

Name of the Member : **Pentad Securities Private Limited**

Exchange	Segment	SEBI Reg. No.	Date Of Registration
BSE	Equity, Derivatives & Currency Derivatives	INZ010008936	June 17, 2014
NSE	Equity, Derivatives	INZ230008930	September 5, 2014
IA	Equity, Derivatives	INA200003310	August 11, 2015

Website : www.pentadsecurities.com

Registered Office Address :

Pentad Securities Private Limited,
33/2361 B4, 3rd Floor, Jacob's Building,
Geethanjali Junction, Vyttila, Kochi-682019
Ph : 0484 4047080, 0484 423111

Dear Investor,

In case of any grievance / complaint / dispute with us, kindly mail us at grievances@pentad.in or Please contact us below

Designation	Name	Email	Phone No.
Compliance Officer	Treesa Antony	compliance@pentad.in	0484 4231121
C E O	Nikhil K G	nikhil@pentad.in	022 26542864

If not satisfied with the response of the Pentad Securities Private Limited, you may contact the concerned Stock Exchange at the following –

	Web Address	Contact No	Email-id
BSE	www.bseindia.com	022-22728138	is@bseindia.com
NSE	www.nseindia.com	022-26598190	ignse@nse.co.in

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Help line at 1800 22 7575 /1800 266 7575.

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 and KRA Form	<p>A. KYC Form - Document captures the basic information about the constituent and an instruction/check list.</p> <p>B. Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list.</p>	1 - 6
2.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	7 - 9
3.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker/Authorised Person and client for trading on exchange (including additional rights & obligations in case of internet/wireless technology based trading).	SEPARATE COPY FOR CLIENT
4.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
5.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
6.	Tariff sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges/Fee Structure	10

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

7.	Undertaking for accepting ECN through email		11
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Application Form (For Non-Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Application No. :

A. IDENTITY DETAILS

1. Name of the Applicant
2. Date of Incorporation DD MM YY YY 3. Registration No. (CIN)
6. Date of commencement of business DD MM YY YY 5. PAN
7. Place of Incorporation
8. Status (Please tick any one ✓) ☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Trust ☐ Partnership
☐ Defense Establishment ☐ Charities ☐ NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Government Body ☐ Category I FPI
☐ Bank ☐ LLP ☐ Society ☐ Category II FPI ☐ Category III FPI ☐ BOI ☐ Others (please specify) _____

B. ADDRESS DETAILS

1. Address for Correspondence
 PIN
City State Country
2. Contact Details: Tel (Off.) Mobile No. Fax
E-mail ID : SMS Facility: ☐ Yes ☐ No
- I hereby declare that the aforesaid mobile no./ and or email id belongs to Mr/Ms. _____

(Designation).
3. Specify the proof of address submitted for Correspondence address:
4. Registered office Address (if different from above)
 PIN
City State Country
5. Specify the proof of address submitted for Registered Office address

C. OTHER DETAILS

1. Name, PAN, DIN/AADHAR no., residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: (Please fill in the details as provided in Annexure)
2. Any other Information: _____

DECLARATION

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

Date: DD MM YY YY

Place: _____

Name & Signature of the
Authorised Person(s)**F1****FOR OFFICE USE ONLY**

Seal/Stamp of the intermediary Should contain Staff
Name and Designation
Name of the
Organization
Signature and Date

AMC/Intermediary name OR code

- ☐ (Originals Verified) Self Certified Document copies received
☐ (Attested) True copies of documents received

A. BANK DETAILS (Through which Transactions and dividend will be routed)

Account Type (Default) ☐ Saving ☐ Current ☐ Others (specify) _____

Bank Name

Branch Address

Account No

RTGS/NEFT IFSC Code MICR No.

B. DEPOSITORY ACCOUNT(S) DETAILS

DP Name	Depository Name	Beneficiary Name	Beneficiary DP ID	Beneficiary/ Client ID
Pentad Securities Private Limited	CDSL			
Detail of Custodian	Name of the custodian	Address of the custodian	CP Code	

C. PAST ACTIONS

Whether any past action has been taken ☐ Yes ☐ No

Details of any action/proceedings initiated/pending taken by SEBI / commodity exchange/UN/FATF/SEC /any other authority against the applicant/constituent or its Partners/promoters/whole time Directors /authorized persons in charge of dealing in commodities/securities/laws/Derivatives/Currency Derivatives during the last 3 years.

If yes, provide details _____

D. TRADING PREFERENCES

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

Exchange & Segment	Client's Signature	Exchange & Segment	Client's Signature
BSE CASH	F3	NSE CASH	F6
BSE F&O	F4	NSE F&O	F7
BSE CURRENCY	F5		

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through other Stock broker/ sub-broker, provide the following details:

Sub-broker's /Stock Broker Name : _____ SEBI Registration Number: _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

Client Code: _____ Exchange: _____ In case dealing with multiple stock brokers/sub-brokers, provide details of all)

Details of disputes/dues pending from/to such stock broker/sub- broker: _____

ADDITIONAL DETAILS

1. Whether you wish to receive: ☐ Electronic Contract Note* (ECN) ☐ Physical Contract Note
2. Whether you wish to receive the below standard documents in ☐ Electronic Mode* ☐ Physical Mode
- (a). Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading); (b) Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories; (c) Uniform Risk Disclosure Documents (for all segments/ exchanges); (d). Guidance Note Detailing Do's and Don'ts for trading on stock exchanges.

