

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

Sr. No.	Name of the document	Brief significance of the document	Page No.
MANDATORY DOCUMENTS			
1	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/checklist.	5
2	Trading Account related details	Details of trading account related details of clients like Bank Account, Income details etc..	6
3	Nomination Details	Annexure A: Nomination Form. Annexure B: Declaration form for opting out of Nomination.	10
4	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	15
5	Policies and Procedures	Document describing significant policies and procedures for client dealings	16
6	FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	21
7	Most Important Terms and Conditions (MITC)	Most Important Terms and Conditions for clients having Trading account with MarketWolf Securities Private Limited.	22
8	Rights and Obligations	Document stating the Rights & Obligations provided to the client	23
9	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market – provided to the client	23
10	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors – provided to the client	23
VOLUNTARY DOCUMENTS			
11	Contract Notes & other documents	Document stating details to issue Contract Note & other documents in Digital Format and Consent to debit the trading account.	24
12	Authorization from Clients	Document stating authorization from client for issue of demat statement and authorization for maintenance of accounts on Running account basis	25
13	Acknowledgment Letter	Contains various authorization and standing instructions given by Client	26
14	Financial Status and PMLA	Financial Status and Other Details as per Prevention of Money Laundering Act, 2002 (PMLA)	27
15	Investor Charter	Document detailing the services provided to Investors, Rights of Investors, various activities of stock brokers with timelines, Dos and DON'Ts for Investors and Grievance Redressal Mechanism.	29

Membership Details

Name of Trading Member	MarketWolf Securities Private Limited (formerly known as FNO India Securities Pvt. Ltd.)
SEBI Registration Number & Date	SEBI Registration No.: Stock Broker -INZ000228534 dated February 28, 2019 Depository Participant (DP) - IN-DP-624-2021 dated September 14, 2021
Trading Member Details	NSE Trading Member Code: 90166 - CM, FO, CD Segment BSE Trading Member Code: 6799 - CM, FO, CD Segment MCX Trading Member Code: 56840 - CO Segment
Clearing Member Details	SMC Global Securities Ltd. NSE CM ID: M50504 MCX CM ID: 8200 BSE CM ID: 470
Registered Office Address	MarketWolf Securities Private Limited Aston Building, 10th Floor, Lokhandwala Complex, Andheri (W), Mumbai 400053 Ph. No.: +91 8591308916
Compliance Officer	Mr. Thomas Joseph Email: regcompliance@marketwolf.com Ph. No.: +91 8591308916
Website	www.marketwolf.com
<p>For any grievance/dispute please contact stock broker MarketWolf Securities Private Limited at the above address or email id- support@marketwolf.com and Phone no. +91 8591308916. In case you are not satisfied with the response, please contact National Stock Exchange of India Limited at ignse@nse.co.in and Phone no. 1800220058 and/or Multi Commodity Exchange (MCX) at grievance@mcx.com or Phone no. 022-67318888. You can also lodge your grievances with SEBI at http://scores.gov.in. For any queries, feedback or assistance please contact SEBI office on toll free help line at 1800227575 / 18002667575. MarketWolf Securities Private Limited is also doing proprietary trading in cash and derivative segment in NSE, MCX and BSE.</p>	

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS

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

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/ Scheduled Co-Operative Bank/ Multinational Foreign Banks/ Gazetted Officer/Notary public/ Elected representatives to the Legislative Assembly/ Parliament/ Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government

and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.

7. For FII/sub account, Power of Attorney given by FM/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.

D. EXEMPTIONS/CLARIFICATIONS TO PAN (*Sufficient documentary evidence in support of such claims to be collected.)

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

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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

F. ADDITIONAL DOCUMENTS FOR TRADING IN DERIVATIVES SEGMENTS

Copy of ITR Acknowledgement (latest)	Copy of Annual Accounts
In case of salary income - Salary Slip (last 3 Months), Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of Assets.	Self-declaration with relevant supporting documents

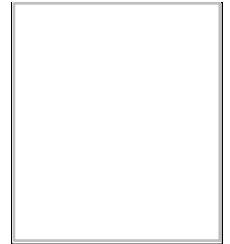
In respect of other clients, documents as per the risk management policy of the stock broker need to be provided by the client from time to time.

