

Client Registration Form

Minor Account

Sapphire Broking

Trading Member: NSE, BSE & MCX

Client Name: _____

Client Code: _____

LEFT BLANK ON PURPOSE

Sapphire Broking

Trading Member

BSE Ltd. (BSE)

National Stock Exchange of India Ltd. (NSE)

Multi Commodity Exchange of India Limited (MCX)

Association of Mutual Fund of India (AMFI)

SEBI Registration No.: INZ000329823

AMFI Registration No.: ARN-333966

BSE Registration No.: 6957

NSE Registration No.: 90481

MCX Registration No.: 57565

BSE Star MF Registration No.: 64321

NSENMF Invest Registration No.: 1027161

Registered Office: Appt. 202, Second Floor, House No. 6616/A/7, Samadhan Tower, Plot No. 7, Sadbhawana Nagar, Manewada Rd, Nagpur, Maharashtra – 440027

Phone: 0712-2996300 **Email:** support@sapphirebroking.com

Website: www.sapphirebroking.com

Managing Partner

Mr. Nakul Thakur

nakul.thakur@sapphirebroking.com

Ph.: 0712-2996300

Compliance Officer

Mr. Yash Katyari

compliance@sapphirebroking.com

Ph.: 0712-2996300

For any grievance/dispute please contact **Sapphire Broking** at the above address or email us at support@sapphirebroking.com and Phone no.: 0712-2996300. In case not satisfied with the response, please contact the concerned exchange (BSE) bsehelp@bseindia.com and call at 022-27524949, (NSE) ignse@nse.co.in and call at 18002660050, (MCX) ig-mcx@mcxindia.com and call at 02266318888, and you can also raise at SEBI score portal at <https://scores.sebi.gov.in/>

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.no.	Name of the Document	Brief Significance of the Document	Page
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	07-12
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	14-17
2.	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).	Given to client with Welcome Kit
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	18
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	Most Important Term and Conditions	Key terms that govern the client's rights, obligations, and risks while availing trading services in the equity and commodities segments.	19
8.	Voluntary Term and Condition (Equity and Commodities)	Optional terms accepted by the client to avail trading facilities in the equity and commodities segments, in addition to the mandatory regulatory conditions.	20-24
9.	Nominee Opt-in or opt-out form	Form used to provide your consent whether you want to add nominee or not	25
10.	Nominee Form	Form used by the client to nominate a person to receive the securities and/or funds in the event of the client's death.	26-27
11.	Aadhar Consent	Consent to share Aadhar details with SEBI and KRA	28
12.	General Declarations	Client declarations and consents covering Good Till Triggered (GTT) orders, open interest disclosures, electronic contract notes (ECN), and related trading permissions.	29-30
14.	FATCA declaration for Individual	Declaration by an individual client providing tax residency and related details to comply with FATCA and other applicable international tax reporting requirements.	31

CHECKLIST FOR MINOR ACCOUNT

S. No.	Document	Check	
1	Account Opening Form		
2	Guardian attested PAN card of Minor		
3	Self-attested PAN card of Guardian		
4	Address proof of Minor (Any One document)	Passport of Minor attested by guardian	
		Masked Aadhar attested by guardian	
5	Address proof of Guardian (Any One document)	Self-attested passport copy of guardian	
		Self-attested Masked Aadhar of guardian	
		Self-attested driver license of guardian	
		Self-attested Voter ID card of guardian	
6	Passport size photo of Minor		
7	Passport size photo of Guardian		
8	Guardian Letter- A copy of legal guardian letter if the guardian is anyone other than the parent of the minor		
9	Date of birth proof (Any One document)	Guardian attested birth certificate of minor	
		Guardian attested school leaving certificate of minor	
		Guardian attested passport copy of minor	
		Guardian attested copy of marksheet issued by any recognised higher secondary board	
10	Bank Proof of Minor (Any One document)	Cancelled cheque copy	
		Self-attested first 3 pages of bank statement	
		Self-attested first page of passbook	

Note:

- Guardian mobile number and email ID registered with Sapphire Broking cannot be used to open a minor account.
- The guardian should sign all the forms and supporting documents of the minor.
- Once a minor becomes 18 years of age, you have to convert the minor account to an individual account.
- In minor account only cash and mutual fund section can be activated.
- A trading account may be opened in the name of a minor solely for selling securities acquired through IPO, inheritance, corporate actions, gifts, family transfers, or regulatory directions, and will be operated by the natural guardian until the minor attains majority.

ACKNOWLEDGEMENT LETTER

To,

Sapphire Broking

Regd. Office: Appt. 202, Second Floor, House No. 6616/A/7,
Samadhan Tower, Plot No. 7, Sadbhawana Nagar,
Manewada Rd, Nagpur, Maharashtra – 440027

Dated _____

Dear Sir/ Madam,

I hereby opt to get the document listed below in-

Electronic Form Physical Form

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. I/We hereby 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.

Yours faithfully,



(Signature of Client)

INTIMATION BY THE MEMBER FOR PROPRIETARY TRADING

Dear Constituent,

Under instruction of SEBI, National Stock Exchange of India Ltd. (NSE), Multi Commodity Exchange of India Ltd. (MCX), BSE Limited (BSE) has directed all its members to inform their clients whether they engage in proprietary trading in this regard we wish to inform you that we do engage in proprietary trading in the Cash, F&O & CDS of NSE and MCX.

Kindly take note of the above and oblige.

For **Sapphire Broking**

SAPPHIRE BROKING


PARTNER

Authorised signatory

I have read the above letter



Signature of Client

**Know Your Client (KYC)
Application form (For Minor Only)**



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory
Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also

Application No: _____

Application Type:

New KYC Modification KYC

KYC Mode*: Please Tick (✓)

Online Offline Other: _____

1. PERSONAL DETAILS

Name* (Same as ID proof) _____

(If any*) Maiden Name _____

Father/ Spouse Name _____

Mother Name _____

Date of Birth* ____ - ____ - ____

PAN* _____

Gender* Male Female Other

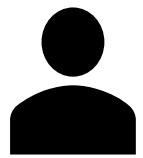
Marital Status* Married Unmarried Other

Residential Status* Residential Individual Non-Residential Indian
 Foreign National Person of Indian Origin

Nationality* Indian Others

Proof of Identity* PAN Others (Specify) _____

PHOTO



Cross Signature

2. PERMANENT ADDRESS

Line 1* _____

Line 2* _____

Line 3 _____ City/ Town/ Village* _____

District* _____ Pin code* _____

State* _____ Country* _____

Proof of Address* _____ Document Number _____

3. CORRESPONDENCE ADDRESS

If same as above address, then leave blank

Line 1* _____

Line 2* _____

Line 3 _____ City/ Town/ Village* _____

District* _____ Pin code* _____

State* _____ Country* _____

Proof of Address* _____ Document Number _____

4. CONTACT DETAILS

Mobile* _____ - _____ Tel.(office) _____ - _____

Tel.(Res) _____ - _____ Fax _____ - _____

Email ID* _____

5. REMARKS (IF ANY)

Remarks (If any) _____

6. APPLICATION DECLARATION

I/We hereby declare that the KYC details provided by me/us are true and correct to the best of my/our knowledge and belief. I/We undertake to promptly inform you of any changes to the information provided. I/We understand that if any of the above details are found to be false, untrue, misleading, or misrepresented, I/We may be held liable for the same.