*Specify your Email id _____

3. Whether you wish to avail of the facility of internet trading/ wireless technology ☐ Yes ☐ No
4. Number of years of Investment/Trading Experience: _____
5. Earlier having account as FII or their Sub A/c – ☐ Yes ☐ No. If yes, Reg No. _____


G. INTRODUCER DETAILS (Optional)

Name of the Introducer: _____ Introducer/RM Code _____

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify

Address of the Introducer:

Phone No. _____

 Signature of the Introducer :

H. OTHER DETAILS FOR ENTITY

- 1. Gross Annual Income Details (Please tick)**
- ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ Above 25 Lac
- OR
- Net-worth in Rs.** (Net worth should not be older than 1 year) as on (date) DDMMYYYY

2. Is the entity involved / Promoters/ Partners/ Karta / Trustees / whole time directors any of the following services ☐ Yes ☐ No
- For Foreign Exchange / Money Changer Services ☐ Yes ☐ No
- Money Lending / Pawning ☐ Yes ☐ No
- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ Yes ☐ No

3. Any other Information:

I. Trading POA (Kindly Submit Franked Authorisation letter if Opted)

Account to be operated through Power of Attorney (PoA): ☐ Yes ☐ No

Name of the POA Holder

Address of the POA Holder

[illegible]

Identity proof

Address proof

J. STANDING INSTRUCTION FOR DEBITING CHARGES

Operative Demat A/c. No.:	
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Dear Sir,

I/We hereby authorise you to debit my/our operative Trading A/c/Ledger with you for all the charges relating to my/our demat account. Please treat this authorisation as irrevocable till further instruction from my/our side is received in writing and duly acknowledged by you.

Thanking You

Signature of Operative Demat A/c. holders

I. TAX DETAILS

[illegible]

Please Submit copy of GST Registration Certificate

Signature of the Authorised Person F8 Name

Details of Promoters/ Partners/ Karta / Trustees / whole time directors and Authorised Person dealing in securities

[illegible]

Sr. No.	PAN and Aadhaar	Name	Gender	DIN (For Directors)/ UID (For Others)	Residential Address	Nationality (Primary & Secondary)	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
								<div><div><input type="checkbox"/> PEP</div><div><input type="checkbox"/> RPEP</div><div><input type="checkbox"/> NO</div></div>	
								<div><div><input type="checkbox"/> PEP</div><div><input type="checkbox"/> RPEP</div><div><input type="checkbox"/> NO</div></div>	
								<div><div><input type="checkbox"/> PEP</div><div><input type="checkbox"/> RPEP</div><div><input type="checkbox"/> NO</div></div>	

ULTIMATE BENEFICIAL OWNER DETAILS

1. Beneficial Owner Name

2. Gender ☐ Male ☐ Female 3. Marital status ☐ Single ☐ Married 4. Date of birth

5. Nationality 6. PAN

% of shares or capital or profits of company/partnership firm/unincorporated association or body of individual

7. Address

City State

PIN Email id

Mobile No.

EMPLOYMENT DETAILS

Employer Name

Type of Business Position

Years with Employer

Address

City State

PIN

Tel (Off) Mobile No. Fax

SECOND BENEFICIAL OWNER'S INFORMATION (Optional)

1. Beneficial Owner Name

2. Gender ☐ Male ☐ Female 3. Marital status ☐ Single ☐ Married 4. Date of birth

5. Nationality 6. PAN

% of shares or capital or profits of company/partnership firm/unincorporated association or body of individual

7. Address

City State

PIN Email id

Mobile No.

EMPLOYMENT DETAILS

Employer Name

Type of Business Position

Years with Employer

Office Address

City State

PIN

Tel (Off) Mobile No. Fax

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of and all voluntary/non-voluntary documents and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document' and Do's and Don'ts. 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 member's designated website: www.pentad.in

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Signature of the Authorised Person _____ Name _____

Date

D	D	M	M	Y	Y	Y	Y
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Place _____

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

Location of In-person verification: ☐ Our office ☐ Client's residence ☐ Client's office

Place/address of In-person verification : _____

	Documents verified with Originals by	Client Interviewed by	In-Person Verification done by
Name of the Employee / Sub Broker			
Employee Code / Sub Broker			
Designation of the employee			
Date			
Signature			

We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. 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, if any, for the information of the clients.