KNOW YOUR CLIENT (KYC) APPLICATION FORM
(For Individuals Only)

KYC Mode: ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline KYC
☐ Digilocker

A. IDENTITY DETAILS

1. Name of the Applicant (same as ID Proof): _____
2. Father's/ Spouse Name: _____
3. Gender: ☐ Male ☐ Female ☐ Transgender
4. Marital Status: ☐ Single ☐ Married ☐ Others
5. Date of Birth: _____
6. Nationality: ☐ Indian ☐ Others
7. Residential Status: ☐ Resident Individual ☐ Non-Resident Indian (NRI)
☐ Foreign National ☐ Person of Indian Origin
8. PAN: _____
9. Specify the proof of Identity submitted: _____



B. ADDRESS DETAILS

10. Address for Correspondence:

City/Town/Village _____ District _____

Pin Code _____ State _____ Country _____

Address Type: ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office
☐ Unspecified

11. Permanent Address (if different from above):

City/Town/Village _____ District _____

Pin Code _____ State _____ Country _____

Address Type: ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office
☐ Unspecified

There is no change in the above-mentioned address - ☐ Yes ☐ No

12. Proof of Address: _____

13. Unique Identification Number (UID): _____

14. Expiry Date (dd-mm-yyyy): _____

15. Contact Details:

Mobile No.: _____ Email Id: _____

TRADING ACCOUNT RELATED DETAILS

A. PRIMARY BANKING ACCOUNT (DIVIDEND BANK DETAILS)

Bank Name			
Branch Address			
Bank Account Number			
IFSC Code		MICR	
City		State	
Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE/NRO <input type="checkbox"/> Other If Others, please specify _____		
Instructions for Bank Account Verification: (in case verification via Penny Drop is not supported by the Bank) 1. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) 2. Photocopy of the Bank Statement having name and address of the Branch Office, (or) 3. Photocopy of the Passbook having name and address of the Branch Office, (or) 4. Letter issued by the Bank In case of options (2), (3) and (4) above, IFSC code of the branch should be present / mentioned on the document.			

B. OTHER DETAILS

Gross Annual Income Details: Income Range per annum:

<input type="checkbox"/> Up to Rs 1 Lac	<input type="checkbox"/> Rs 1 to 5 Lacs	<input type="checkbox"/> Rs 5 to 10 Lacs
<input type="checkbox"/> Rs 10 Lacs to 25 Lacs	<input type="checkbox"/> Rs 25 Lacs to 1 Crore	<input type="checkbox"/> More Than Rs 1 Core

Occupation:

<input type="checkbox"/> Public Sector	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Business	<input type="checkbox"/> Professional
<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student	<input type="checkbox"/> Others

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	Email ID:
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

C. 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 & MSEI				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, please mention here _____.					

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole-time directors/authorized persons in charge of dealing in securities during the last 3 years

E. CLIENT CATEGORISATION - COMMODITY WISE

☐ Foreign Participants ☐ Domestic financial institutional investors ☐ Others

F. ADDITIONAL DETAILS

1. Whether you wish to avail of the facility of internet trading/ wireless technology:

☐ Yes ☐ No

2. Whether you wish to avail information/alert/SMS on the registered mobile number:

☐ Yes ☐ No

3. Are you a politically exposed person or related to a politically exposed person?

☐ Yes ☐ No

4. I/We would wish to avail the following facility: Basic Service Demat Account facility (BSDA)

☐ Yes ☐ No

5. Contract Note Preferences:

☐ Physical Contract Note ☐ Electronic Contract Note (ECN)

If ECN, specify your Email ID (same as mentioned above) _____

6. Number of years of Investment/Trading Experience: _____ Year(s)

G. CLIENT DEFAULTER DECLARATION

I _____ having PAN _____ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above-mentioned declaration/ statement is true and correct.

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 hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number / email address.
3. 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/DigiLocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.
4. I/We confirm having understood that CVL KRA will also validate our Email address and mobile number.
5. I/We confirm having read/been explained and understood the contents of the document on Policy and procedures of stock broker and tariff sheet.
6. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), Guidance Note 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 the stock broker's and Depository Participant's designated website & will be mailed to my specified email id as mentioned in KYC application form.
7. I am aware that, you are required to conduct verification of identification of your clients at the time of commencement of an account-based relationship which may include virtual in-person verification and comply with applicable laws in this regard.

	Name	Signatures
First/Sole Holder or Guardian (in case of Minor)		
Second Holder		
Third Holder		

Date_____

Place_____

Declaration for Name Mismatch

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per Income Tax Database	
Name as per Bank Proof	
Name as per Address Proof	
Name as per Income Proof	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information. I agree to indemnify and keep MarketWolf Securities Private Limited. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by MarketWolf Securities Private Limited for any act done or omitted to be done on the above declaration.