I/We hereby consent to receiving communications from the Central KYC Registry via SMS and/or email on the registered mobile number and email address provided above.

I/We also consent to receiving communications from CVL KRA via SMS and/or email on the registered contact details. I/We acknowledge that for Aadhaar OVD-based KYC, my/our KYC request will be validated against Aadhaar details.

I/We further consent to sharing my/our masked Aadhaar card (with readable QR code), or my/our Aadhaar XML/Digilocker XML file along with the passcode, as applicable, with the KRA and other intermediaries with whom I/We have a business relationship, strictly for KYC purposes.

PLACE: _____

DATE: _____ (DD-MM-YYYY)

APPLICANT E-SIGNATURE

APPLICANT WET SIGNATURE

7. FOR OFFICE USE ONLY

Name of Employee _____ Employee Code _____

Designation _____ Date of IPV _____ - _____ - _____

Organization **SAPPHIRE BROKING** Signature of employee _____

Seal/Stamp of Intermediary

DETAILS OF RELATED PERSON

In case of additional related persons, please fill below details:

Addition of Related Person Deletion of Related Person

KYC of related person (If available) _____

Related person type Guadian of Minor Assignee Authorized Representative

Name	
------	--

(If KYC number & name are provided, below details are optional)

Proof of Identity or Related Person

Identity Proof Submitted	Number:
--------------------------	---------

Expiry Date: ____ - ____ - _____

Others (any document notified by Central Government)		Number:
Simplified Measure Account-Document Type Code		Number:

TRADING ACCOUNT RELATED DETAILS

Bank Name, Branch and Address:

Account No.		<input type="checkbox"/> Savings <input type="checkbox"/> Current
MICR Code	IFS Code	

Other Details:

Experience	Number of years of Investment / Trading Experience
Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 lacs <input type="checkbox"/> 5-10 lacs <input type="checkbox"/> 10-25 lacs <input type="checkbox"/> >25 lacs <input type="checkbox"/> > 1 Crore
	OR Net Worth in ₹ _____ as on date ____ - ____ - _____
Occupation*	<input type="checkbox"/> Govt. Services <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please Specify):
Nature of Business	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others (Please Specify):
Client Category Commercial Participant Non-commercial participant	<input type="checkbox"/> Value chain participant <input type="checkbox"/> Financial participant <input type="checkbox"/> Arbitrager <input type="checkbox"/> Exporter <input type="checkbox"/> Importer <input type="checkbox"/> Trader <input type="checkbox"/> Hedger <input type="checkbox"/> Other

Is the Client Politically Exposed Person (PEP) or Related to a PEP

PEP Related to PEP Not a PEP / RPEP

(If marked as PEP or related to PEP please fill the next form)

PEP DECLARATION

Are you related to any political party?	Yes/ No
If yes please mention the name of Party, otherwise only put your details at the end of form	
Are you connected to one or more person who holds or has held political connection like Member of parliament/Member of Lok Sabha/ Member of Raj Sabha/ Prime Minister/Chief Minister	_____ _____
Pls tick source Of Fund for Investment and provide relevant documents	Salary (Yes/ No) Business (Yes/ No) Other (Yes/ No)
Relationship with PEP	Self (Yes/ No) Mother (Yes/ No) Father (Yes/ No) Child (Yes/ No) Other (Yes/ No)
Title of Position Held/Hold since	
In what Jurisdiction is/was the position held/Hold?	

All the above information stated above is true to the best of my knowledge and discrepancy found, if any in above statement will lead to deactivation of my account and square off of my open position by the Sapphire Broking without any further intimation.

Client Name: _____

Trading Code: _____

Signature: _____

Date: ____ - ____ - _____

**Know Your Client (KYC)
Application form (For Guardian Only)**



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory
Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also

Application No: _____

Application Type:

New KYC Modification KYC

KYC Mode*: Please Tick (✓)

Online Offline Other: _____

1. PERSONAL DETAILS

Name* (Same as ID proof) _____

(If any*) Maiden Name _____

Father/ Spouse Name _____

Mother Name _____

Date of Birth* ____ - ____ - ____

PAN* _____

Gender* Male Female Other

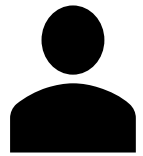
Marital Status* Married Unmarried Other

Residential Status* Residential Individual Non-Residential Indian
 Foreign National Person of Indian Origin

Nationality* Indian Others

Proof of Identity* PAN Others (Specify) _____

PHOTO



Cross Signature

2. PERMANENT ADDRESS

Line 1* _____

Line 2* _____

Line 3 _____ City/ Town/ Village* _____

District* _____ Pin code* _____

State* _____ Country* _____

Proof of Address* _____ Document Number _____

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If same as above address, then leave blank

Line 1* _____

Line 2* _____

Line 3 _____ City/ Town/ Village* _____

District* _____ Pin code* _____

State* _____ Country* _____

Proof of Address* _____ Document Number _____

4. CONTACT DETAILS

Mobile* _____ - _____ Tel.(office) _____ - _____

Tel.(Res) _____ - _____ Fax _____ - _____

Email ID* _____

5. REMARKS (IF ANY)

Remarks (If any) _____

6. APPLICATION DECLARATION

I/We hereby declare that the KYC details provided by me/us are true and correct to the best of my/our knowledge and belief. I/We undertake to promptly inform you of any changes to the information provided. I/We understand that if any of the above details are found to be false, untrue, misleading, or misrepresented, I/We may be held liable for the same.

I/We hereby consent to receiving communications from the Central KYC Registry via SMS and/or email on the registered mobile number and email address provided above.

I/We also consent to receiving communications from CVL KRA via SMS and/or email on the registered contact details. I/We acknowledge that for Aadhaar OVD-based KYC, my/our KYC request will be validated against Aadhaar details.

I/We further consent to sharing my/our masked Aadhaar card (with readable QR code), or my/our Aadhaar XML/Digilocker XML file along with the passcode, as applicable, with the KRA and other intermediaries with whom I/We have a business relationship, strictly for KYC purposes.

