



Goldmine Stocks Pvt Ltd

With your investments all the way...

CLIENT REGISTRATION FORM



Registered Office : "GOLDMINE HOUSE", 4, Niranjani Nirakar Society, Nr. Shreyas Railway Crossing, Ahmedabad- 380 007.

Contact Detail : +91 79 2664 1080 Fax : +91 79 2660 7298

Website : www.goldmine.co.in

**MEMBER : THE NATIONAL STOCK EXCHANGE OF INDIA LTD. (NSE)
THE BOMBAY STOCK EXCHANGE LTD. (BSE)
MCX STOCK EXCHANGE LTD (MCX-SX)**

TRADING CUM CLEARING MEMBER

Sebi Regn. No.	CM	F O	CDS
NSE	INB 230884633	INF 230884633	INE 230884633
BSE	INB 010884634	INF 010884634	
MCX-SX			INE 260884633

Name of Stock broker : Goldmine Stocks Pvt Ltd Trading and Clearing Member Details			
Sebi Regn. No.	CM	FO	CDS
NSE	INB 230884633 (27/02/1996)	INF 230884633 (21/03/2003)	INE 230884633(25/08/2008)
BSE	INB 010884634 (31/03/2005)	INF 010884634 (23/11/2006)	
MCX-SX			INE 260884633 (1/10/2008)

Registered and Correspondence Office Address :
"GOLDMINE HOUSE", 4/ Niranajan Nirakar Society, Nr. Shreyas Railway Crossing, Ahmedabad - 380007 Phone Nos. : 079-2664 1080 Fax No. : 079-2660 7298 Website : www.goldmine.co.in

CEO Details : Name : Samir P. Gandhi Phone No.: 079-30088213. Email Id : samir@goldmine.co.in
Compliance Officer Name : Hemil R. Patel Phone No.: 079-30088212 Email Id : hemil@goldmine.co.in

For any grievance/dispute please contact Godmine Stocks Pvt Ltd on above address or email id grievance@goldmine.co.in and phone no.:079-2664 1080. In case not satisfied with the response, please contact the concerned exchange(s) at

Bombay Stock Exchange : Investor Services Email Id: is@bseindia.com	Tel. : 022-22728097
National Stock Exchange : Investor Grievance cell: ignse@nse.co.in	Tel. : 022-26598190
MCX-SX Stock Exchange : Investor Services Email Id : investorcompliance@mcx-sx.com	Tel. : 022-67319000

ACCOUNT OPENING KIT ---- INDEX OF DOCUMENTS			
S.No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC Form – Document captures the basic information about the constituent	A-3
		B. Document captures the additional information about the constituent relevant to trading account	A-8
2	Check List	Instructions for filling KYC Form	B-2
3	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	B-4
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B-9
5	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of investors.	B-13
6	Policies and Procedures	This document contains policies and procedures to be followed by the Broker relating to the various operational issues of day to day business activities (clients are requested to go through it carefully and keep it in mind while dealing through us. Any changes in this document shall be intimated to the client through the periodic communication. Clients may at any time request for the updated copies of this document or refer the same at our website.	A-13
7	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	A-12
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
1	Running Account Authorization	For the operational convenience, if a client is dealing frequently and wishes to avoid exchange of funds and securities for every exchange/segment separately and on a daily/due date basis, this document may be signed by the client authorizing broker to keep the account as running account across all exchange/segment.	A-15
2	NEFT	Documents for availing E-payment facility.	A-17
Following documents are to be handed over to the constituent at the time of account opening. <div style="display: flex; justify-content: space-between;"> <div> Account Opening Form- PART-A KYC Form Policies and Procedures Tariff Sheet </div> <div> Voluntary Documents (NEFT and Running account Authorization) </div> <div> Part-B Check List. Rights and obligations Risk Disclosure Documents Guidance Note- Do's and Dont's </div> </div>			
I/We acknowledge the receipt of above documents while account opening.			
Client Name : _____			



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" GOLDMINE HOUSE", 4, Niranjani Nirakar Society,
Nr. Shreyas Railway Crossing, Ahmedabad- 380 007.