Date _____

Signature of the Applicant _____

NOMINATION DETAILS

Nomination Registration No. _____

Annexure A - Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021]

on Mandatory Nomination for Eligible Trading and Demat Accounts]

Date _____

UCC: _____

DP ID: _____

Client ID: _____

☐ I/We wish to make a nomination and do hereby nominate the following person(s) who are entitled to receive security balances and/or all the assets held in my / our account, particulars where of are given below, in the event of my / our death.

MarketWolf Securities Private Limited Aston Building, 10th Floor, Lokhandwala Complex, Andheri West, Mumbai 400053.			FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)		
SN	Nomination can be made upto Three nominees in the account		Nominee 1	Nominee 2	Nominee 3
1	Name of the nominee(s) (Mr./Ms.) *First Name Middle Name * Last Name				
2	Share of Each Nominee	Equally (if not equally, Please specify Percentage)	%	%	%
			Any odd lot after division shall be transferred to the first Nominee mentioned in the form.		
3	Relationship With the Applicant (if any)				
4	Address of Nominee(s): City / Place: State & Country: Pin Code:				
5	Mobile / Telephone No. of Nominee(s) #				
6	Email ID of nominee(s) #				

7	Nominee Identification Details # – [Please tick anyone of following and provide details of same] <input type="checkbox"/> Photograph & signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor.				
8	Date of birth {in case of Minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in Case of minor nominee(s) }			
10	Address of the Guardian of nominee: City / Place: State & Country: PIN Code:			
11	Mobile / Telephone no. of Guardian#			
12	Email ID of Guardian #			
13	Relationship of Guardian with nominee			
14	Guardian Identification Details # – [Please tick anyone of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
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.		
	Name(s) holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

(Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Note: This nomination shall supersede any prior nomination made by the account holder(s), if any.
Residual securities: in case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee.

Name and Signature of Holder(s)*

1. _____

2. _____

3. _____

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

Annexure B - Declaration Form for opting out of nomination
[Annexure B to SEBI circular No.SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

Date: _____

To,
MarketWolf Securities Private
Limited
Aston Building, 10th Floor,
Lokhandwala Complex,
Andheri West, Mumbai 400053

UCC: _____ DP ID: _____ Client ID: _____

First Holder Name: _____

Second Holder Name: _____

Third Holder Name: _____

☐ I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name and Signature of Holder(s)*

1. _____

2. _____

3. _____

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

FOR OFFICE USE ONLY

Application Type: ☐ New ☐ Update

KYC Number (Mandatory for KYC update request): _____

Unique Client Code: _____

Account Type: ☐ Normal ☐ Simplified (for low-risk customer) ☐ Small

Virtual In-person Verification Done ☐

Name of the Employee:

Designation:



Name of the Organization:

Signature:

Date:

Place:

VIRTUAL IN-PERSON VERIFICATION DETAILS:

Details	KYC Verification & Documents verified by	Virtual In-person Verification done by
Name of the Employee		
Employee Code		
Designation of the Employee		
Name of the Organisation		
Date		
Signature		

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

SIGNATURE OF THE AUTHORISED SIGNATORY

DATE

SEAL/STAMP



MarketWolf Securities Private Limited

TARIFF SHEET

To,
MarketWolf Securities Private Limited
Aston Building, 10th Floor, Lokhandwala Complex, Andheri West, Mumbai 400053.

Dear Sir/Madam,

I would like to subscribe to MarketWolf Securities Private Limited for a trading account and request MarketWolf Securities Private Limited to apply brokerage charges as mentioned and as per the terms and conditions of MarketWolf Securities Private Limited:

Sr. No.	Particulars	Tariff in Rs.
1.	Annual Maintenance	NIL
	Individual	NIL
	CM / Corporates / Other	NIL
2.	Account Closing Fee	NIL
3.	Account Opening Fee	Rs. 99 (incl. of GST)

MarketWolf:

1. The brokerage per order will be chargeable at Rs 19 (plus GST).
2. No other charges will be applicable to the client.

Terms and Conditions:

1. Other charges like STT, GST (Goods & Services Tax), Stamp duty, SEBI charges, Transaction Charges & other charges if any shall be levied as per the stipulation of the relevant authorities and hence subject to change from time to time. In addition to the above, charges may be levied on account of issue of Duplicate Reports / Statements, other Value Added Services and may be recovered from your account
2. Electronic contract notes are free. In case of any request for Physical Contract note, the Contract Note copies will be charged at Rs. 50 per contract note (for ECN clients) + Courier charges as applicable.
3. MarketWolf reserves the right to change the brokerage from time to time under intimation to the client.
4. Charges are subject to revision at the Company's sole discretion and any service not quoted will be charged separately.

