/taken by SEBI/stock exchanges/any other regulatory authority against the applicant/constituent or its Partners /promoters/whole time directors/authorized person in charge of dealing in securities during the last 3 years: _____

ADDITIONAL DETAILS

- I wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) : _____ Email id given under annexure 2
- I wish to avail of the facility of Internet trading / Wireless technology (Please specify) _____
- No. of Years of investment / Trading experience: Years in Stocks _____ Years in Derivatives _____ Years in Other investment related fields _____
- Preference of settlement Monthly Quarterly
- Any other information: _____

NOMINATION DETAILS FOR INVESTMENT ACCOUNT ("2 witnesses are compulsory in case of nomination".)

To,
Asit C. Mehta Investment Intermediates Ltd.
 Nucleus House, Saki Vihar Road, Andheri (East), Mumbai -400 072

I/we do not wish to nominate anyone for this investment account.
 (Strike out what is not applicable) (Signatures of all account holders should be obtained on this form)

I/we the sole holder / joint holders / guardian (in case of minor) hereby nominate the following person who is entitled to receive fund balances lying in my / our account, particulars whereof are given below, in the event of the death of the first/sole holder or the death of all the joint holders.

Name of Nominee :

Relationship with the applicant (if any) : Date of Birth

Address of nominee :

City Pin Code State

Telephone (any one) : Email

Signature of nominee  PAN:


In case of where the account holder / nominee is minor, guardian's details as follow:


Name of guardian :

Address of guardian :

City Pin Code State

Signature of guardian  Telephone (any one) :

1. Witness (of the Client):
 Name : _____
 Address: _____
 Signature :  _____

2. Witness (of the Client):
 Name : _____
 Address: _____
 Signature :  _____

This nomination is in accordance with the section 109 A of The Companies Act, 1956, and shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.





Signature First holder 

Signature Second holder 

Place: _____ Date: _____

DECLARATION & ACKNOWLEDGEMENT

1. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
2. I/We further confirm having received, read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any
3. The rules and regulations of the depository & depository participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting or suppression of any material fact, it will render my/our liable for termination and further action.
4. I/We further confirm having received a copy of KYC form.

Sole/First Holder		Second Holder	
Sign across the photograph 		Sign across the photograph 	
Full Name		Signature	
Sole/First Holder			
Second Holder			

Place: _____ Date: _____

MANDATORY DETAILS FOR CLIENTS

For your account & trading access through Internet, your question for access authentication / password could be (any one only)

Place of Birth (of client) Name of father Name of mother Name of spouse
 Name of dependant Hobbies Favorite drink Favorite country
 Favorite Tourist place Favorite food Car that you desire to have Prized thing that you dreamed to own

And your answer to that one question will be _____ (case sensitive)

Where did you find us ? (Kindly note to fill up this section)

Bank Reference Magazine Ads Road show / Seminar / Exhibition Client Reference
 Newspaper Ads Friends & Relatives Mailing List TV Advertisement
 Business Associate Internet Search Others (specify)

This page is intentionally left blank

I/We, _____ (First Holder),
 _____ (Second Holder) residing
 at/having registered office at, _____

_____ hereby appoint Asit C. Mehta Investment Intermediates Ltd. (hereafter referred as ACMIIL), member of the Bombay Stock Exchange Ltd. (hereafter referred as BSE), the National Stock Exchange of India Ltd. (hereafter referred as NSE), Depository Participant of Central Depository Services Ltd., and a Company registered under the Companies Act, 1956 and having its registered office at Nucleus House, 5th Floor, Saki Vihar Road, Andheri (E), Mumbai 400 072, as my/our attorney.