Please sign across the
photograph

Dear Sir,

We request you to register me/us as your client and in this regard the following information is furnished :

A. IDENTITY DETAILS

1. Name of the Applicant : _____
2. Father's / Spouse Name : _____
3. a. Gender : Male ☐ Female ☐ b. Marital Status : Single ☐ Married ☐
- c. Date of birth:

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

 (dd/mm/yyyy)
4. a. Nationality : _____
- b. Status : Resident Individual ☐ Non-Resident ☐ Foreign National ☐
5. a. PAN :

--	--	--	--	--	--	--	--	--	--
- b. Unique Identification Number (UID) / Aadhaar, if any : _____
6. Specify the proof of identity submitted : _____

B. ADDRESS DETAILS

1. Address for Correspondence : _____

- City / town / Village : _____ Pin Code : _____
- State : _____ Country: _____
2. Contact Details: Tel.(Off.) _____ Tel.(Res.) _____ Fax No.: _____
- Mobile No: _____ Email Id: _____
3. Specify the proof of address submitted for correspondence address : _____
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant) : _____

- City / town / Village : _____ Pin Code : _____
- State : _____ Country: _____
5. Specify the proof of address submitted for permanent address _____

C. OTHER DETAILS

1. Gross Annual Income details (please specify) : Income Range (Per Annum) : (Tick where applicable)

- ☐ Below Rs. 1,00,000 ☐ Rs. 1,00,000 To Rs. 5,00,000
☐ Rs. 5,00,000 To Rs. 10,00,000 ☐ Rs. 10,00,000 To Rs. 25,00,000 ☐ Above Rs.25,00,000

Net Worth Rs. as on (date) (DD/MM/YYYY)

(Net Worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details :

- ☐ Private Sector Service ☐ Public Sector Service ☐ Government Service
☐ Business ☐ Professional ☐ Agriculturist
☐ Retired ☐ House Wife ☐ Student ☐ Others

3. Please tick if applicable : Politically Exposed Person (PEP) ☐

Related to a Politically Exposed Person (PEP) ☐

Not Applicable ☐

4. Any Other Information : _____

Declaration

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

Date:

X

(Signature of the Applicant)

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FOR OFFICE USE ONLY

- ☐ (Original verified) True copies of documents received
☐ (Self-Attested) Self Certified Document copies received

(_____)

Signature of the Authorised Signatory

Seal / Stamp of the Intermediary

Date : _____



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Nr. Shreyas Railway Crossing, Ahmedabad- 380 007.

Dear Sir,

We request you to register me / us as your client and in this regard the following information is furnished :

A. IDENTITY DETAILS

1. Name of the Applicant : _____
2. Date of Incorporation :

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

 (dd/mm/yyyy) Place of Incorporation : _____
3. Date of Commencement of Business :

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

 (dd/mm/yyyy)
5. a. PAN :

--	--	--	--	--	--	--	--	--	--
- b. Registration No. (e.g. CIN) : _____
6. Status : (please tick any one) :
 Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust ☐ Charities ☐
 NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Defense Establishment ☐
 Non-Government Organization ☐ BOI ☐ Society ☐ LLP ☐
 Others (please specify) _____

B. ADDRESS DETAILS

1. Address for Correspondence: _____

 City / town / Village : _____ Pin Code : _____
 State : _____ Country: _____
2. Contact Details: Tel.(Off.) _____ Tel.(Res.) _____ Fax No.: _____
 Mobile No: _____ Email Id: _____
3. Specify the proof of address submitted for correspondence address : _____
4. Registered Address (if different from above or overseas address, mandatory for Non-Resident Applicant) : _____

 City / town / Village : _____ Pin Code : _____
 State : _____ Country: _____
5. Specify the proof of address submitted for permanent address _____

C. OTHER DETAILS

1. Gross Annual Income details (please specify) : Income Range (Per Annum) : (Tick where applicable)

- ☐ Below Rs. 1,00,000 ☐ Rs. 1,00,000 To Rs. 5,00,000
- ☐ Rs. 5,00,000 To Rs. 10,00,000 ☐ Rs. 10,00,000 To Rs. 25,00,000
- ☐ Rs. 25,00,000 Rs.1 Crore ☐ > 1 Crore

2. Net Worth Rs. as on (date) (DD/MM/YYYY)

* Net Worth should not be older than 1 year

3. Details of Promoters / Partners / Karta / Trustees and Whole Time Directors :

Name : _____	Please sign across the Photograph
PAN : _____	
Residential Address : _____	