Date_____

Signature of the Applicant_____

POLICIES & PROCEDURE FOR CLIENT DEALINGS

A. Refusal of orders/restrictions on trading in penny stocks and illiquid stocks:

We define penny stocks as those stocks where the market price is below or close to par, with the company financials being weak with indicators such as loss, accumulated losses, low sales revenue, low or negative net worth, signs of inactivity in the company, which are having very less value. MarketWolf may from time to time identify such stocks and put trading restriction on the trades in such penny stocks. In addition to these stocks MarketWolf may also include other stocks in the list of restricted stocks such as stocks in Z category, Trade to Trade Settlement or TS category, the scrips which are included in the list of illiquid scrips by the exchange/s or any other scrip which MarketWolf deem fit for the purpose of putting trading restriction.

The restriction on the above stocks may be as to the price, quantity or mode of placement of orders. Accordingly, MarketWolf reserves the right to disable certain scrips for trading on online trading facility/ Authorised Person/branch trading terminals or put quantity or price restrictions while putting trade orders. In such case, client may be allowed to place the trades subject to certain restrictions, through MarketWolf's centralized dealing desk after enhanced due diligence of the orders.

In case of clients using Internet trading facility, they may not find the scrip name or may not be able to place any order in the scrip, if such scrip is one of the restricted scrips.

The above referred restrictions are placed on the trading activities of the client as these stocks are exposed to price rigging and other market manipulative activities. Further, MarketWolf as a member of the stock exchanges is expected to have proper surveillance and monitoring mechanisms on the trading activities of their clients, particularly on penny and illiquid scrips.

Clients may note that MarketWolf shall have right to reject the orders placed by the Client and/or put circuit breakers to discourage trades getting executed at unrealistic prices from the current market price of the security or prohibit the Client from trading in illiquid securities which creates artificial liquidity or manipulates prices or to discourage Client from cross/ synchronized trading and MarketWolf shall not be liable for any loss arising out of non-acceptance or rejection of the Client orders for any such reason.

B. Setting up client's exposure limits:

MarketWolf may from time to time at its sole

discretion, impose and vary the limits on the orders that client can place through it (including but not limited to exposure limits, turnover limits, limits as to number, value and/kind of securities/ contracts in respect of which buy or sell orders can be placed). MarketWolf may need to vary or reduce the limits or impose new limits urgently on the basis of its risk perception and other factors considered relevant and MarketWolf may be unable to inform clients of such changes, variation, reduction or imposition in advance. The client agrees that MarketWolf shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the MarketWolf's trading system on account required by MarketWolf & / or exchange & / or SEBI. MarketWolf is entitled to vary the form (Le., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of funds instead of shares) & / or quantum & / or percentage of the margin & / or security required to be deposited / made available, from time to time.

The margin

/ security deposited by the client with MarketWolf are not eligible for any interest. MarketWolf is entitled to include / appropriate any / all payout of funds & / or securities towards margin / security without requiring specific authorizations for each payout. MarketWolf is entitled to transfer funds &/ or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by MarketWolf. The client also agrees and authorizes MarketWolf to treat / adjust his/ her / its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange. MarketWolf is entitled to disable/freeze the account &/or trading facility/any other service. facility, if, in the opinion of MarketWolf, the client has committed a crime/fraud or has acted in contradiction of the mandatory and voluntary client registration documents or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if MarketWolf so apprehends.

C. Applicable brokerage rate:

MarketWolf shall be entitled to charge brokerage at rate which shall be within the permissible maximum limit set by SEBI/ Exchanges from time to time.

The brokerage per order will be chargeable at Rs 19 (plus GST).

D. Imposition of penalty/interest on delayed payment:

MarketWolf requires all its clients to make the payment towards settlement obligation on or before the due date. In case of debit balance in cash segment, delayed payment charges will be levied on the client to deter them from delaying the payment in future. Clients are further required to make payment of margin towards their Derivatives segment exposure. While MarketWolf accepts approved securities as margin, however MarketWolf is not the beneficial owner of these securities and hence it is unable to pledge the same onwards to the exchange as margin and has to arrange for own funds/securities for payment of margin to the exchange for positions taken by the clients. Clients are requested to make upfront payment of margin in the form of funds to avoid charging interest in F&O segment. Accordingly, whenever clients provide securities margin (or there is shortfall in payment of securities margin) instead of margin in the form of funds towards exposure in F&O, MarketWolf reserves the right to charge interest on the debit balance lying in F&O segment. volatility, in the absence of the payment of the said instantaneous.

of any such variation, reduction or imposition of limits. Further MarketWolf may as risk containment measure at any time at its sole discretion and without prior notice, prohibit or restrict the client's ability to place the orders or trade in all of some of securities/ contracts through MarketWolf, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which MarketWolf may deem appropriate in the circumstances.