PLACE: _____

DATE: _____ (DD-MM-YYYY)

APPLICANT E-SIGNATURE

APPLICANT WET SIGNATURE

7. FOR OFFICE USE ONLY

Name of Employee _____ Employee Code _____

Designation _____ Date of IPV _____ - _____ - _____

Organization **SAPPHIRE BROKING** Signature of employee _____

Seal/Stamp of Intermediary

TRADING AND DEMAT ACCOUNT RELATED DETAILS

TYPE OF ACCOUNT: <input type="checkbox"/> Individual <input type="checkbox"/> Non-Individual	Sub Status	<input type="checkbox"/> Resident	<input type="checkbox"/> Other
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1. BANK ACCOUNT DETAILS – Payin/Payout of funds will be routed through the said bank account

Bank name, Branch and Address: _____

Account no.		<input type="checkbox"/> Savings	<input type="checkbox"/> Current
MICR Code	IFSC Code		

2. DEPOSITORY ACCOUNT DETAILS (DPI DETAILS WILL BE CONSIDERED FOR PAYOUT OF SECURITIES)

	DP 1 Details	DP 2 Details
Depository Name	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
DP NAME		
Beneficiary Name		
DP ID		
BO ID		
Pledge instruction - I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my / our end.		<input type="checkbox"/> Yes <input type="checkbox"/> No
"I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes') [Automatic Credit]"		<input type="checkbox"/> Yes <input type="checkbox"/> No

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

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

4. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade.
Please strike off the segment not chosen by you.

Exchanges	NSE, BSE				MCX, BSE & NSE
All Segments	Cash/ Mutual Fund	F & O	Currency	Debt	Commodity Derivatives
If you do not wish to trade in any of segments/ Mutual Fund, please mention here:					

5. STANDING INSTRUCTIONS / AUTHORIZATION FROM THE CLIENT

Contract Note/Holding & Transaction Statement including CAS/Other Documents*	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Receive Delivery Instruction Slip	<input type="checkbox"/> No <input type="checkbox"/> Yes
Share Email ID with Registrar & Transfer Agent	<input type="checkbox"/> No <input type="checkbox"/> Yes
Receive Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Yes
DP Account Statement	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulation
Declaration for Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
Declaration for Email ID	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
Bill-to-bill settlement	<input type="checkbox"/> No <input type="checkbox"/> Yes
Running Account Settlement	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly
Whether you wish to avail of the facility of internet trading / wireless technology (please specify)	<input type="checkbox"/> No <input type="checkbox"/> Yes
SMS Alert Facility - Mandatory if you are giving Power of Attorney (POA). Ensure that the mobile number is provided in the KYC Application Form.	<input type="checkbox"/> No <input type="checkbox"/> Yes

Note:

1. Divided / Interest will be credited to designated bank account via ECS.
2. In case client doesn't opt for DIS booklet, it would be issued on request at any later date.
3. BO can view his ISIN balances, transactions & value portfolio online.
4. *Other documents include SEBI prescribed standard documents i.e. Rights & Obligation documents for trading and depository account, Risk Disclosure Document & Guidance Note or any other communication / document disseminated by Sapphire broking.
5. Sapphire may carry out proprietary trades in addition to cliental trades

6. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002

Experience	Number of years of Investment / Trading Experience
Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 lacs <input type="checkbox"/> 5-10 lacs <input type="checkbox"/> 10-25 lacs <input type="checkbox"/> >25 lacs <input type="checkbox"/> > 1 Crore
	OR Net Worth in ₹ _____ as on date ___ - ___ - _____
Occupation*	<input type="checkbox"/> Govt. Services <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please Specify):
Nature of Business	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others (Please Specify):
Client Category Commercial Participant Non-commercial participant	<input type="checkbox"/> Value chain participant <input type="checkbox"/> Financial participant <input type="checkbox"/> Arbitrager <input type="checkbox"/> Exporter <input type="checkbox"/> Importer <input type="checkbox"/> Trader <input type="checkbox"/> Hedger <input type="checkbox"/> Other

Is the Client Politically Exposed Person (PEP) or Related to a PEP

PEP Related to PEP Not a PEP / RPEP

(If marked as PEP or related to PEP please fill the next form)

PEP DECLARATION

Are you related to any political party?	Yes/ No
If yes please mention the name of Party, otherwise only put your details at the end of form	
Are you connected to one or more person who holds or has held political connection like Member of parliament/Member of Lok Sabha/ Member of Raj Sabha/ Prime Minister/Chief Minister	_____ _____
Pls tick source Of Fund for Investment and provide relevant documents	Salary (Yes/ No) Business (Yes/ No) Other (Yes/ No)
Relationship with PEP	Self (Yes/ No) Mother (Yes/ No) Father (Yes/ No) Child (Yes/ No) Other (Yes/ No)
Title of Position Held/Hold since	
In what Jurisdiction is/was the position held/Hold?	

All the above information stated above is true to the best of my knowledge and discrepancy found, if any in above statement will lead to deactivation of my account and square off of my open position by the Sapphire Broking without any further intimation.

Client Name: _____

Trading Code: _____

Signature: _____

Date: ____ - ____ - _____

(All the clauses mentioned in the "Rights and Obligations" document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet Based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet-based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet-based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT website provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy is as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a person was authorized to do so. Also, the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third-party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or nonexecution of his orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges.

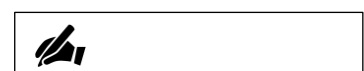
Declaration

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.

Client Name: _____

Place: _____

Date: ____ - ____ - _____



Trading account charges

Charge Type	Individual Account	Non- Individual Account
Equity Delivery	INR 20 or 0.02% of transaction value, whichever is higher, subject to maximum of INR 100/-	INR 20 or 0.02% of transaction value, whichever is higher, subject to maximum of INR 100/-
Intra-day	INR 20 or 0.05% whichever is lower per executed order (minimum brokerage of INR 2.5 will be levied)	INR 20 or 0.05% whichever is lower per executed order (minimum brokerage of INR 2.5 will be levied)
Futures of Equity, index, Commodity, Currency	INR 20 or 0.05% whichever is lower per executed order (minimum brokerage of INR 2.5 will be levied)	INR 20 or 0.05% whichever is lower per executed order (minimum brokerage of INR 2.5 will be levied)
Options of Equity, index, Commodity, Currency	INR 20 per order	INR 20 per order
Call and Trade Charges	INR 50 per order	INR 50 per order
Account Opening Charges	Nil	INR 500+GST

Disclaimer: Clients who opt to receive physical contract notes will be charged Rs. 20 per contract note plus courier charges. A brokerage of 0.5% of the contract value will be charged for contracts where physical delivery happens. In addition to the brokerage charge the following charges will also be levied.