Name : _____	Please sign across the Photograph
PAN : _____	
Residential Address : _____	

Name : _____	Please sign across the Photograph
PAN : _____	
Residential Address : _____	

Name : _____	Please sign across the Photograph
PAN : _____	
Residential Address : _____	

4. DIN / UID of Promoters / Partners / Karta and whole time directors:

Name	DIN/UID of Promoters/Partners/Karta and whole time directors

5. Please tick for any of your authorized signatories ☐ / Promoters ☐ / Partners ☐ / Karta ☐ / Trustees ☐ / whole time directors ☐ : Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not Applicable ☐

6. 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/We am/are aware that I/We may be held liable for it.

Name of Authorised Signatory(ies)	Signatures

Date : _____



Place : _____

(Signature of the Applicant)

3

FOR OFFICE USE ONLY

- ☐ (Original verified) True copies of documents received
- ☐ (Self-Attested) Self Certified Document copies received

(_____)

Signature of the Authorised Signatory

Seal / Stamp of the Intermediary

Date : _____

For Individuals and Non-Individuals

[illegible]

Depository Participant Name	Depository Name NSDL / CDSL	Beneficiary Name	DP ID	Beneficiary ID

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☐ Currency Derivatives

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.

(if applicable please give detail) _____

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

☐ If client is dealing through the sub-broker, provide the following details:

Sub-broker's /AP Name : _____ SEBI Registration number : _____

Registered office address : _____

Ph : _____ Fax : _____ Website : _____

Mob. : _____ E mail : _____

Signature of Subbroker / AP _____

☐ Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker : _____ Name of Sub-Broker, if any: _____

Client Code: _____ Exchange : _____

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

F. ADDITIONAL DETAILS

• Whether you wish to receive ☐ physical contract note or ☐ Electronic Contract Note (ECN)

(please specify) _____

Specify your Email id, if applicable: _____

• Whether you wish to avail of the facility of internet trading/ wireless technology

(please specify) : _____

• Number of years of Investment/Trading Experience : _____

• In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others :

• Any other information : _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer : _____

(Surname)

(Name)

(Middle Name)

Status of the Introducer : Sub-broker ☐ / Remisier ☐ / Authorized Person ☐ / Existing Client ☐
/ Others ☐

please specify _____

Address and phone no. of the Introducer : _____

Signature of the Introducer : _____

H. NOMINATION DETAILS (for individuals only)

☐ I/We wish to nominate ☐ I/We do not wish to nominate

Name of the Nominee: _____

Relationship with the Nominee : _____

PAN of Nominee : _____

Date of Birth of Nominee : _____

Address and phone no. of the Nominee : _____

If Nominee is a minor, details of guardian :

Name of guardian : _____

Address and phone no. of Guardian : _____

Signature of guardian : _____

WITNESSES (Only applicable in case the account holder has made nomination)

Name _____ Name _____

Signature _____ Signature _____

Address _____ Address _____

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 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 the document on policy and procedures of the stock broker 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'. 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.

Place : _____

Date : _____

X

Signature of Client/ (all) Authorized Signatory (ies)

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FOR OFFICE USE ONLY

UCC Code allotted to Client: _____

	Documents verified with Originals	Client Interviewed By	In-Person Verifica- tion done by
Name of the Employee			
Employee 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 Authorised Signatory**Date:**.....**Seal / Stamp of the Stock Broker**

TARIFF SHEET

Segment	INTRADAY		DELIVERY	MIN.BROKERAGE INTRADAY (PER SHARE)	MIN.BROKERAGE DELIVERY (PER SHARE)
	BUY	SELL			
NSE-CAPITAL MARKET					
NSE-F&O					
NSE-CDS					
BSE-CASH					
BSE-F&O					
MCX-SX					

Following charges are levied by the stock exchanges/relevant authorities :

Turnover Charges	0.0033 % of total Turnover
SEBI Fees	0.0001 % of total Turnover
STT (Security Transaction Tax)	0.100% on Delivery(Buy & Sell) , 0.025% for Intraday(only on Sell)
Stamp Duty	0.002 % on intraday turnover and 0.01 % on deliverybase turnover.
Service Tax	12.36%
Demat Section Charges (on sale)	Rs. 15/- per Instruction

* Above mentioned Statutory Charges, Exchange Charges, Demat Charges are subject to change from time to time.