The client agrees that trade related losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

MarketWolf is required only to communicate/advise the parameters for the calculation of the margin/security requirements as rate(s)/percentage(s) of the dealings, through anyone or more approved means or methods such as post /speed post / courier / registered post /registered A.D /facsimile / email / voice mails /telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by

messaging on the computer screen of the client's computer; by informing the client through employees / agents of MarketWolf; by publishing /displaying it on the website of MarketWolf / making it available as a download from the website of MarketWolf; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast /newspapers advertisements etc.; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client. Once parameters for margin / security requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of security) on his / her / its own and provide the required / deficit margin / security forthwith as required from time to time.

The exposure limits are generally based on the availability of the margin in the client's account. Margin shall be collected in the form of funds and/or collaterals, as permitted under extant regulations of SEBI and stock exchanges after taking into account risk management policy and liquidity aspects.

The client is not entitled to trade without adequate margin/security and that it shall be his/her/its responsibility to ascertain beforehand the margin/security requirements for his/her/its orders/trades/deals and to ensure that the required margin/security is made available to MarketWolf in such form and manner as may be required by MarketWolf. If the client's order is executed despite a shortfall in the available margin, the client shall make up the shortfall immediately. The client further agrees that he/she/it shall be responsible for all orders (including orders that may be executed without the required margin in the client's account) &/or any trade related claim/loss/damage arising out of the nonavailability/shortage of margin /security. No ledger credit will be given for margin paid by the client in the form of securities.

Margins provided by the client in the form of funds shall be interest free and the MarketWolf shall not be liable to pay any interest on the same. Any amounts which are overdue from the Client towards trading either in the cash or derivative segments or on account of any other reason to MarketWolf will be charged Interest on delayed payment at the rate of 24% p.a compounded on monthly basis or such other rate as may be determined by MarketWolf. MarketWolf will directly debit the same to the account of the Client at the end of each month.

E. The right to sell clients' securities or close clients' positions, without giving notice to the client, on

account of nonpayment of client's dues (This shall be limited to settlement/ margin obligation/debit balance of client)

Without prejudice to other rights (including the right to refer a matter to arbitration), MarketWolf would be entitled to liquidate/close out without any notice all or any of the client's position for non-payment of margins or other amounts, outstanding debts etc. and adjust the proceeds of such liquidation/close out, if any, against the clients liability/ obligations. Any and all losses and financial charges on account of such liquidation/closing out shall be charged to and borne by the client.

MarketWolf will make attempts on reasonable basis to inform the client and give him reasonable time for payment. However, it will be the responsibility of client to track his margins/ obligations by going through margin statements sent to the client on daily basis.

The client shall be responsible to track his shortfall daily on real time and clear such shortfall, if any, arising in his account. Notwithstanding hereinabove, MarketWolf shall be entitled to liquidate/ close out all or any of the client's positions without any notice to the client during market hours in case the client fails to provide required margin and/or any other payment or if there is any substantial/complete erosion of margin due to volatility in the market. On substantial/complete erosion of margin due to any reason whatsoever, the decision of MarketWolf shall be final and binding on the client. MarketWolf may exercise all or any of the above rights in such manner as MarketWolf thinks appropriate, without demand for additional margin, security or collateral, or advance notice or advertisement, on any exchange or other market where such business can be transacted, at a public auction or by private sale and MarketWolf may be the purchaser

/ seller for its own account. The giving of any prior demand, call or notice shall not be considered as a waiver of the stockbroker's right to exercise its rights without any such demand, call or notice. The client agrees that in case of high market volatility, the stockbroker may require the client to pay instantaneous margins in addition to the margins that may have already been paid by the client as per margin calls. The client agrees that MarketWolf may be compelled to do so in such circumstances of market.

margins by the client, square-off all or any outstanding positions,

prevent any new orders from being placed and / or executed by the client or take such other action as MarketWolf thinks fit and proper. The client agrees that MarketWolf may in exceptional circumstances

be compelled to square-off all or any outstanding margin/ positions or prevent any new orders from being placed and / or executed by the client or take such other action as MarketWolf thinks fit and proper, even without calling for the payment by the client, of the aforesaid instantaneous margins by the client.