Signature of the Authorized Signatory _____

Date:

D	D	M	M	Y	Y	Y	Y
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Seal/Stamp of the Members _____

1. REFUSAL OF ORDER(S) FROM THE CLIENTS INCLUDING FOR PENNY STOCKS:

Pentad Securities Private Limited ("PSPL") offers trading in most of the liquid stocks traded on the stock exchanges. Some of the stocks such as penny stocks i.e. stocks whose market price is less than their face value, scrips traded in physical mode or scrips which do not meet PSPL's internal criteria may not be allowed by PSPL for trading. "Penny Stocks" also include, scrips having large bid-ask spreads, low market capitalization due to unsound fundamentals, "T", "TS", "Z", "BE" Category stocks or stocks, which have high chances of manipulations or as per directions/guidelines issued by the regulators.

Also, the Exchanges from time to time provide a list of securities categorized as "Illiquid Securities". PSPL may at its discretion or based on directives of the Exchanges/SEBI may also restrict trading in illiquid securities from time to time. Any existing scrip enabled for trading may be deactivated by PSPL as and when such scrips meet the criteria as defined by PSPL for illiquid scrips, even if the Client had purchased the scrips through PSPL. Further, PSPL may also at any time, at its sole discretion as a risk containment or surveillance measure and without prior notice to the client, restrict client's ability to trade in any specific security through PSPL. Such restrictions could be only on buy or sell or both. PSPL may for this purpose, introduce online blocks to prevent clients from placing orders in penny stocks, Illiquid/unapproved Securities and/or illiquid contracts through the Online Trading Platform of Pentad/Exchange. Dealers/sub brokers of Pentad may refuse to execute orders of the clients for trading in such stocks, securities and contracts. Further in case the client succeeds in placing order in penny stocks, Securities and Illiquid contracts through the Online Trading Platform or otherwise, Pentad may on its discretion at any point of time cancel /modify /alter any such order before execution on the Exchanges and may square off the executed position if desired. Any losses if any on account of such restriction shall be borne by the client only.

2. CLIENT'S EXPOSURE LIMITS:

PSPL from time to time may impose quantity and/or value limits on the orders that a client can place through its 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.).

PSPL may need to vary or reduce the limits or impose new limits urgently on the basis of risk perception and other factors considered relevant including but not limited to restrictions on limits on account of exchange/SEBI directions/limits (such as broker level/market level limits, security specific/volume specific exposures etc.). PSPL may be unable to inform the client of such variation, reduction or imposition in advance. PSPL shall not be responsible for consequences of such variation, reduction or imposition or the client's inability to route any order through PSPL on account of any such variation, reduction or imposition of limits. Such exposure limits may be set up to a pre-determined number of times of the Margin (the "Multiple") and the quantum of the Multiple shall be decided at sole option or discretion of PSPL. Such multiple may be changed at the discretion of PSPL from client to client depending on various factors, which inter alia include factors like market conditions, client profile, financial status, Regulatory interventions etc. Client shall abide by the exposure limits, if any, set by PSPL or by the Exchange or Clearing Corporation or SEBI from time to time. The exposure limits set by PSPL do not create any right in favour of the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. PSPL 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 PSPL, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to various factors including but not limited to the reason of lack of margin/securities or the order being outside the limits set by

PSPL/ Exchange/ SEBI or under alert due to surveillance or RMS reason and/or any other reasons which PSPL may deem appropriate in the circumstances.

Limits/Exposure provided shall vary based on the intraday profit /loss made by the client. Exposure limits against collateral/stocks shall be given only against approved securities as decided by the Exchanges/PSPL from time to time and subject to such haircut and valuations as may be decided by PSPL from time to time. PSPL from time to time may change the applicable haircut or apply a haircut higher than that specified by the Exchanges. In case of derivatives, Clients shall be allowed to trade only up to the applicable clientwise position limits set by the Exchanges/Regulators from time to time along with the added margin levied in addition to Exchange margins.

3. BROKERAGE RATE:

Brokerage will be charged within the limits prescribed by SEBI/ Exchange (currently 2.5%). Further, statutory levies shall be levied as per the current guidelines. The slab rate of brokerage shall be changed as per specified in Aof but may be reviewed by PSPL from time to time and changed in such manner as PSPL may deem fit provided that the same would not contradict the regulatory provisions.

4. IMPOSITION OF PENALTY / DELAYED PAYMENT CHARGES:

The client shall pay PSPL settlement dues, brokerage, statutory levies and taxes etc. as are applicable from time to time. If the client fails to make payment of the amount due within the time frame specified by PSPL, it shall be entitled to levy such charges by way of penalty or delayed payment charges not exceeding 24 % per annum (or other rate as may be decided from time to time by PSPL) on amount due as PSPL may deem fit. This levy is only penal measure in case client defaults in meeting settlement and margin obligations and should not be construed as funding arrangement by the client and further the client cannot demand continuation of service on a permanent basis by citing this levy of delayed payment charges. Further, where PSPL has to pay any fine or bear any punishment from any authority in connection with/a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be recovered from the client. PSPL shall not be liable to make payment of any interest or delayed payment charges on the credit balance, if any, lying in the client's ledger, margin account, deposit etc. with PSPL.