X

Signature of Client / Authorised Signatory (ies)

Refusal of orders for penny/illiquid stock

The constituent shall be permitted to place orders subject to availability of margin in terms of funds and/or securities and his risk profile as decided by the company. The company does not deal in penny stocks except in the instances where the constituent prefers to transact on delivery basis and in small quantity. There should not be series of transactions in penny stocks. The trading activity in penny stocks must not violate the Insider Trading guidelines and/or any of the regulations of the exchange and/or SEBI. "Penny Stocks" means the stocks which are appearing in the list of illiquid securities issued by the exchange from time to time.

Setting Up Exposure Limits

The constituent shall be provided with the exposure limits subject to availability of margin in term of fund and or securities and his risk profile. The credential of the constituent , financial strength and reputation shall also be taken in to the account. The ultimate decision of giving exposure limits shall be with the trading member.

Applicable Brokerage rate

The Broker discloses that it shall charge a brokerage at the rate being agreed by the client with broker (including its branches and sub brokers) as may be prescribed in the tariff sheet. However, the Broker shall adhere to the maximum permissible limit (presently not to exceed 2.5%) as may be prescribed by SEBI/ Exchanges from time to time. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs. 100/- (per lot) whichever is higher.

Imposition of Penalty/Late Payment Charges

In case if any penalty is levied by SEBI, exchange and/or any of the regulatory authorities for the transactions carried out by the constituent, the same shall be levied to the constituent. In case if the constituent does not make payment of his outstanding amount within the stipulated pay in time, the late payment charge @ 18% p.a. shall be charged on weekly basis. Such late payment charge should not result in frequent late payment by the constituent and must not be termed by the constituent as funding provided by the broker.

Liquidation of Constituent's Securities

The constituent is supposed to make his pay in obligations on time for the funds and/or securities for all the segment of the exchange. The constituent has to maintain margin in derivatives segment and currency derivatives segment of the exchange as per the exchange's requirement. In case if any shortfall is found in margin, the open positions of the constituent shall be squared off to the extent of shortfall without any intimation for the same. In case of capital market, if the payment of outstanding amount is not received the broker reserves the right to liquidate the securities of the constituent without intimation to the extent of his debit amount.

The broker reserves the right not to increase the position of the constituent as per his risk parameters. In case of any order from regulatory authorities, the client's open positions shall be liquidated.

Restrictions/Prohibition to take further position or closing existing position :

Under any of circumstances, such as client's failure to meet Pay-In or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker, the client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirement etc. from client side, broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client, Such Circumstance include (but not limited to) :

- (i) failure to meet Pay-In obligation on Pay-In Day.
- (ii) delay in meeting the Pay-In or margin requirement.
- (iii) delay or failure in clearance or outstanding or dues to the broker,
- (iv) returning or frequent returning of cheques of the client,
- (v) Unnecessary/Unwarranted dispute from client without any substantial cause/reason, settled without involvement of Exchange and/or SEBI.
- (vi) As per prevalent RMS policy of the Broker.
- (vii) Any direction from SEBI/Exchange or such other authorities.
- (ix) Under such other circumstances as the Broker might think just and proper on case to case basis.

Shortage in Deliveries

In case of short deliveries arising out of internal delivery positions, the seller would be given chance to give delivery immediately or purchase the same from open market and the buyer would get the delivery accordingly.

Suspending/Closing/Deregistering the trading account

Whenever the constituent makes written request to close/suspend his account due to his personal reasons, the same shall be suspended/closed temporarily and again can be reactivated on the written request of the constituent. In case if the constituent is debarred and/or banned to trade in securities market by SEBI, exchange and/or any regulatory authorities, the trading account shall be suspended/deregistered by the broker immediately without intimation to the client. During the business of the constituent with broker, the broker reserves the right to close/suspend the constituent's account and/or stop further transactions at any point of time without intimation of the same to the constituent.

Policy for Inactive/Dormant clients

In Any account(s) in which no transactions has took place during the period of 1 year from the date of last transactions, the same shall be considered as dormant/In active. Such transaction date may relate to any of the following date , which ever is later.