In case the payment of margin/security is made by the client through a bank instrument, MarketWolf shall be at liberty to give the benefit/credit for the same only on completion of bank reconciliation and realization of the fund from the said bank instrument etc., at its absolute discretion. Where the margin/security is made available by way of securities or in any other acceptable form, MarketWolf is empowered to decline its acceptance as margin/security and/or to accept it at such reduced value as MarketWolf may deem fit by applying haircuts at the rate prescribed by Exchange or by valuing it by marking it to market or by any other method as it may deem fit in its absolute discretion.

MarketWolf has the right but not obligation, to cancel all pending orders and to sell/close/liquidate all open position/securities/ shares at the pre-defined square off time or when mark to market percentage reaches or crosses stipulated margin percentage, whichever is earlier. MarketWolf will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. The client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

F. Shortages in obligations arising out of internal netting of trades:

MarketWolf shall not be obliged to deliver any securities to the client unless and until the same has been received by MarketWolf from the exchange, the clearing corporation/clearing house or if the corresponding client, due to whom the internal netting of the scrip resulted, fails to give the delivery. MarketWolf as member of the exchange delivers/receives securities to/from the clearing corporation on net obligation basis in respect of a settlement. In such a process, if a client, who has sold securities, short delivers the securities, which are to be delivered to another client of MarketWolf, who has bought the same security, it is treated as internal shortage of securities.

In case of internal shortages on pay in day, MarketWolf will endeavor to buy the shares from the market on the pay in day or on the next working day on behalf of the client who has delivered short and deliver the same to the client who has bought them. The client who has delivered short will be debited with the rate at which the shares were purchased or

the rate at which the said shares were sold by him, whichever is higher. In case MarketWolf is unable to buy the securities as stated above, the transaction shall be closed-out.

G. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client:

We have margin based RMS System. Client may take exposure up to the amount of margin available with us. Client may not be allowed to take position in case of non-availability/ shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin / non making of payment for their pay-in obligation / outstanding debts.

H. Temporarily suspending or closing a client's account at the client's request:

A client can request for temporary suspending or for permanently closing his account. For permanent closure, client has to give a notice of one month and clear the dues, if any, in his account. Client account may be suspended by the company at any time:

1. On directions received from any regulatory authorities.
2. If client is not responding to the queries raised by the company related to his trade activities.
3. If there is not a single active demat account linked to trading account.
4. Due to any other non-compliance observed in the account.

I. Deregistering a client:

Notwithstanding anything to the contrary stated in the arrangement, MarketWolf shall be entitled to terminate the arrangement with immediate effect in any of the following circumstances:

- i) If the action of the client is prima facie illegal improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities either alone or in conjunction with others;
- ii) If there is the commencement of any legal proceedings against the client under any law in force;
- iii) On the death/lunacy or other disability of the client;
- iv) If the client being a partnership firm, steps taken by the client and/or its partners for dissolution of the

partnership;

- v) If the client suffers any adverse material change in his/her/ its financial position or defaults in any other/arrangement with MarketWolf;
- vi) If there is reasonable apprehension that the client is unable to pay its debts or the client has admitted its inability to pay its debts, as they become payable;
- vii) If the client is in breach of any terms, condition or covenant of this arrangement;
- viii) If the client has made any material misrepresentation of facts, including (without limitation) in relation to the security;
- ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the client;
- x) If the client has taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- xi) If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board of Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- xii) If the covenant or warranty of the client is incorrect or untrue in any material respect;
- xiii) On the order from the appropriate authority;
- xiv) In accordance with the provisions of arrangement entered into with the client.

J. Policy on inactive (dormant) Account:

In order to protect the account of customer, MarketWolf will deactivate the trading accounts of the client, which are identified as "Dormant" on the date of review. Dormant account will be the account where there has been no trade for more than 12 months across all exchanges. Clients will be given advance 30 days' notice before deactivation of the account. In case any client requests for keeping the account active, deactivation of account will be withheld. Once the account is deactivated, the customer will not be able to place any orders in any trade segments. Client can get his account reactivated by completing a full re-KYC in our mobile application, including but not limited to re-submission of relevant financial proof.

K. Penal charges that may be debited to the

Client's account:

MarketWolf reserves the right to debit the client's ledger for any penal charges that may be charged by the Exchanges/ depositories on MarketWolf on the client level for any default/ violation of Exchange guidelines / requirements occurring due to omission or commission of any act on the part of the client.

This may include penalty for: -

- Short delivery of securities - Shortfall in margin payment
- MarketWolf shall have the right to recover such charges like any other trade dues payable by the client and recover the same by selling his securities.