I/we also have bank account (type of account) _____ and (account number) _____ for banking and depository account (Account number) _____ with _____ bank / depository participant office. (hereafter refer as Bank)

WHEREAS

1. I/we am/are desirous to apply/subscribe/purchase/Bid for the Initial Public Offers (IPO)/Mutual Fund schemes/Offer for Sale/ Buy Back/Rights Issue/Redemption, etc. of Securities of the companies offered through Online-IPO Module of the BSE & NSE as may be relevant thereto and/or through any other mode of application and/or in any other investment avenues from time to time.
2. I/We have bank and depository accounts (as referred to above) with Bank and would like the funds in the said bank account to be utilized for the purpose of providing funds to applying/submitting/purchasing/Bidding for the Initial Public Offers (IPO)/Offer for Sale/ Buy Back/Rights Issue/Redemption, etc. of Securities/Mutual Fund Schemes/Fixed Deposits/Debentures/Units of Mutual Funds (MF) and Unit Trust of India/any other securities/Investments, etc., of the companies offered through Online-IPO Module of the BSE & NSE, as may be relevant thereto and/or through any other mode of application and/or in any other investment avenues, offered by ACMIIL and /or through its website www.investmentz.com / www.asitmehta.com
3. The Securities interalia will include shares, stocks, derivatives, bonds, fixed deposits, Mutual Fund schemes, Units of Unit Trust of India and Mutual Fund Units, Debentures, securities of any State Government, Central Government, or Union Government, and investments in any other financial instruments.
4. I/we propose to appoint ACMIIL, ordinarily carrying on business of Stock and Securities Broking and providing services either directly to clients, or through their website www.investmentz.com / www.asitmehta.com to apply/submitting/purchase/Bid for the Initial Public Offers (IPO)/Mutual Fund schemes/Offer for Sale/Buy Back/Rights Issue/Redemption, etc. of Securities of the companies offered through Online-IPO Module of the BSE & NSE as may be relevant thereto and/or through any other mode of application and/or in any other investment avenues, offered on the said web-site, or through their bidding terminals, or through the services provided by Merchant Bankers/Syndicate Members, to be my true and lawful attorney to apply/submitting/purchase/bid the said shares and securities and to do all acts and things in that behalf. I/we shall be responsible for keeping the user name and password of website, confidential and secure & shall be solely responsible for all instructions given by me/us or any person whosoever through the website or through any other communication using secure authentication process, using the user name and / or password whether or not such person was authorised to do so.

NOW KNOW YOU ALL AND THESE PRESENT WITNESSES that I/we, Mr./M/s. _____
 _____, hereby appoint and constitute ACMIIL, to be my/our true and lawful attorney with full power or authority to do and execute the following acts, deeds and things in my/our name, on my/our behalf, and for me, viz:



1. To apply/submitting/purchase/Bid for the Initial Public Offers (IPO)/Mutual Fund schemes/Offer for Sale/Buy Back/Rights Issue/Redemption, etc. of Securities of the companies offered by ACMIIL and /or through its website www.investmentz.com as per the instructions made available to them by me/us using electronic mail or through any other mode as specified by ACMIIL.
2. To sign all applications relating to such Initial Public Offers (IPO)/Mutual Fund schemes/Offer for Sale/ Buy Back/Rights Issue/Redemption, etc. of Securities.

3. To use/debit the monies provided in the bank account with Bank, for the purpose of applying/subscribing/purchasing/Bidding for the Initial Public Offers (IPO)/Mutual Fund schemes/Offers for Sale/Buy Back/Rights Issue/redemption etc of Securities.
4. To deposit/transfer the securities, on allotment, to my/our Beneficiary Ownership depository account with Bank.
5. To credit all refunds, if any, received by way of cancellation/rejection/regret/ redemption of application for subscription to the bank accounts.
6. To do all other acts and things as may be necessary to effect the application / subscription / purchase / bid / redemption of the said IPO/shares and securities/units as the case may be.
7. We have our pool account number 12013200 00000568 for BSE and 12013200 00003837 for NSE. We also have margin account for F&O for collateral shares as 12013200 00010941.

ACMIL shall not be liable for any loss that may result from insufficient credit balance or my failure/inability to make available the requisite funds to bank account with Bankl, for any reason whatsoever.

AND I, hereby agree to confirm, approve, ratify, adopt and abide by all lawful acts, statements and things done by my attorney/Member Broker in connection with the aforesaid acts, deeds, matters and things and his explanations and statements will be binding on me, pursuant to the powers hereinbefore contained.