- a) Entry related to contract or bill generation for buy/sell transaction or
- b) Entry related to payment of funds or securities by client

To designate the client's account as Dormant/In-active account, the period of 12 months shall be counted from the last day of respective month in which any of the aforesaid last transaction took place.

In order to reactivate the account , client needs to give the reactivation request form duly signed by her/him at least 2 days in advance to the branch or the Head office of the Broker , along with the self attested copy of the ID proof and income tax return as may be required by the broker.

X

Signature of Client

This Document is Voluntary

To,
Goldmine Stocks Pvt Ltd
"Goldmine House", 4, Niranjana Nirakar Scooty,
Near Shreyas Railway Crossing, Ahmedabad 380 007

Ref: My / Our trading account with you

Date : ____/____/20__

Subject: Undertaking cum standing instruction and authorization

(1) Running Account Authorisation

I/We intend to have regular running account with you for all the segments of stock exchange i.e. cash, derivatives and currency of NSE, BSE and MCX-SX. I/We request you not to make payment of funds and/or securities on settlement-to-settlement basis. Kindly make payment of funds and/or securities only on my/ our request to you. In such case if the funds/security is lying with exchange, I/We understand that it will take 3 working days to get receipt of the same. I/We authorize you to adjust the credit balance of funds and/or securities against the subsequent/previous settlement of any segment and/or any exchange. I/We also request you to consider the credit balance in my account with you for funds and/or securities as margin money. You may utilize the margin of funds and/or securities for placing with the exchanges. I/ We can revoke such authorization at any time on written intimation with immediate effect.. However I prefer to settle my account on ☐ Monthly or ☐ Quarterly basis (if client do not select the check box, Default answer is Quarterly). You are requested to make payment of funds and/or securities to me accordingly.

Any dispute from my/our end, arising from statement of account or settlement shall be brought to your notice in writing by me/ us within 7 days of receipt of funds/ securities/ statements as the case may be.

(2) I/We may place orders either personally or over telephone. I/We do not need the order confirmation, modification, cancellation or trade confirmation slips. So kindly do not give us these printouts for any exchange and/or segment.

(3) I/We hereby undertake and confirm that I/We will not make any cash payment to the company or its representative under any circumstances and if so paid to any of the Representative/Employee/Authorized Person/ Subbroker, it shall not be the responsibility of Goldmine Stocks Pvt Ltd. We clearly understand that the company never accepts

money in cash.

(4) I/We hereby undertake and confirm that I/ We shall deliver shares for pay in and/or margin to the company's account and shares will not be delivered to company's Representative/Employee/Authorized Person/ Subbroker 's account in any circumstances. I/We shall never hand over blank signed demat instructions and/or cheque to any of company's Representative / Employee / Authorized Person / Sub broker.

(5) I/We agree that all fines/penalties/charges etc levied upon you by NSE/BSE/MCX-SX/any other Regulatory Authority for my/our transaction/deals/actions/mistakes are recoverable by you from my/our accounts.

(6) Being your client , I/we agree that we will submit the certified true copies of income proof or financial details (any one) (a) copy of ITR Acknowledgment (b) Copy of Annual Accounts c) In case of salary income- Salary Slip , Copy of form 16 (d) Net worth Certificate (e) Copy of Demat Account holding statement (f) Bank Account statement for last 6 months (g) Any other relevant documents substantiating ownership of assets (h) Self declaration with relevant documents. Further, being non-individual client, we will also submit our Audited Accounts/Share holding pattern , list of directors/partners etc. every year.

(7) You can utilize my credit balances for Additional Base Capital as Margin with NSE/ BSE/MCX-SX for my exposure. You may inter transfer the funds and/or securities between various segments of all the exchanges.

(8) Without prejudice to your other rights (including the right to refer a matter to arbitration), you shall be entitled to liquidate/ close out all or any of my/our positions as well as securities placed as margin or kept as hold by you for non- payment of margins or other amounts outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any against my/our liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall

be charged to and borne by me/us. Such liquidation/close out may be without any prior reference or notice to me/us. You are hereby fully indemnified and held harmless by me/us in this behalf. Such liquidation or close out of positions shall apply to any segment in which I/we do/does business with you.