L. Third party funds and securities:

In accordance with SEBI circular dated August 27,2003, MarketWolf requires all its clients to make payout of funds and securities from the account held in their name towards their settlement and margin obligation. Similarly, payout of funds will be made in client's name and securities will be transferred only to demat account held in client's name and registered with MarketWolf. Proofs regarding account being held in client's name i.e. copy of cheque book/bank statement in case of funds and copy of DP master in case of securities needs to be provided by the client. Receipt of funds/securities will be accepted only from these accounts. Payment made from any other account will be treated as "third party". In no circumstance, third party funds and securities will be accepted

towards settlement and/or margin obligation. In case, MarketWolf observes that payment of funds or securities towards pay in/ margin obligation has been met from third party account, MarketWolf reserves right not to give credit of funds/ securities to client/reverse the credit given and return the same to the source account from where funds/securities were received. Client will be solely liable on account of any shortfall in meeting pay in/margin obligation in this regard. Wherever, client gives POA on demat account to MarketWolf, MarketWolf treats the securities lying in the account as securities margin.

Therefore, client needs to ensure that only securities belonging to the client are retained in the account and appropriate proof regarding purchase/gift etc. needs to be provided to MarketWolf. In absence of the same, MarketWolf reserves right to transfer the securities to source account from where securities were transferred to POA demat account. In case client transfers securities to POA account from third party account and sells the securities, MarketWolf reserves the right to withhold the payout till client obtains NOC from the account holder from whose account shares were transferred for sale.

Kindly note that the policy shall be updated and made available on the website of MarketWolf from time to time.

Date _____

Signature of the Applicant_____

FATCA-CRS for Individual Accounts

Details under FATCA and CRS (Please refer to instructions in small Booklet) (Please consult your professional tax advisor for further guidance on your tax residency, if required)

Name of the account holder: _____ PAN No: _____

Fathers Name: _____ Spouse's name: _____

Aadhaar number (Optional): _____ Nationality: _____

City of birth: _____ Country of birth: _____

Residence address for tax purposes (include City, State, Country & Pin code)

Address Type: _____

((a) Residential or Business (b) Residential (c) Business (d) Registered Office)

(Note: Permissible documents are: Passport, Election ID Card, PAN Card, ID Card, Driving License, UIDAI Card, NREGA Job Card and Others)

1. Tax residence declaration – tick any one, as applicable to you:

☐ I am a tax resident of India and not resident of any other country.

Or

☐ I am a tax resident of the country/ies mentioned in the table below.

Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID Number below:

Country#	Tax Identification Number%	Identification Type (TIN or Other%, please specify)

To also include USA, where the individual is a citizen/ green card holder of USA

% In case Tax Identification Number is not available, kindly provide functional equivalents.

Certification

I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA CRS Terms and Conditions below and hereby accept the same.

Name _____ Signature of the client _____

Date _____ Place _____

Most Important Terms and Conditions (MITC)
(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. 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).
5. You will get a contract note from the stock broker within 24 hours of the trade.
6. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, 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.
7. 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.
8. 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

I/We confirm that I/We have read and understood the Most Important Terms and Conditions below and hereby accept the same.

Name _____ Signature of the client _____

Date _____

Exchange	Documents
NSE, MCX, BSE	Rights and Obligations, Risk Disclosure Document and Guidance Note
NSE, MCX, BSE	Policies and procedures for clients
NSE, MCX, BSE	Risk-disclosures for clients
NSE, MCX, BSE	Broker-disclaimer and disclosure

I confirm that I have read and understood all these documents.

Date _____

Signature of the Applicant _____

Voluntary Document

**To,
MarketWolf Securities Private Limited
Aston Building, 10th Floor,
Lokhandwala Complex,
Andheri West, Mumbai 400053**

Dear Sir,

Sub: Mandate to issue Contract Note, Margin Reports, Statement of funds & securities & other documents in Digital Format

I hereby agree and give my consent to you to issue Contract Notes, Margin Report, Statement of Fund & Securities, notices, circulars, amendments & other relevant documents related to my trading account in digitally signed electronic mode as specified in the Information Technologies Act, 2000 and the rules made thereunder.

I shall accept all the documents sent by you in digitally signed electronic mode to my specified e-mail id subject to following terms & conditions: -

1. Digitally signed electronic Contract notes, Margin Report, Statement of Funds & Securities & other documents will be mailed to my specified email id as mentioned in KYC application form.
2. In case of any failure in sending of digitally signed electronic Contract notes, Margin Report, Statement of Funds & Securities & other documents, you will arrange to send the documents in physical form through post, registered post, speed post, courier or any other similar mode of communication.
3. I agree to inform you in case of any discrepancies, within 24 hrs of issue of the digitally signed electronic Contract notes, Margin Report, Statement of Funds & Securities & other documents.
4. I shall communicate any change in the E-mail id through a Physical Letter or an email immediately.
5. I confirm that the email id as mentioned in KYC application form belongs to me and I regularly access the same. The digitally signed electronic Contract notes, Margin Report, Statement of Funds & Securities & other documents sent to my aforesaid email id shall be construed as delivery of documents to me and non-accessibility of e-mail id by me will not be taken/ accepted as an excuse for non-acceptance of aforesaid documents.