Demat account charges

Scheme Particulars	Regular Scheme %			LIFETIME	LIFE-D Scheme (Life Time & AMC-1)	LIFE-Q Scheme (Life Time @ AMC-)	Free Demat Scheme \$	
	DDPI	NON DDPI	Corporate	DDPI	DDPI	DDPI	DDPI	NON DDPI
Please select ANY ONE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Account Opening Charges	Nil	Nil	1599/-	Nil	Nil	Nil	Nil	Nil
Account Maintenance Charges (AMC)	399/- p.a.	499/- p.a.	1000/- p.a.	Nil for lifetime	Nil	Nil	399/- p.a.	499/- p.a.
Refundable Security Deposit	NA	NA	NA	NA	NA	NA	NA	NA
Market Sell Transaction Charges- DDPI	0.02% subject to Min 20/- & Max 100/- per Instruction						0.03% subject to Min 30/- per Instruction	
Market Sell Transaction Charges	0.03% subject to Min 25/- & Max 100/- per Instruction						0.03% subject to Min 40/- per Instruction	
Off Market Transaction Charges	0.03% subject to Min 30/- & Max 100/- per Instruction						0.03% subject to Min 40/- per Instruction	

Common Tariff applicable to all Scheme

Dematerialisation	20/- Per Certificate (Rs. 30/- for 1st Certificate) Courier Charges Extra (Rs.25/- for Local & Rs.40/- for outstation courier)		
Rematerialisation	30/- per Certificate (1 Certificate / 100 shares) Courier Charges Extra (Rs.25/- for Local & Rs.40/- for outstation courier)		
Additional Statement Charges	5/- Per page, postal/courier charges will be extra (Applicable on daily/weekly/fortnightly statement also)		
MF Restat /Redemption Charges	25/- per Instruction	Demat Rejection/DIS Rejection Charges	
Pledge Creation	60/- per Instruction	25/- Per Instance	
Margin Pledge	10/- per Instruction	Pledge Closure / Invocation	
Delivery Instruction Book Charges	30/- (20 Leafs)	30/- per Instruction	
Client Modification/CML Charges	25/- Per request	Margin Unpledge Charges	
		10/- per Instruction	
		Delivery Instruction Slip by FAX	
		5/- Per Instruction	
		Additional Client Master Charges	
		25/- Per request 5/- Per Instruction	

Disclaimer: Sapphire Broking is not presently a Depository Participant registered with CDSL or NSDL and, accordingly, does not provide demat account services. All depository-related services, including the opening and maintenance of demat accounts, are facilitated through SMC Global Securities Limited, a SEBI-registered Depository Participant (SEBI Registration No.: IN-DP-130-2015). Any charges mentioned herein in relation to demat account services are levied by SMC Global Securities Limited and shall be payable directly or indirectly to SMC Global Securities Limited, as applicable.

TERMS & CONDITIONS:

% First year AMC is free in regular scheme accounts. From next year onwards, AMC as per schedule of charges will be levied.

& If account is closed within a year, AMC as per regular Scheme will be levied. Security Deposit will be refunded on account closer after deducting outstanding Charges.

@If there is no delivery based transaction in capital market in a Calendar Quarter, Account will be treated as Non-active and Rs 100 plus GST will be charged as idling charge for that quarter in the said account. Accordingly ODIN Diet/Application will also be deactivated and reactivation charges will be Rs. 250/-.

Email ID is mandatory

\$ Rs.10,000 minimum cash margin is required at the time of Account Opening. Account Opening Charges of Rs. 750/- will be reversed if Gross Brokerage of Rs. 750/- is generated in 3 months.

- Clearing Charges (on transaction value): Equity Cash – upto 0.003%, Equity & Index Futures – upto 0.0004%, Equity & Index Options – upto 0.01%, NSE & MCX commodity Futures – upto 0.001%, NSE & MCX commodity Option- 0.01%.
- The Company reserves the right to modify/add/withdraw any scheme at any time without prior notice. In case of any upward revision in charges, 30 day's notice would be given by email/post shall be treated as sufficient notice.
- AMC will be charged yearly in advance. Any Service not mentioned above will be charged extra. Above charges are applicable only to resident Indian individual and domestic corporate. For NRI and Foreign Corporate Body (FCB), different charges are applicable.
- In case of non-payment of bills/ dues within 15 days of due date, the DP services are liable to be discontinued within a period of 30 days from the date of demand. The renewal charges for resuming the services will be Rs. 100/-.
- Security deposit for CDSL's 'easiest' facility (optional) is Rs. 3,500/-
- Demat Charges for on market sale transactions will be debited directly in client's bill.
- AMC for Basic Service Demat Account (BSDA) eligible clients: Value of Holdings in the Demat A/c Up to Rs. 4 Lakhs – AMC Nil, Value of Holdings in the Demat A/c More than Rs. 4 lakhs but up to Rs. 10 lakhs - AMC Rs 100, Value of Holdings in the Demat A/c More than Rs. 10 lakhs - Regular AMC will be levied.

I/We have read the above given information and agree to pay the same. I/We authorize you to debit the trading account maintained with you for the account opening charges for trading account payable to you. Any such sum debited to my account shall be binding on me/us.



(First /Sole Holder)



(Second Holder)

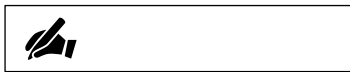


(Third Holder)

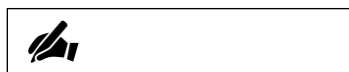
Date: ____ - ____ - ____

Most Important Terms and Conditions (For non-custodial settled trading accounts)

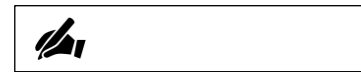
1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not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



(First/Sole holder)



(Second holder)



(Third holder)

Place: _____

Date: ____ - ____ - _____

Whereas the Client wishes to open securities and/or commodities trading accounts with Sapphire Broking (hereinafter referred to as "Sapphire Broking") for the purpose of trading in the Capital Market Segment, Futures & Options, Currency Derivatives, and Commodities Futures & Options of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., the Multi Commodity Exchange, as well as for availing Mutual Fund transaction facilities offered by the Stock Exchanges; and whereas, for the purpose of more effectively and conveniently availing the services agreed to be provided by Sapphire Broking, along with any additional services that Sapphire Broking may introduce from time to time, the Client, of its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client acknowledges that these terms and conditions are voluntary and non-mandatory in nature; however, upon acceptance, they shall constitute a binding contract between the parties and be fully enforceable by each against the other.