5. THE RIGHT TO SELL CLIENTS' SECURITIES OR CLOSE CLIENTS' POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON-PAYMENT OF CLIENT'S DUES:

PSPL shall have the rights to square off the position of the Client (Including the right to refer the matter to arbitration) with no obligation of communicating the same to the Client, for non-payment of margins or other amounts, including the pay in obligations, outstanding debts etc. and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations.

PSPL reserves the right to decide the Position closing keeping in view of the size of the order, the depth of the market and various internal parameters as decided by PSPL from time to time. The following circumstances may trigger the square off/close out under various measure-

1. If the client does not square off his open intraday positions before the specified time (currently 2.50 p.m.) or the client does not convert the open positions to delivery, PSPL shall attempt to square off/close out the open positions on the same day before closure of the market.
2. In case wherein mark to market losses has reached the stipulated percentage and the client has not any immediate steps replenish the margin or reduce mark to market losses.
3. Cases wherein market or securities placed by the client falls

short of requirement or the limits given to the client have been breached.

4. Client has defaulted in his existing obligation/failed to make payment or delivery of securities.

On the days of market volatility or when there are system issues, PSPL shall have the right to change/modify the timings of square off by either preponing or postponing the same. Further, whenever any price of stock or underlying contract breaches the internally prescribed percentage change, PSPL may at its discretion square off the existing open positions in the Intraday Margin segment(s) without giving any prior notice to the customers. However, PSPL does not guarantee square-off of open positions.

Clients solely are responsible for profit/ losses from open positions.

However in case of Intraday Derivative positions, PSPL shall attempt to square off/close the open positions on the same day or in case of any difficulties/issues, on the next trading day. PSPL does not guarantee square off of such open positions. Clients are solely responsible for profit/losses arising out of such positions.

The Client accepts to comply with PSPL's requirement of payment of Margin/settlement obligations of the Client, immediately failing which PSPL may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin/lying in the beneficiary account of PSPL and/ or cancel pending orders and/ or square-off all or some of the outstanding margin/ F&O positions of the Client as it deems fit at its sole discretion without further reference to the Client and any resultant or associated losses that may

occur due to such square -off/sale shall be borne by the Client.

PSPL shall be fully indemnified and held harmless by the Client in this behalf at all times. In exercise of PSPL's right to sell securities, the choice of specific securities to be sold and/or orders to be cancelled shall be solely at PSPL's discretion. Where the margin/security is made available by way of securities or any other property, PSPL shall have the discretion to decline its acceptance as margin/security and/or to accept it at such reduced value as PSPL may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as PSPL may deem fit in its absolute discretion. The resultant or associated losses that may occur due to such squaring-off or sale of such securities shall be borne by the Client. Such liquidation or close out of positions shall apply to any segment/exchange in which the Client does business with PSPL.

The client has to maintain applicable margin all the time i.e. till positions are open. PSPL reserves the right to change/modify the margin requirements at any point of time and if the client fails to meet the margin requirements, PSPL has the discretion to square off the open positions to the extent that the existing margin after deducting MTM losses meets the Initial Margin requirements of PSPL for the remaining open positions. PSPL may decide at its sole discretion to exercise or not to exercise the rights to square off the positions, which are failing to meet the margin requirements. Further, the client has been provided with tool/web page on the trading website through which he can ascertain details of his open positions, amount of margin blocked, margins required, MTM loss, margin percentage etc. The MTM losses and margin requirement displayed on these web pages will be considered as demand for the additional margin required by PSPL. PSPL may not inform each and every client (one to one), regarding the margin requirements/ additional margin top up calls/margin availability before squaring off the open positions. Clients are responsible/bound to monitor and review their open positions and margin requirements all the times and furnish the additional margin to PSPL before the positions are squared off by PSPL. PSPL reserves the right to set threshold for liquidation of client securities, available securities and collateral being sealed..

Where there is breach in shares/ underlying scrips, specific market wide position limit (MWPL) as specified by Exchanges, client will not be permitted to take fresh positions in that share/ underlying but he can square off his existing open positions. In case any of the positions limits (client level, Trading Member level, market level) are breached, PSPL may initiate square off. Products specific terms, if any, shall be displayed on the web site.

6. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES:

The treatment of shortages shall be as below:

- a) Short Delivery to the Exchange for scrip at the broker level: In case of short delivery to exchange, the settlement happens as per the auction/close-out mechanism of Exchange and auction/close-out debit received shall be passed to the defaulting client who did not fulfil his selling obligation.
- b) Short delivery of pay-out to internal clients who bought the scrip on that day due to internal shortage (Client to Client shortage): All position will be closed out at the valuation rate defined by PSPL.