IN WITNESS WHEREOF I/WE Mr/M/s..... have put my hand thisday of.....20____

	Client / First Holder of the depository account	Second Holder of the depository account
Full Name		
Signature:		
Place:		
Date:		

Signature of Constituted Attorney
For Asit C. Mehta Investment Intermediates Ltd.

Please note: All the above information should be provided in full like Full Name, and Signature of all account holders should be in the same order & as per those given your depository account with the Bank.

POA Registration number:

A	P	B							
---	---	---	--	--	--	--	--	--	--

Date:

		m	m	y	y	y	y
--	--	---	---	---	---	---	---



NON-MANDATORY DOCUMENTS

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker and the client. The same are required in order to ensure operational convenience between ACMIL and the client. The client need not execute this document if he / she does not wish to.)

Document No: 4

RUNNING ACCOUNT AUTHORITY LETTER

Date

To,
Asit C Mehta Investment Intermmediates Limited.,
"Nucleus House", Saki Vihar Road, Andheri (E), Mumbai 400 072. INDIA.

Dear Sir,

I/we refer to my/our broking account with you for transaction on the Bombay Stock Exchange Ltd. and the National Stock Exchange of India Ltd. in Capital Market/Cash and Derivative/Futures & Options segments. I/we understand the transaction confirmations, contracts/bills, etc. would be processed Exchange wise Segment wise. However for the ease of fund movement, I/we would request you to maintain a single financial account on running account basis in your books for both the exchanges and both the segments. This would facilitate easy fund movement and avoid any delay in payment to/ for between us. This would also lead to better reconciliation and convenience. I/we also request you to hold back our purchase delivery in the unlikely event of continuing debit in my/our trading and/or demat account. I/we also request you to retain our pay out if any, beyond statutory time limit as may be applicable from time to time to be adjusted against future debits unless otherwise specified in writing by us. In specific cases, I/we would also instruct you (either orally/in writing through electronic means or else) to hold back my/our deliveries purchase in your pool account for our intended sale. I/We may revoke this authority at any time by a written notice of not less than fifteen days to that effect. I/We undertake to renew this letter every year.

Trust the above arrangement is convenient to both of us for our operational efficiency.

Thanking you,
Yours faithfully,

Client Signature. 

Client Name:

Client Address:

Document No: 5

Disclosure On Proprietary Trading (for information to client)

With a view to increase the transparency in the dealings between the broker and the client, SEBI has come out with Circular No. SEBI/MRD/SE/Cir-42/2003 DATED 19TH November, 2003 stating that every broker shall disclose to his client whether he does client based business or proprietary trading as well.

In view of the above, we Asit C. Mehta Investment Intermmediates Ltd., having the membership of the Bombay Stock Exchange Ltd. and the National Stock Exchange of India Ltd., hereby disclose that we mainly do client based business only. As regards proprietary trading, we have an arbitrage desk for cash, and the company owns certain long term investments. We do not indulge in any speculative trades.



**Additional clauses as prescribed by Asit C. Mehta Investment Intermmediates Ltd.
(hereafter referred as the "stock broker") are stated herewith**

Business Rules and Obligations for Bank Clients:

As our client, you have understood and accept all business rules and obligations being offered by Asit C. Mehta Investment Intermmediates Ltd. (herewith referred as ACMIIL), for your online share trading service through link of your bank & depository account with Bank. You also understand and accept that any revision / update in such business rules and obligations made hereafter will be informed to your through an update on ACMIIL's website, i.e., www.investmentz.com / www.asitmehta.com as in normal course of events / activities.

Basic requirement for you using ACMIIL online share trading service:

1. A bank account with respective Bank branch. The said bank account will be of saving / current / OD type.
2. A depository account with Bank.
3. A trading account with ACMIIL's online share trading service, i.e., Investmentz.com.