1. Authorization to Debit Additional Charges with regard to Trading and Demat Account: Without prejudice to the other rights and obligations of the parties, the Client understands and agrees that Sapphire Broking may levy additional charges, including Annual Maintenance Charges and all transaction charges, in relation to the Client's Demat account or Counter Demat account for any services rendered by Sapphire Broking at the Client's request. Sapphire Broking may also recover from the Client all reasonable costs that are incidental or consequential to providing such services. These charges will be debited to the Client's ledger account with Sapphire Broking.
2. Lien: All securities, commodities, funds, and/or properties (any assets available with Sapphire Broking) of the Client, as may be permitted by the Exchange(s) from time to time to be placed with Sapphire Broking, shall be subject to a lien for the payment or fulfilment of all undischarged liabilities and obligations of the Client in relation to its transactions or amounts owed to any of the group companies of Sapphire Broking. Sapphire Broking shall be entitled to withhold such securities, commodities, funds, and/or properties of the Client as security towards any such undischarged liabilities or obligations of the Client, and may sell and/or appropriate to itself all such securities, commodities, funds, or properties at its sole discretion and at any time, without prior notice to the Client.
3. Authorization for Delivering / Pledging Shares: The Client understands and agrees that Sapphire Broking may deliver to the Exchange any securities held on behalf of the Client to discharge settlement obligations in respect of securities sold by the Client, or may pledge such securities with the clearing house of a recognized stock exchange in any segment where the Client is registered for trading, for the purpose of providing margin for trading positions contracted or to be contracted by the Client. Sapphire Broking may also pledge such securities with any scheduled commercial bank, non-banking financial institution, or other financial institution for raising funds to the extent that the Client's account carries a debit balance, without any obligation on its part to raise such funds by pledging the securities. This is without prejudice to the right of Sapphire Broking to enforce, at its option, the collateral security in such securities to recover the debit balance at any time.
4. Authorization for Inter-Segment Fund Balance Transfer and Stock Transfers: The Client hereby authorizes Sapphire Broking to transfer debit or credit balances in the Client's ledger account, arising during the course of trades in any segment (including the commodities segment), to the Client's ledger account in any other segment (including the commodities segment). Sapphire Broking is also authorized to transfer any stock purchased or lying in the Client's account in any segment (including the commodities segment) to the Client's account in any other segment, as often as may be required. Such transfers may be affected by passing journal entries in the books of Sapphire Broking.
5. Disclaimer: The Client understands and agrees that neither Sapphire Broking nor any other party disseminating market data, messages, or information through Sapphire Broking's website or by any other means shall be liable for:
 - (a) any inaccuracy, error, omission, or delay in the transmission or delivery of such data, information, or message; or
 - (b) any loss or damage arising from or caused by:
 - (i) any such inaccuracy, error, delay, or omission;
 - (ii) non-performance; or
 - (iii) interruption in making such data, information, or message available,
 whether due to any act or omission by Sapphire Broking or any disseminating party, or due to "force majeure" events (including, but not limited to, flood, extraordinary weather conditions, earthquake, or other acts of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, government action, communications or power failure, equipment or software malfunction), or any other cause beyond the reasonable control of Sapphire Broking or any disseminating party.
6. Manner/Mode of Placing Orders/Instructions & Non-Execution/Delay/Cancellation of Orders: The Client may communicate orders and other instructions to Sapphire Broking or to the sub-broker/authorised person, as applicable, by phone at the designated contact number, in writing, through the designated email, or by personally visiting the designated office. The Client agrees that neither Sapphire Broking nor the Exchanges shall be liable for non-execution or partial execution of any orders resulting from suspension, interruption, or malfunctioning of online or offline trading services, disruptions or congestion of communication networks, hardware or software issues, or failure of electronic trading systems beyond the control of Sapphire Broking or the Exchanges.
7. Client Not to Act on Representations of Agents or Employees: The Client acknowledges that Sapphire Broking has not authorized any agents, representatives, employees, or any other persons to make representations, give promises, assurances, warranties, undertakings, or commitments regarding returns on the Client's investments, whether in writing or otherwise, on behalf of Sapphire Broking.

8. Recording of Conversations: The Client acknowledges and agrees that Sapphire Broking may, in accordance with applicable laws, rules, and regulations of SEBI and the Exchanges, record conversations between the Client or the Client's representative and Sapphire Broking, whether conducted over the telephone or in person. Sapphire Broking may, either voluntarily or upon request by competent authorities, produce such recorded conversations, their transcripts, or both, as valid evidence of the contents of the recorded communication.
9. Confidentiality of Client Details: Sapphire Broking may disclose Client information to any person or entity as required under applicable law, or to any broker's association or similar organization in the event of a dispute, for the purpose of facilitating an informed decision. The Client agrees and consents to the disclosure by Sapphire Broking to any person or entity, including but not limited to independent third parties, entities within the Sapphire Broking Group (whether in or outside India), or credit bureaus, of any information or data relating to the Client or the Client's trading account with Sapphire Broking. Such disclosure may be made for purposes connected with current or proposed initiatives, including but not limited to marketing or cross-selling initiatives, business proposals, activities, facilities, or services availed of, or to be availed of, by the Client in the future.
10. The Client agrees that Sapphire Broking may appoint agents or engage credit bureaus to perform activities mentioned in, or related to, the rendering of its services, and hereby consents to the sharing of the Client's account-related information and any reports issued by such credit bureaus with such parties for various regulatory and other lawful purposes.
11. Disclosure as to Proprietary Trades by Sapphire Broking: Sapphire Broking may execute proprietary trades in addition to trades carried out on behalf of its clients.
12. Severance: If any one or more of the terms and conditions contained in this document are found to be invalid, illegal, or unenforceable under any applicable law, the validity, legality, and enforceability of the remaining provisions shall not in any way be affected or impaired.
13. No Waiver: No forbearance, relaxation, or inaction by any party in requiring the performance or discharge of any obligation by the other under this document shall in any way affect, diminish, or prejudice that party's right to require such performance or discharge at any time, or to require the performance or discharge of any other obligations under this document. No waiver of any rights shall be effective unless specifically agreed to in writing.
14. Notices:
All notices or communications issued by Sapphire Broking shall be served on the Client in one or more of the following ways, at the Client's ordinary business address, ordinary place of residence, and/or last known address:
- 14.1. (a) by ordinary post or (b) by registered post or (c) by express delivery post or (d) by SMS on the registered mobile number or by telephonic call or (e) by affixing it on the door at the last known business or residential address or (f) by oral communication to the Client or on the last known telephone number, or by leaving a message on the recording device of such number or (g) by advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the Client is located or (h) by publishing it on the website of Sapphire Broking, where a secured login ID and password have been provided to the Client or (i) by posting it on the notice board of the Exchange if no address is known or (j) by electronic mail or fax or (k) by hand delivery, courier, or any other approved mode of communication permitted under applicable laws.
- 14.2. Notwithstanding anything stated above, communications relating to orders, margins, maintenance calls, and other similar matters in the ordinary course of dealings between Sapphire Broking and the Client may be made orally.
15. Electronic Contract Note (ECN):
- 15.1. The Client agrees to receive contract notes in electronic or digital form (ECN), authenticated by means of a digital signature, in lieu of physical contract notes, through email. For this purpose, the Client authorizes Sapphire Broking and provides the email address(es) at which the ECN should be sent.
- 15.2. The Client shall access and verify the ECN and all information contained therein. In case of any discrepancy, the Client shall inform Sapphire Broking either in writing or via email within a reasonable time of receiving the same. Sapphire Broking shall also publish the Contract Note on its website (**www.sapphirebroking.com**) or any other designated location specified by Sapphire Broking from time to time. The Client will be issued a login ID and password to access their account and view, save, or print the ECN. If the Client experiences any difficulty in opening the ECN, Sapphire Broking may, upon being advised by the Client, make the Contract Note available by another means (such as email, electronic mail attachment, downloadable link from the back-office website, or delivery of a hard copy). Failure by the Client to inform Sapphire Broking of such difficulty shall be deemed as valid delivery and viewing of the document by the Client.
16. Electronic Transmission of Other Documents: The Client who has opted for ECN agrees that Sapphire Broking may transmit to the Client any statements, documents, or intimations including, but not limited to, Margin Statements, Statements of Funds and Securities, margin and maintenance calls, and other notices or communications mandated by SEBI, Stock Exchange, or Depository, in electronic mode either to the email ID designated for delivery of ECN, to the Client's registered mobile number, or to both. In case of non-receipt, bounced email, or non-delivery of SMS notifications, Sapphire Broking shall be deemed to have fulfilled its obligation to deliver such documents. Any discrepancies in these documents should be brought to the notice of Sapphire Broking within a reasonable time from the date of issuance, failing which the documents shall
- 14.1. (a) by ordinary post or (b) by registered post or (c) by

be considered a true and correct record of the transactions stated therein.