The defaulting client on sell side will be debited by the amount equivalent to the quantity short delivered multiplied by the valuation price. The client on the buy side will be credited by the same amount debited to defaulting client on sell date as computed above.

All losses to the client on account of the above shall be borne solely by the client and PSPL shall not be responsible for the same. In case of any claim against PSPL, the Client shall indemnify PSPL in this regard.

7. CONDITIONS UNDER WHICH CLIENT IS NOT ALLOWED TO TAKE FURTHER POSITIONS OR BROKER MAY CLOSE THE EXISTING POSITIONS OF THE CLIENT:

PSPL have margin based Risk Management System (RMS) policy. Client may take exposure up to the amount of margin available with PSPL. Client may not be allowed to take position in case of non-availability/ shortage of margin as per RMS policy of the Company, securities breaching the limits specified by the Exchanges/regulators from time to time, regulatory restrictions/directives and other conditions as may be specified by PSPL from time to time in view of market conditions etc. The existing positions of the

client are also liable to square off/close out without giving notice due to shortage of margin/non making of payment for their pay in obligation/outstanding debts. In the event of liquidation/square off of the open positions, the client shall be liable to pay for any resultant losses and all associated costs incurred by PSPL.

PSPL at any point of time and on its sole discretion and without prior notice to the client may prohibit or restrict client's access to trade in all securities or in any specific security either buy or sell or both. In case of securities/underlying in ban period, PSPL may not accept further orders in contracts for such securities/ underlying. This action of PSPL may also restrict the client from rolling over an existing position. PSPL shall not be liable for any resultant losses.

In case the client has given a Power of Attorney to PSPL, may use its discretion to debit the bank/ demat accounts of the customer to recover dues/margin etc. All losses to the client on account of the above shall be borne solely by the client and PSPL shall not be responsible for the same. In case of any claim against PSPL, the Client shall indemnify PSPL in this regard.

The following few situations may be a precondition for limit for taking further position or square off-

Technical failure.

Securities breaching any limits specified by the Exchanges/regulators/Pentad from time to time.

Wherein risk perception shows that it is the interest of client/market

Securities submitted in physical form for settlement.

Legal dispute with member.

Disciplinary action by government of India, Government agencies, regulatory bodies etc.

Regulatory restrictions/directives.

Violation of terms and condition of KYC.

Outstanding dues not cleared.

Liquidation of client's positions, available securities. Such

Shortfall/breach of threshold limits as per Risk Policy prevalent from time to time.

Any suspicious trading patterns observed by Risk/ Surveillance Dept.

Other conditions as specified by Pentad from time

8. TEMPORARILY SUSPENDING OR CLOSING OF CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST:

Not Contrary to any point in KYC, the Client may request PSPL by giving a 7 day prior notice in writing, to suspend his account temporarily for any reason not limited to gravity of the grievances raised by against the client. Trade in suspended account shall not be permitted however the settlement will be active. The account can be reactivated on the submission of the written request of the client subject to account being settled and there is no dues receivable with the complete discretion of PSPL.

PSPL may suspend/close the client account, if PSPL observes any abnormal or suspicious activity in the client account through its monitoring and surveillance of the client account or in case of default. PSPL may also at any time, suspend or close the client account due to any action from SEBI (e.g. SEBI orders) or Exchanges/ Circulars or other regulatory actions. Further, PSPL may also temporarily suspend/close the client account if there is no activity in the client account for a period of 12 months, as deemed fit by PSPL from time to time. PSPL/Client can also initiate closure of account by giving 15 days written notice.

All losses to the client on account of the above shall be borne solely by the client and PSPL shall not be responsible for the same. In case of any claim against PSPL, the Client shall indemnify PSPL in this regard.

9. DEREGISTRATION OF A CLIENT:

Not contrary to any point in KYC PSPL shall also be entitled to deregister/terminate the client with/without the mutual consent by giving notice as per mandatory policies. Pentad may at any point of time, at its sole discretion and without prior notice, prohibit/restrict/block the client access to the use of the website or related services including offline trading rights, due to regulatory requirements, PMLA regulations, market conditions and other internal policies, Further PSPL may freeze client account in following scenario

1. If the client breaches any terms, conditions.
2. Upon the death, winding up, bankruptcy, liquidation or legal incapacitation of the client or is designated as a defaulter by any credit rating agency or any action or proceedings have been initiated by the relevant Regulation/Authority including without limitation to SEBI.
3. The client has misrepresented facts at the time of giving instructions or otherwise.
4. Any proceedings or investigations that involve the client or his/its properties have been initiated or is ongoing.
5. The client has violated the applicable law particularly the securities law and Bye-laws, Rules and Regulations of the respective Stock Exchanges on which the client trades.
6. If the actions of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper trading in securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.

Here in above:

I/We hereby state that I/we have understood the above policy & procedures and do hereby sign the same in acknowledgement and agree.

