

POLICY & PROCEDURES

Order by the Constituent

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 margins in terms of funds and/or securities and his risk profile. The credential of the constituent, financial strength and reputation shall also be taken into account. The ultimate decision of giving exposure limits shall be with Goldmine.

Brokerage Rate

| Type of Trade | Buy | Sell | | Minimum Per Share |
|---------------------|-----|------|--|-------------------|
| Intraday Trading | % | % | | |
| Same Day Square Off | | | | |
| Delivery | | | | |

- Service Tax, SEBI Fees, Stamp Duty, exchange transaction charges, demat charges etc shall be levied extra.
- Postage Charges, if any, shall be charged extra.

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.

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.

This Document is Voluntary

To,

Goldmine Stocks Pvt Ltd

"Goldmine House", 4, Niranjana Nirakar Society, Near Shreyas Railway Crossing, Ahmedabad 380 007

Ref: My / Our trading account with you

Date : ___/___/20__

Subject: Undertaking cum standing instruction and authorization

- (i) I/We intend to have regular running account with you for all the segments 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 written 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 inter transfer the funds and/or securities between various segments of all the exchanges. You may utilize the margin of funds and/or securities for placing with the exchanges, custodians or banks. I/We can revoke such authorization on written intimation to you subject to notice of seven working days. However I prefer to settle my account on Monthly / Quarterly basis. You are requested to make payment of funds and/or securities to me accordingly.
- (ii) 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.
- (iii) 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.
- (iv) 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 / Subbroker.
- (v) 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.
- (vi) I/We undertake that I/We shall do trading activities for our own purpose and not on behalf of any other entities.
- (vii) I/We have noted that you are doing Proprietary Trading on your own account.
- (viii) I/We authorize you to debit my trading account with you in any segment of any exchange for my/our outstanding dues in my/our demat account with your DP Section.
- (ix) 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 : _____@_____

- (x) I/We have received the CD containing the file encryptor program for opening/viewing the digitally signed contract notes, bills, statements etc.
- (xi) I/We am/are not a Politician and/or not exposed as associated with any political party.
- (xii) 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.
- (xiii) There are no actions taken against me by SEBI, exchange and/or any other regulatory authorities. There are no cases pending against me/us.

Thanking you,

Yours truly,

(Signature of Client)

Code No :

PTO