- (9) I/We acknowledge that you shall not be liable to provide me/us with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. I/We also acknowledge that your employees are not authorized to give any such advice and that I/We shall not solicit or rely upon any such advice from you or any of your employees. I/We agree that in the event of you or any your employee or official providing any information, recommendation or advice to me/us, I/We may act upon the same at the sole risk and my/our cost and you shall not be liable or responsible for the same. I/We assume full responsibility with respect to my/ our investment decisions and transactions. Your officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of mine/us.
- (10) In the event I/we am/are found to have indulged in any manipulative, fraudulent and/or unfair trade practices or to have committed a breach of the capable laws, regulations, guidelines, byelaws, by my/our act or omission, whether directly or indirectly, I/we shall be solely liable for the consequences thereof, including but not limited to financial losses and the penalties, restrictions or the other action imposed or taken by appropriate authority.
- (11) Any communication sent by you to me/us shall be deemed to have been properly delivered or served, even if such communication is returned to you as unclaimed/refused/undelivered, if the same is sent to the ordinary business address and or ordinary place of residence and/or last known address of the party.
- (12) I/We have trading account as well as a Demat account with you. For the convenience of payment of all the charges pertaining to my Demat Account, I/We hereby request you to debit my Trading Account.
- (13) I/We agree to inform/update you any change in any or all the details provided to you on time to time
- (14) The Client shall not hold member responsible for any losses incurred on account of failure of System/Risk management System/

Network Congestion/Loss of Connectivity from Dealing Office / Place to member or from member to the Exchange.

- (15) I /We further declare and confirm that the shares / securities provided / being provided to you are generally for the purpose of availing exposure limits / margin limits / towards collaterals in F&O Segment of the Exchange and inturn you may deposit/utilise the same for availing exposure from Exchange/clearing house.
- (16) I/We undertake that I/We shall do trading activities for my/our own purpose and not on behalf of any other entities.
- (17) I/We have noted that you are doing Proprietary Trading on your own account.
- (18) I/We request and authorize you to send me/ us the contract note, statement of accounts for funds and/or securities, bills and any other communication on my email id given below. In such case I/We waive the requirement of physical printouts.
- Email : _____@_____
- I/We have received the CD containing the file encryptor program for opening/viewing the digitally signed contract notes, bills, statements etc.
- (19) There are no criminal and/or civil cases pending against me in any court of law. I/We have never been convicted of any offense by the police and/or court of law.
- (20) There are no actions taken against me by SEBI, exchange and/or any other regulatory authorities. There are no cases pending against me/us.
- (21) I/We have thoroughly understood all the terms and conditions of the company and also aware of the rules, regulations and bye laws for dealing in securities market as an investor. I/We shall remain updated on regular basis about the rules and regulations of exchanges, SEBI and all other regulatory authorities.

I/We understand that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my/our client account with you as our broker and I/we have put my/our signature only after proper understanding.

Thanking you,

Yours truly,

Code No :



(Signature of Client)

This Document is Voluntary

FROM :

NAME : _____

ADDRESS : _____

PHONE NO : _____ MOBILE NO : _____

To,

GOLDMINE STOCKS PVT LTD
Ahmedabad-380007.

CLIENT CODE : _____

Dear Sir,

Sub : E-Payments

I/we request and authorize you to effect E-Payment to my / our Bank account as per the details given below :

Bank Account Name : _____

Bank Account Number : _____

Branch Name & Address of Bank : _____

Email Id : _____

Permanent A/c Number (PAN) : _____

IFSC code : _____

MICR Code : _____

Type of Account : Savings / Current / Cash Credit / Other

I, hereby declare that the particulars given above are correct. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I would not hold the user institution responsible. I hereby authorize Bank (as mentioned above) to credit my above mentioned account with the amount of installment and I agree to discharge the responsibility expected of me as a participant under the scheme.

Date: _____

X

Signature of Account Holder (s)

Kindly attach a blank canceled cheque with this mandate form.

For office use only

Entry by : _____

Effect date : ____ / ____ / ____

Verification by : _____

ACKNOWLEDGEMENT

I/We hereby undertake that I/We am/are made aware of 'policy and procedures', Tariff Sheet and all the mandatory and voluntary documents. I/We are also aware of 'Rights and Obligations' documents(s), RDD and Guidance Note. I/We undertake that, I/We have received the copy of KYC Kit from Goldmine.



Signature of Client / Authorised Signatory(ies)

Date :