7. On receipt of the order from the Regulatory authorities/SEBI/Police Authorities/Court/Others.
8. If the client is declared as debarred entity by the regulatory authorities.
9. Where the client has not cleared debits in his/her account in prescribed time,
10. Irregular trading pattern from surveillance /Money Laundering perspective
11. Where the client is categorized as ineligible due to being non-traceable, pending disputes, and any other circumstances leading to raising non confidence in client including return of undelivered couriers citing reason of no such person / addressee left /refusal to accept mails/ PODs signed by the third persons or Digital Contract Notes (DCN) failed (Bounced email) on more than 3 instances or non-updation of financial and other details viz email id, mobile no., land line, details or it is found to be belonging to a third person.
12. Under such other circumstances as PSPL might think just and proper on case-to-case basis.
13. If the client is found to be KYC non-compliant or non-submission/wrong/false/incomplete submission of important documents.

PSPL shall have the right to close out the existing positions, sell the collaterals to recover any dues with or without consent of the client before the de-registration of the client.

10. INACTIVE/DORMANT CLIENT ACCOUNT:

A Client account will be considered as inactive if the client account does not record any trade or does not register any financial transaction for a period of 1 years. Calculation will be done at the beginning of every month and those clients who have not traded even a single time or did not execute any financial transaction through Pentad Securities Private Limited in the preceding 12 months will be considered as inactive. If the account is tagged as a dormant/inactive then the surplus Funds or Securities lying with PSPL shall be refunded/returned to clients at his/her last known Bank

Account/DP account or at such other address as mentioned in the account opening form.

REACTIVATION: The client can reactivate his/her trading account by calling the Call centre/Customer care (after due authentication) or by sending a request email from his/her registered email id or by submitting a physical letter duly signed.

The company shall also have the discretion to reactivate a trading account, after doing adequate due diligence, as the company may consider fit and proper.

Client Acceptance & Acknowledgement:

These policies and procedures may be amended/ changed unilaterally by PSPL, provided the change is informed to the client through any one of the means or method like posting on the website of PSPL or sending by speed post / courier / registered AD/ e-mail, or through a download on the website or through displays on the notice boards of branch / main office, or by newspaper or by any other suitable means. I/we agree that the communication delivery by PSPL is complete upon posting on the website or delivery to postal department / courier company or e-mail, by messaging on the computer screen of the client, These policies and procedures are to be read along with the document executed and shall be compulsorily referred to while deciding any dispute / difference in claims in between client and PSPL in any court of law, judicial / adjudicating authority, including arbitrator, mediator etc.

F11

Signature of the Authorised Person _____ Name _____

Date

D	D	M	M	Y	Y	Y	Y
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Place _____

TRADING TARIFF DETAILS

Details of Charges	Client Agreed Rates
EQUITY DELIVERY	
EQUITY INTRADAY	
EQUITY FUTURES	
EQUITY OPTIONS	
CURRENCY FUTURES	
CURRENCY OPTIONS	
MINIMUM PER SHARE	

TERMS AND CONDITIONS

1. Account opening charges will be levied at Rs. 1000 for resident and Rs. 5000/- for NRI/FII/FPI/Non-Individuals and shall be non-refundable. Service Tax will be levied additionally.
2. All statutory and exchange related charges ie. STT, SEBI Turnover fees, Exchange Transaction Charges, Stamp Duty (as applicable State wise), Service Tax and any other Statutory / Regulator / Government will be levied over and above Brokerage opted.
3. Stock Broker is authorize to charge to client if any additional charges arrives in any given circumstance and conditions related to trading and Demat and thereafter inform the client.
4. Courier Charges will be levied on actual or Rs.100 flat, whichever is higher on per delivery of physical document
5. Inter-settlement and/or Inter Exchange and/or Securities movement in collateral account and/or Stock Brokers Pool and/or beneficiary account and any other transaction client behalf would be charged at actual per Transaction.
6. Delayed Payment Charges on debit balance will be debited to client's Trading ledger not exceeding 24% P.a.
7. In event of Cheque bounce, charges per actual on each instance will be levied to client.
8. All Types of Demat charges like annual maintenance fees, transaction charges etc, will be debited to clients trading ledger at actual as per clients Demat account billing.
9. Additional services provided to client like SMS facility etc., would be charged separately as decided by stock broker from time to time.
10. Changes in any charges other than statutory/Regulatory /Government will be intimated within 15 days of notice and should be mutually agreed upon
11. Brokerage will not exceed the rates specified by SEBI and Exchange.
12. Any penalty levied by exchanges on the client positions shall be recovered from the client's account.
13. Minimum brokerage will be charged at the rate of 1 paisa per share (Default)

I/We have understood and agreed the above terms and conditions related to charges listed above being charged to me/us, as applicable and agree to abide by the same.

F12

Signature of the Authorised Person _____ Name _____

Date

Place _____

Non-Mandatory Section

UNDERTAKING FOR ACCEPTING ELECTRONIC CONTRACT NOTES AND OTHER COMMUNICATION THROUGH EMAIL

To,
M/s Pentad Securities Private Limited
33/2361 B4, 3rd Floor, Jacob's Building,
Geethanjali Junction, Vyttila, Kochi 682019.