17. Electronic Payment Gateway for Net Banking Services: Sapphire Broking may provide, on its internet trading website and without additional cost to the Client, access to Electronic Payment Gateways offered by various banks for facilitating the transfer of funds from the Client's bank account to the Client's account with Sapphire Broking. The Client understands that Sapphire Broking is only providing access to the electronic fund transfer facility made available by the Client's banker through Sapphire Broking's website via an interface, and is not liable or responsible for the proper functioning of the Gateway, or for any transaction errors, losses, malfunctioning, hacking by unscrupulous elements, frauds, or any incidental or consequential claims arising therefrom. The Client undertakes not to make Sapphire Broking a party to any litigation, claim, dispute, difference, or complaint that the Client may initiate in respect of, or arising out of, any transactions on the Gateway. The Client further agrees that Sapphire Broking's liability shall at all times be limited to the amount actually received in its account by electronic transfer from the Client's account with the bank.

18. Internet / Wireless Technology based Trading facility:

18.1. Sapphire Broking offers internet and mobile trading facilities for transactions in securities on the concerned Exchanges, including facilities for online application of IPOs, FPOs, NFOs, Bond issues, or any other issues of securities, as well as services to apply for, purchase, redeem, sell, buy back, or otherwise deal in units of Mutual Funds (hereinafter referred to as "the Internet/Wireless Trading System") through Exchange-approved software. The Client can route orders to Sapphire Broking via internet, mobile, laptop with data card, or any other device that uses internet protocol for purchasing, selling, and dealing in securities. The Client may avail of such trading facilities provided by Sapphire Broking by completing the prescribed formalities.

18.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of three months, or such other period as Sapphire Broking may notify, the facility may be deactivated without prior notice. The Client shall be required to complete the prescribed formalities for reactivation. However, trades can still be executed at any time by placing orders offline with the concerned branch of Sapphire Broking.

18.3. The Client understands and agrees that Sapphire Broking offers different Internet Trading/Wireless Trading software products approved by the Exchanges, and the Client shall be allotted such product as chosen by them. The Client further understands and agrees that, depending on their trading activity, Sapphire Broking shall have the exclusive right and discretion to change the product version allotted and provide a different version of the Internet Trading/Wireless Trading facility.

18.4. Orders of Client Subject to Review by Sapphire Broking: The Client agrees that Sapphire Broking may, if it suspects any transaction, review any order placed by

the Client. Such review may cause delays in processing the order or may result in its rejection.

19. Extraordinary Events and Termination/Suspension of Trading Facility:

Sapphire Broking shall not be liable for any losses caused, directly or indirectly, by government restrictions, exchange rulings, suspension of trading, system or communication failures, natural disasters, accidents, power outages, equipment or software malfunctions, connectivity issues, network congestion, software errors, reduced processing speeds, strikes, or any other circumstances beyond its control that result in non-execution, partial execution, or incomplete execution of orders, and any resulting financial loss. In the event of any such extraordinary occurrence, Sapphire Broking may, at its discretion, terminate, discontinue, or temporarily suspend the trading facility provided to the Client without prior notice.

20. Amendments to the Terms and Conditions:

Sapphire Broking reserves the right to amend these terms and conditions by adding, deleting, modifying, or varying any provisions by giving the Client 15 days' prior notice (except in respect of Stamp Duty, GST, Education Cess, and other statutory levies, for which Sapphire Broking shall provide 30 days' prior notice or such other period as permitted under applicable law). If the Client does not raise any objections to the revised terms and conditions within 15 days of receiving such notice, the amendments shall be deemed accepted and binding on the Client. The latest terms and conditions, including any amendments, are available on the company's website: <https://www.sapphirebroking.com/>

21. Mutual Fund Service System Facility / BSE Star MF: The Client is registered with Sapphire Broking and has completed the Know Your Client (KYC) process along with other necessary documentation for trading in the securities market on a recognized Stock Exchange ("Exchange"). If the Client opts to deal in units of Mutual Fund schemes permitted to be traded on SEBI-recognized Stock Exchanges ("Mutual Fund Transaction Facilities"), the KYC details submitted for stock broking purposes shall be used for Mutual Fund transactions as well. The Client agrees to abide by all applicable terms and conditions mentioned in the relevant Exchange circulars, as amended from time to time. The Client shall also comply with the requirements prescribed by the Securities and Exchange Board of India (SEBI) and the Association of Mutual Funds in India (AMFI). The Client must read and understand the Scheme Information Document, Key Information Memorandum, and any addenda issued for each Mutual Fund scheme they choose to subscribe to or redeem, and shall adhere to the respective terms, conditions, rules, and regulations. The Client confirms having read and understood the terms and conditions for using the Mutual Fund transaction facility as provided in the KYC handout (Customer Copy). The Client acknowledges their right to transact directly with the Asset Management Company (AMC) without using the distributor's name at any time for folios tagged with a distributor code. The Client authorizes Sapphire Broking, in its capacity as a mutual fund distributor, to communicate with AMCs on their behalf for both financial and non-financial transactions, including

the receipt of investment details from the AMC.

22. Dispute Resolution & Arbitration: The parties agree that all claims, differences, or disputes between them—arising out of or in connection with this mandatory and voluntary client/registration document, or any dealings and transactions made subject to the Bye-laws, Rules, and Regulations of the Exchanges—shall be referred to arbitration in accordance with the provisions of the Arbitration and Conciliation Act, 1996, and the Bye-laws and Regulations of the concerned Exchange. However, arbitration, grievance redressal mechanisms, or investor protection schemes of the Exchanges or SEBI shall not be applicable where such claims, differences, or disputes exclusively arise from, or relate to: Contracts entered into, Transactions carried out, Schemes, leagues, or competitions joined, Other arrangements or understandings reached, or Relationships established by the Client with a group concern or associate of Sapphire Broking, or any third parties, and where the Bye-laws, Rules, and Regulations of the Exchange are not applicable. The Client understands and agrees that any application for invoking arbitration, grievance redressal mechanisms, or investor protection schemes of the Exchange in such cases shall be liable to dismissal.

23. Setting up of Exposure Limits:

23.1. Trading Limits & Collateral

Sapphire Broking may grant trading limits to the Client based on the margin available to the Client in the form of funds, securities, bank guarantees, or fixed deposit receipts. At its sole discretion, Sapphire Broking may refuse to accept certain securities as collateral or margin. A list of acceptable securities for collateral/margin will be published from time to time.