Basic Business Rule for order placement criteria:

- a. Fresh / new buy orders will be considered as leveraged orders till beginning of auto square-off process. (Details explained below). Such orders will be based on
 - i. Fund positions from delivery sell trades of the day, and / or
 - ii. Free (i.e., unblocked) Fund position in your bank account with Bank.
- b. Fresh / new sell orders will have to be backed by
 - i. Share position (yet-to-receive, exchange payout of shares for his earlier purchases) as available with ACMIIL, and / or
 - ii. Share in your depository account with Bank.
- c. Sell orders placed for intraday square off will consider intraday buy position (trades) as available with ACMIIL.

Important operational instructions and obligations

A) Placement of a Buy Order: For acceptance of an order, you will have to make available sufficient fund equivalent to the exchange VAR margin + ELM margin + 'X' as reflected in our website from time to time as trade factor, considering 1% additional approximate value for charges like brokerage, STT, etc. VAR and ELM margin is specified by stock exchanges and trade factor will be specified by ACMIIL. Trade factor will be multiplies of VAR+ELM margin.

For e.g. For ACC, VAR margin is Rs 85 & ELM is Rs 22 and if TRADE FACTOR is 1.12 then when you wants to buy 100 qty of ACC (i.e., when you place an order), you should have initial amount of Rs 12,104/- [$\{(85+22) \times 1.12\} = 119.84 \times 100$ and considering 1% additional approximate value for charges like brokerage, STT, etc.].

The margin criteria shall be as under: -

- ❖ Upper limit of the margin amount for block will be, order value along with 1% additional approximate value for charges like brokerage, STT, etc.
- ❖ For shares wherein the stock exchange(s) specifies 100% margin, the initial fund block shall be accordingly modified.
- ❖ Trade factor can be changed / revised by ACMIIL, at its sole discretion.

B) Placement of a Sell Order: Acceptance of a sell order will be based on either or all of the following

1. Existing previous buy trade for the same day
2. Previous days' purchases (for shares payout yet-to-be received from exchange)
3. Share available in your Depository account

C) Available Options to you:

1. **Buy and sell for the same share on the same day** Margin blocked will be as explained hereinabove under clause A.
2. **Buy and take delivery** You shall have an option to make available the balance amount payable against the purchases made to take delivery over and above the money blocked (at the time of placing order). Complete blocking of money will happen only with auto square off process or in case if the exchange has specified 100% margin as explained in Buy Order paragraph above.
3. **Buy today and sell the same on a future date** even though those shares are yet to be received from exchange in payout. However, in this, if shares are not received from exchange against your purchase, then your sell position obligation also will go for auction and you may end up losing money and such loss/market risk will be to your account.

For e.g. You buys 100 ACC on T day (i.e., trade day) and sell 100 ACC on T+2 day (i.e., settlement day), then If ACMIIL receive 100 shares from exchange, purchased on T day, then the same will be delivered against sale of T+2.

- If ACMIIL does not receive 100 shares, then ACMIIL will not be able to deliver against your sell position obligation and the same will be auctioned by the exchange. You may a run a risk of losing between the auction price and sale price. However you will be getting delivery of 100 shares purchased on T day and you can again sell the same or you may get closeout (value).
- If ACMIIL receives part delivery say 60, then 60 will be delivered and balance 40 will be auctioned by the exchange.