Sub: Request for Sending Contract Notes, Statements of Accounts & Securities & other Account Related Documents & Statements on my email

Reference: Trading Account client code number: _____

Dear Sir,

This is with reference to the Rights & Obligations for registering me/us as Client of Pentad Securities Private Limited (hereinafter referred to as PSPL or Stock Broker interchangeably). In this regard, I hereby authorize and request PSPL:

1. To send contract notes, bills, ledgers, transaction statement (statement of fund/ securities), report, letter, Circulars etc. in electronic form on my following Email ID in relation to trades/ transaction done on the exchanges through PSPL.
Email ID. _____
Further, I Confirm that aforesaid ECN and communication sent by Stock Broker from time to time to my / our email id shall be deem to have seen delivered to me and it shall be presumed that the same is in order unless any discrepancies are highlighted by me or brought to notice of PSPL in accordance with the rules/bye-laws/regulations of the exchanges/regulatory authorities. I/ we confirm that non- receipt of bounced mail notification by PSPL shall amount to delivery of the contract note at the above mentioned email ID. I shall not hold PSPL responsible for any delay in delivery due to technical reasons. I agree that Log reports of dispatching software shall be conclusive proof/evidence of delivery.
2. To complete the necessary formalities those are required under the provisions of the Information Technology Act, 2000 for getting the above facility Further I confirm that:
3. In case I request to receive physical contract notes, bills, ledgers, transaction statement (statement of Fund/ securities), report, Letter, Circulars and any other documents in addition to the digital copy, then PSPL is authorized to debit the charges as decided by PSPL to my/ our trading account.
4. I acknowledge that Contract notes, bills, ledgers, transaction statement (statement of fund/ securities) may also be kept for seven days on the web server of PSPL on www.pentadsecurities.com which can be downloaded by me/us through login id and password provided by PSPL to me/us.
5. The above service may require using password / digital signature and I/ we shall be responsible for confidentiality and proper use at all time of password and/or digital signature for all transactions initiated through aforesaid service.
6. I hereby declare that above mentioned email IDs are created and operated by me,
7. I confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/ service of my/ our statement of account to me / us shall not be binding upon you unless you are intimated in writing by me/us

Yours faithfully

F13

Signature of the Authorised Person _____ Name _____

CLIENT INFORMATION SHARING

To,
Pentad Securities Private Limited
Level-2 in GS Point, Opp. University Campus
CST Road, Kalina, Santacruz East, Mumbai-400098

Dear Sir,

Sub: Sharing of Data and Information

I/We have opened a trading account with PSPL having client code _____ and am /are interested in knowing about various financial products /facilities offered by your associate /group companies. I/We am/ are aware that the associate/group companies are required to obtain information about me/us and my/our transactions for providing various financial products /facilities/ services.

I/We hereby voluntarily accept and expressly authorize PSPL to get the information from any other depository participant with whom I/We have the Demat account and share/discard or use in any manner ,the information/documents/data about me /us and our transactions ,with group of associates companies which is offering the products/facilities.

I/We authorize you, your group of companies and associates to keep with us informed with any financial product which Pentad, its group companies and associates presently issue ,deal in, or distribute or may, from time to time, launch issue, deal in or distribute through email, SMS, Telephone, print media or otherwise as may be allowed.

I/We have no objection to PSPL sharing the above information or any such other information about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and to so inform and you or they may, in their discretion, discontinue sending such information.

F14

Signature of the Authorised Person _____ Name _____

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Place _____

REGISTRATION FORM / SMS AND/OR EMAIL ALERTS

To
Compliance Officer,

1. Self Declaration

I/We have to activate the following service(s) on my/our account on my/our registered email id & mobile no. with the company.

- ☐ Accounts related alerts/information on my/our mobile phone number/s & email id registered with you
- ☐ Market related alerts/information & inform about new products on my/our mobile Nos. & e-mail id registered with you

I/We hereby confirm that I/we have taken cognizance of SEBI circular CIR/ MIRSD/15/2011 dated August 2, 2011 and related circulars issued by the Exchanges/ SEBI in this regard from time to time. We hereby confirm our mobile number and/or email address as stated in my KYC Form and / or such other mobile no. and/or email id intimated to the Company from time to time for the purpose of receipt of SMS/email alerts directly from the Exchanges (NSE / BSE).

- ☐ I want to receive transaction alerts in SMS as well as Email from NSE/ BSE
- ☐ I want to receive transaction alerts only in SMS from NSE/BSE
- ☐ I want to receive transaction alerts only in Email from NSE/ BSE
- ☐ I do not want to receive any transaction alerts from NSE/BSE

(Specify Reason) _____

2. Family Declaration

I and my family members hereby request that mobile number being _____ and email ID being _____, belonging to undersigned shall be considered in your records for the purpose of receiving communication from you or Stock Exchanges with regard to details of trading transactions executed through you in my account.