When determining the Client's exposure limits, Sapphire Broking may consider factors including, but not limited to: the Client's risk profile, risk appetite, loss-bearing capacity, payment history, market volatility, and its internal risk management policies. Sapphire Broking reserves the right to revise the Client's trading or exposure limits at any time, based on its risk assessment and changes in market conditions or other relevant factors affecting the Client's risk profile.

23.2. Limitation of Liability on Exposure or Turnover

Neither Sapphire Broking, nor any of its affiliates, nor their respective directors, officers, employees, or agents shall, under any circumstances, be liable for any direct or indirect loss, cost, liability, expense, or damage (including, without limitation, all legal fees and expenses) arising from any variation, reduction, or withdrawal of exposure or turnover limits by Sapphire Broking.

24. Client to Maintain a Mobile Connection: The Client agrees to maintain an active mobile connection as a pre-condition for opening and operating an account with Sapphire Broking. The Client further undertakes to promptly notify Sapphire Broking whenever a new mobile number is obtained to replace the one previously provided.

25. Aggregation of Open Market Positions by the Exchange: The Client agrees that if the Exchange directs or advises Sapphire Broking to reduce the Client's exposure in any outstanding open interest in a contract—whether due to the Client's individual market exposure or the combined exposure of related parties—because it exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of Sapphire Broking, then Sapphire Broking may square off the Client's open market positions in such contract as directed by the Exchange. The Client further agrees that, although Sapphire Broking may make reasonable efforts to inform the Client of such a direction from the Exchange, it is under no obligation to do so or to obtain the Client's consent prior to squaring off positions under this clause. Any losses arising from such squaring off shall be borne entirely by the Client.

26. Payment of Full Contract Value: The Client agrees to pay Sapphire Broking the full contract value for all open buy positions—excluding both-side option contract positions—after deducting any free surplus funds already available with Sapphire Broking. This payment must be made one day prior to the commencement of the tender period for the respective contract. If that day is a bank holiday, payment shall be made on the immediately preceding bank working day. If the Client defaults on this payment obligation, Sapphire Broking, at its discretion, may square off all or part of the Client's open positions. Any and all losses arising from such square-off shall be solely borne by the Client.

27. Execute / Self / Wash / Match trades: Orders of buy and sell placed at such rates and which such time intervals / frequencies, and particularly in contracts considered illiquid, may be rejected or cancelled by Sapphire without prejudice to its other rights to impose penalty on the client and/or deregister the client. Sapphire may also report such instances to the Exchange or the Regulator for appropriate action at their end.

28. . Use of services of Authorised Person:

I/We hereby authorize Sapphire Broking to disclose details of my/our account, as provided in the account opening form, supporting documents submitted, and/or any other information related to my/our account, including trades/transactions carried out through my/our account, to the Authorised Person or such agents, by whatever name they are called, affiliated with Sapphire Broking.

If the Authorised Person is registered with the Exchange, I/We authorize Sapphire Broking to grant access and/or permit the Authorised Person all rights as per the applicable regulatory provisions, including any amendments issued from time to time.


If the Authorised Person is a Mutual Funds certified individual, hereinafter referred to as an *Independent Financial Provider for Mutual Fund (IFPMF)*, I/We authorize Sapphire Broking to grant access and/or permit the IFPMF to view all trades and transactions carried out through my/our account and to share details of such trades and transactions, enabling the IFPMF to track my/our investments and provide necessary assistance accordingly.

29. The Client hereby agrees and grants Sapphire Broking and its group companies unconditional and express consent to use, access, disclose to, store, and share with any third parties the information (whether sensitive, personal, proprietary, or otherwise) provided by the Client. This may be done for processing, storage, or any other purposes deemed appropriate by Sapphire Broking and its group companies, including for the purpose of providing services. If the Client wishes to revoke this consent, in part or in full, they must provide prior written notice to support@sapphirebroking.in. Upon receipt of such notice, Sapphire Broking and/or its group companies shall cease using, processing, or retaining such information within the timelines prescribed under applicable laws. Notwithstanding the above, Sapphire Broking and/or its group companies retain the right to store or disclose such information to any regulatory, statutory, judicial, governmental body, or exchange, as required under applicable laws.

I/We hereby state & confirm that I have read & understood the terms & conditions as mentioned above & agree to abide by the same.

Date: ____ - ____ - _____

Place: _____



Client Signature

NOMINEE OPT IN/ OPT OUT DECLARATION FOR INDIVIDUALS

I / We, the undersigned Client(s), hereby acknowledge that I / We have been informed about the facility of **nomination** in respect of my / our trading and demat account(s) as per the applicable rules, regulations, circulars, and guidelines issued by **SEBI and the Stock Exchanges / Depositories** from time to time.

I / We hereby declare as under:

Opt-In for Nomination

I / We wish to register a nominee for my / our account(s). I / We understand that the nomination details are required to be provided in the nomination form available on the next page. I / We agree to submit complete and accurate nominee details as prescribed.

Opt-Out of Nomination

I / We do **not** wish to nominate any person for my / our account(s) at present. I / We understand that opting out of nomination is my / our voluntary decision and that I / We may register or change nomination details at any future date by submitting the requisite request as per the prescribed procedure.

Client Acknowledgement

I / We confirm that the above choice has been made by me / us voluntarily and without any coercion. I / We further understand that this declaration shall remain valid until modified by me / us in writing.

Client Name: _____

Client Code: _____

PAN: _____

Date: ____ - ____ - _____

Place: _____



Client Signature

NOMINATION FORM FOR DEMAT ACCOUNTS AND MUTUAL FUND (MF) FOLIOS

Client Name		Trading Code		DP ID		Client ID	
-------------	--	--------------	--	-------	--	-----------	--

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

Nominee Details

Mandatory Details		Nominee 1	Nominee 2	Nominee 3
	Nominee Name			
	Share of nominee (%)**			
	Relationship			
	Postal Address			
	Mobile Number & Email			
	Identity Number***			
Additional Details	D.O.B. of nominee			
	Guardian			

*Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion. The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – having nominee	Legal heir (s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor
- Guardian: It is optional for you to provide, if the nominee is minor.