4. **Sell and give delivery.**

- D) No short-sell of shares allowed:** No sale order will be accepted, in cases where you
- does not have the share in your depository account,
 - any buy position same day or previous day (exchange share payout pending to be received),
 - for buy position, there should be a confirmed trade on the exchanges, pending orders will not be taken into account /considered.
- E) Auto Square-off Process:** Ideally, it is advisable for you to square off the leverage position or take delivery (by making available full amount of funds). In case you are unable to do it as per ACMIIL's set business rules and obligations, then as risk containment measure ACMIIL's system will initiate auto square-off process (ASOP). There are basically three type of ASOP, namely, i) Time based or Cut-off process, ii) Mark To Market Loss, and iii) Circuit filter. In case ACMIIL's system is not able to complete the ASOP due to technical reasons (like loss of connectivity to exchange, etc.) or due to exchange conditions (like non availability of shares / quote in the exchange, share hitting the circuit filter / price band, etc.), it will be your responsibility to meet any and all obligations arising out of such events / activities.
- I. Time based square off:
 - a. You will be able to use online trading facilities of Leveraged trading (as referred above) during normal market session, i.e., before time base square off.
 - b. Beginning of this process, all new order placements from you will be stopped.
 - c. It would generally begin after 2:30 pm (in case of normal day market closure time of 3:30 pm) or as determined by ACMIIL. In case of any change in market closure timing, this process timing will be suitably adjusted and informed to you through our online trading system.
 - d. All leveraged buy trade along with pending buy orders (i.e., those for which complete amount of fund is not available with you, in your bank account and / or with ACMIIL as your position) will be squared off / cancelled by the system.
 - e. After completion of this process, all your fresh / new orders will be based on delivery mechanism (upper limits of fund blocking) and no leverage trading facility will be allowed for rest of the market session.
 - II. Mark to Market (MTM) Loss based square off:
 - a) If the mark to market losses of your leveraged portfolio reaches X% of the margin amount blocked, then ACMIIL system will try to convert that portfolio to delivery. If this is unsuccessful, then the auto square off process for your leveraged portfolio will be initiated.
 - b) The above referred X% of MTM loss level will be determined by ACMIIL and displayed display on it's website. This level could be changed / revised by ACMIIL, at its discretion.
 - c) As for now, the above referred X% is fixed at 90%.
 - III. Circuit filter based square off:
 - a) When a share purchased by you (on leverage) approaches X% of lower side circuit filter or price band, the ACMIIL's system will try to convert it into delivery. If it is unsuccessful, then ACMIIL system will initiate square off process.
 - b) The above referred X% of Circuit filter level will be determined by ACMIIL and displayed display on it's website. This level could be changed / revised by ACMIIL, at its discretion.
 - c) As for now, the above referred X% is fixed at 8% for a share with circuit filter of 10% and 18% for a share with circuit filter of 20%.

This page is intentionally left blank

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

	Document verified with Originals	Client Interviewed by	In-Person Verification done by
Name of the Employee/ Official			
Employee Code/ RC Code			
Designation of the Employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/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. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of the Authorised Signatory

Date: _____

Seal/Stamp of the stock broker

CLIENT ACCOUNT BRIEF

Cheque Details: _____

Cheque No.: _____ Cheque Date: _____

Cheque Amount: _____ Bank Name: _____

Stamps

Stamp of Special Scheme No.

RC No. where client to be mapped

Brokerage Slab

Segment	Scheme No.
Cash - Delivery	
Cash - Intra Day	
Mutual Fund	

Please mention Brokerage schemes details which are to be applied as per ACMIIL internal Circular.

Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA
Tel.: 022 - 2858 3333 Fax: 022 - 2857 7647 Website: www.investmentz.com
Email: customerservice@acm.co.in; investorgrievance@acm.co.in

Investment centers:

Branches, Business Associates, Marketing Agents: 740
Marketing Agents for MF: 1793
States and U.T. covered: 26

Management:

Managing Director: Mrs. Deena A. Mehta
Whole-time Director: Mr. Kirit H. Vora

SEBI / Regulatory Registration Nos:

- BSE: INB/INF 010607233
- NSE: INB/INF/INE 230607239
- Merchant Banking: INM000010973
- DP Reg: IN-DP-CDSL-28-99
- DP ID -CDSL 12013200

FMC / Spot Regulatory Registration Nos:

- NCDEX: CO-04-00292
- MCX: 10315
- EICA : BR 451
- NSEL: 13355

AMFI / Regulatory Registration No:

ARN-3086

Membership:

- NSE: Cash, Derivatives, Debt & Currency Derivatives
 - BSE: Cash & Derivatives
 - FEDAI: Foreign Exchange
 - SEBI: Merchant Banking category 1
- Commodities: NCDEX, MCX, NSEL, DGEX & EAST INDIA COTTON
- CDSL: Depository Participant
- MCX-SX : INB/INF/INE 260607230

Principal Banker:

State Bank of India

Call and Trade Toll Free No. : (For online customers)

1800 - 22 -9002

Customer Service No.:

022 - 2858 4545

Branch / Business Associate Contact Details