Thus, any communication relating to our trading and demat account should be sent to the above mentioned mobile number and e-mail ID. This facility shall be extended to us as an exception, for our convenience of receiving transaction details at a single mobile number and e-mail ID. I understand that for the purpose of availing the above facility "family" means self, spouse, dependent children and dependent parents.

SL. No.	Master Client name	Client Code	Relationship with Master Client	Signature

The above details shall be deemed valid till any change is requested under the modification process.

Signature of the Authorised Person **F15** _____ Name _____

CLIENT ACKNOWLEDGMENT LETTER

To,
Compliance Officer

Sub: Acknowledgment of Receipt of Copies of Documents of Trading A/c Opened for NSE/BSE

Dear Madam/Sir,

I, _____ (Name of Client), hereby acknowledge the receipt of the copy of the account opening Application Form executed by me for opening Trading Account in BSE/NSE with Pentad Securities Private Limited. Further I have received a copy of the following.

- | | |
|---|--|
| 1. General Terms & Conditions of PSPL | 2. Rights and Obligations |
| 3. Risk Disclosures Document | 4. Document pursuant to the SEBI circular dated December 03,2009 |
| 5. Guidance Note | 6. Pentad Securities Tariff Sheet |
| 7. All other mandatory and voluntary client registration documents. | |

I /we here by acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

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Signature of the Authorised Person _____ Name _____

STANDING INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)

I / We request you to maintain my/our accounts for funds and securities on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a pay out of available free funds or securities in the account. You may settle the accounts at ☐ Monthly ☐ Quarterly (If not selected, default option would be Quarterly) or at such other intervals as SEBI/Stock Exchanges may specify from time to time. I / We further authorize you to retain securities and/or funds as may be permitted by Stock Exchanges/SEBI from time to time or towards other unbilled services and/or charges applicable on my account, while settling the accounts. I/We further authorize you to also retain an amount of up to Rs. 10,000/- (Ten Thousand Only) or any other sum as may be permitted by SEBI / Stock Exchanges from time to time, while settling my / our account. I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that PSPL shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

F17

Signature of the Authorised Person _____ Name _____

CLIENT DECLARATION FORM

To
Compliance Officer,
Pentad Securities Private Limited, 33/2361 B4, 3rd Floor, Jacob's Building, Geethanjali Junction, Vyttila, Kochi 682019.

1. I/We authorize you, your group of companies and associates to keep with us informed with any financial product which Pentad, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch issue, deal in or distribute through email, SMS, Telephone, print media or otherwise as may be allowed. I/We have no objection to PSPL sharing the above information or any such other information about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and to so inform and you or they may, in their discretion, discontinue sending such information.
2. I/We hereby voluntarily accept and expressly authorize PSPL to get the information from any other depository participant with whom I/We have the Demat account and share/discard or use in any manner, the information/documents/data about me /us and our transactions, with group of associates companies which is offering the products/facilities.
3. I understand that there is a mismatch between my actual name (for which I have given relevant documents) and the name appearing on my PAN Card (copy of which is given to Pentad Securities Pvt. Ltd. along with account opening form). With regards to the same, I undertake to state that I, _____ (as appeared in _____) and _____ (Name appearing on PAN card) am/are one & the same person and that I request PSPL to open my trading account in the name appearing as per my submitted PAN. I hereby also declare & assist that I have never indulged in any of the activity which comes under unfair trade practices and is declared as illegal, immoral and illicit under any law prevailing in India. I hereby also declare that I have an _____ passport and I have never been declared as a defaulter, Dodger, Insolvent, Fraudster, Hoaxer, Swindler, Imposter, Fakester, Perpetrator, Money launder, SEBI Debarred entity, Culprit, Criminal, Guilty of any crime, Expelled from any activity, UN sanctioned Individual, Al Qaeda list, accused in any crime/offence/misdeed/felony/misdemeanour /wrongdoing or any such similar act or activity by any of the Regulatory/Investigative/Government/ Quasi government/SRO/Law enforcement agencies and court in India and worldwide. I hereby declare that I deal/don't deal in foreign currency and all my source of Income is genuine and legitimate as per law prevailing in India.
4. I hereby also agree and confirm that everything stated above is true and correct. I will be solely responsible for any consequences arising out of the points stated above or in AOF or in any other supporting documents provided by me at the time of opening the account. I hereby agree to indemnify and keep PSPL indemnified at all times, from and against all costs, charges, damages, Penalties/fines, fees suffered and/or incurred by PSPL for any act done or omitted to be done based on above declaration & AOF data and documents.

I have been informed that the exchanges will send a confirmation SMS to me for activating this facility. I will do the needful in this regard. I also confirm that the above mobile no is not under DND category.

In case of any change in the above details or if I wish to revoke this approval, I will inform you in writing.'

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Signature of the Authorised Person _____ Name _____