- 1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me / us by the AMC / DP as follows; (please tick, as appropriate)
 - Name of the Nominee Nomination: Yes/ No
- 2) I hereby authorize _____ (nominee number ____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account / folio or Rs. _____. (Optional) (strike off portions that are not relevant)
- 3) This nomination shall supersede any prior nomination made by me / us, if any.
- 4) Signature(s) – As per the mode of holding in demat account(s) / MF folio(s)

Name (s) of holder(s)	Signature (s) of holder thumb impression	Signature of two witnesses*	Name of Witness & Add (wherever applicable) *
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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

RIGHTS, ENTITLEMENT AND OBLIGATION OF THE INVESTOR AND NOMINEE:

1. If you are opening a new demat account / MF folio, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
2. You can make nomination or change nominee any number of times without any restriction.
3. You are entitled to receive acknowledgment from the AMC / DP for each instance of providing or changing nomination.
4. Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
5. In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
6. You have the option to designate any one of your nominees to operate your account / folio, in case of your physical incapacitation, at any point of time and not just during opening of account / folio. This mandate can be changed any time you choose.
7. The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
 - 7.1 'Either or Survivor' Folios / Accounts - any one of the holders can sign
 - 7.2 'First holder' Folios / Accounts - only First holder can sign
 - 7.3 'Jointly' Folios / Accounts - all holders have to sign

TRANSMISSION ASPECTS

AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updating of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.

In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.

Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

OFFICE USE ONLY

(To be filled by Depository Participant)

DP ID		Client ID	
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Nomination form accepted and registered vide Registration No.: _____

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

Employee Signature

ACKNOWLEDGMENT RECEIPT

APPLICATION NO		Date	
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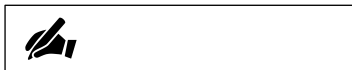
We hereby acknowledge the receipt of the Account Opening and Nomination Application Form: This nomination shall supersede any prior nomination made by the account holder (s), if any.-

Consent for sharing Aadhaar Details with SEBI/KRA Agencies.

To
 Sapphire Broking
 Regd. Office: Appt. 202, Second Floor, House No. 6616/A/7,
 Samadhan Tower, Plot No. 7, Sadbhawana Nagar,
 Manewada Rd, Nagpur, Maharashtra – 440027

I/We understand that Sapphire Broking is in the business of providing trading services for buying/selling of securities to its clients. I/We am/are desirous for opening of Trading and Demat account with Sapphire Broking and hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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. I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.

Name: _____



(First/Sole holder)



(Second holder)



(Third holder)

Place: _____

Date: _____

PLEASE TICK WHICHEVER IS APPLICABLE

A. CLIENT DECLARATION - OPEN INTEREST POSITION

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same. I/ We hereby declare and undertake that I/ we will not exceed the position limits prescribed from time to time by Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time. I/We undertake to inform you and keep you informed if I / any of our partners / directors I Karta I trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such person is a partner / director I Karta

I trustee, takes or holds any position in any commodity forward contract I commodity derivative on Exchanges through or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time. I / We confirm that you have agreed to enter order in commodity forward contracts I commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking. I/We further undertake to bear any liable/penalty/charges levied by Commodity Exchanges/SEBI.

B. CONSENT TO INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)

Retention statement –Clause -- I / We request you to maintain my/our accounts for funds on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a payout of available free funds in the account. You may settle the accounts at Monthly/Quarterly (as opted in the account opening form) or at such other intervals as SEBI/ Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Exchanges/SEBI from time to time or

towards other unbilled services and/or charges applicable on my account, while settling the accounts.

I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

C. CONSENT FOR ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION (VOLUNTARY)

I, _____, Client Code _____

PAN _____, registered with you as a client of NSE, BSE, and MCX, undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all trades carried out/ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is _____ (the email id must be written in own handwriting). This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- In the event of the Contract notes (ECN) not received by me/us in electronic mode due to the mail bouncing/failure of email servers, loss of connectivity etc. I/we agree to acknowledge the receipt of Contract Notes in physical mode, provided such Contract Notes are received by me/us within the time specified by regulatory authorities. In case you do not receive intimation of the mail bouncing, the same will be construed as my/our confirmation to the receipt of Contract Notes (ECN) in electronic mode and you will not be required to send the Contract Notes in physical mode. In this connection, I/we hereby confirm that I/we am/are agreeable to receive Contract Notes in digital mode on my/ us under mentioned email id.

I/We understand that I/we am/are required to intimate any changes in the e mail id mentioned above needs to be communicated by me/us.

[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

Verification of the client signature done by,

**Authorised Signatory
of Member**



**Designation:
Date:**

Client Signature



**Date:
Place:**

Policy on Handling of Good till Cancelled Orders of Client.

The GTT feature allows you to place a limit order, at the limit price selected by you (the order price) and a trigger price (the trigger price), only when the trigger price is met, your GTT order will be sent to the Exchange for execution at the order price. In case the order is triggered on any day and the order price is not exactly met; all such orders will be automatically cancelled and removed from the GTT queue at Sapphire Broking at the end of trading session on the same day. All GTT orders triggered and sent to the Exchange, if not executed for any other reasons on the same day, will also be automatically cancelled. You will need to place the same GTT orders again.

- All GTT orders that do not meet the trigger price in 365 days shall be cancelled. 365 days shall be counted as consecutive calendar days from the date of placing the orders
- In case there is a change in exchange series or any corporate actions, such as; splits, bonuses, dividends, merger, reverse mergers, amalgamations, takeover, delisting, rights issue, etc. where there is a significant impact/change in the scrip price, the GTT will be cancelled at the sole discretion of Sapphire Broking, one day prior to the Ex-date of such corporate action effect taking place on the stock price
- We shall also provide an intimation to the clients about the upcoming corporate actions at least 5 days prior to the Ex-date of corporate action.



(First/Sole holder)



(Second holder)



(Third holder)

Place: _____

Date: _____

FATCA/ CRS Declaration/ SELF DECLARATION - INDIVIDUAL

		First/ Sole Holder	Second Holder (if any)	Third Holder (if any)
Client Code:			NA	NA
Demat Account No.				
1.	Indicate (✓) your Tax Residency / Citizenship / Nationality	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others
If ticked on "Others" and/or "U.S.A", please provide all details under point no. 2,3,4,5 below:				
2.	Specify City and Country of Birth			
3.	Specify Country(ies) of Tax Residency/ Citizenship / Nationality / Green card holder, other than India			
4.	Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)			
5.	Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others

DECLARATION

I / We hereby declare, agree and confirm the following:

1. The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Sapphire Broking within 30 days, in case of any change in the above given status on a future date;
2. If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by Sapphire Broking to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/ CRS norms are applicable or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;
3. If my / our Country of Birth is US, however, I / We declare that I/ We are not US Person, I / We shall provide a certificate of relinquishment of citizenship (Loss of nationality) OR a self-certification stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

(First/Sole holder)

(Second holder)

(Third holder)

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LEFT BLANK ON PURPOSE

Our Services:

- Equities
- Derivatives
- Commodities
- Mutual Fund
- IPO's
- Online Trading

(For Head Office Use Only)

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Sapphire Broking

Regd. Office: Appt. 202, Second Floor, House No. 6616/A/7, Samadhan Tower, Plot No. 7, Sadbhawana Nagar, Manewada Rd, Nagpur, Maharashtra – 440027

SEBI Registration No.: INZ000329823 • AMFI Registration No.: ARN-333966 • BSE Registration No.: 6957
NSE Registration No.: 90481 • MCX Registration No.: 57565

Tel: 0712-2996300 • Email: support@sapphirebroking.com
Website: www.sapphirebroking.com