Date _____

Signature of the Applicant _____

LETTER FOR AUTHORIZATION FOR RUNNING ACCOUNT

I/We are dealing through you as a client in Capital Market, Future & Option segment and/or Currency Market segment and/or Commodity Market Segment & in order to facilitate ease of operations and upfront requirement of margin for trade.

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account (choose one option):
 - ☐ Once in a calendar month
 - ☐ Once in every calendar quarter
4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
5. I/We confirm you that I can revoke the above mentioned authority at any time.
6. This running account authorization would continue until it is revoked by me.

Date _____

Signature of the Applicant _____

ACKNOWLEDGMENT LETTER

To
MarketWolf Securities Private Limited
Aston Building, 10th Floor,
Lokhandwala Complex,
Andheri West, Mumbai 400053

Dear Sir/Madam,

I/We hereby acknowledge the receipt of the following documents:

1. Rights and Obligations of Stock Brokers and Clients (including additional rights & obligations in case of internet/wireless technology-based trading).
2. Risk Disclosure Document.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures for client dealings.
5. Tariff sheet.
6. Prevention of Money Laundering Act, 2002 (PMLA).
7. General Terms and Conditions governing securities trading and broking services of MarketWolf Securities Private Limited.
8. All other mandatory and voluntary client registration documents.
9. Most Important terms and conditions for clients having Trading account with MarketWolf Securities Private Limited.
10. I/We hereby acknowledge the receipt of a duly executed copy of KYC and all other documents as executed by me/us.

Further I/We confirm that the documents for KYC submitted by me are true and correct. I/We understand that the Voluntary documents executed by me/us are out of my/our own free will. I state that I have read and understood all the above documents and these documents are binding upon me.

Thanking you.

Date _____

Signature of the Applicant _____

Financial Status and PMLA Prevention of Money Laundering Act, 2002 (PMLA)

The Prevention of Money Laundering Act, 2002 came into effect from 1st July 2005.

Applicability of PMLA Act.

Banking Company

Financial Institution

Intermediary (which includes a stock broker, sub-broker, depository participant, share transfer agent, portfolio manager, other 12 of the SEBI Act, 1992) intermediaries associated with securities market and registered under section.

Objectives

The Act is intended to supplement the law enforcement authorities activities, to detect proceeds derived from serious crimes and help to effectively prevent money laundering, terrorist financing, and recycling of illegally obtained money. In brief the objectives of PMLA are as follows: -

- a. To prevent financial intermediaries from being used as a channel for the purpose of Money laundering & terrorist financing.
- b. To preserve the integrity/stability of the Financial System.
- c. To work hand in hand with the regulators to flush money laundering and terrorist financing activities out of our financial system.

What is Money Laundering?

Money Laundering is a process of making dirty money look clean. Money laundering is the process by which criminal attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities.

Through money laundering, the launderer transforms the monetary proceeds derived from criminal activity into funds with an apparent legal source.

Steps taken by MarketWolf Securities Private Limited: -

MarketWolf Securities Private Limited is fulfilling objective of PMLA program in 3 steps: -

- a) Identification of clients.
- b) Monitoring of client's transactions.
- c) Reporting of suspicious transactions.

Obligation of the client: -

Implementation of AML/CFT measure requires demand of certain information from investors which may be of personal nature or has hitherto never been called for. Such information can include documents evidencing source of funds/income tax return/bank records etc. This can sometimes lead to raising of questions by the client with regard to the motive and purpose of collecting such information. This document has therefore been prepared to sensitize the clients about requirements emanating from AML and CFT framework.

Clients are required to provide complete details at the time of account opening: -

- 1) Address proof 2) Identity proof 3) PAN 4) Income details

Clients are required to periodically update:-

- 1) Contact details 2) Financial details 3) Occupational details

The transactions executed by the clients need to be commensurate with the disclosed income details. Clients are required to provide requested explanation / details for suspicious transactions.

Financial Status and Other Details under PMLA

The information is sought under the Prevention of Money Laundering Act, 2002, the rules and SEBI and Exchange Guidelines issued on Anti Money Laundering.

Gross Annual Income Details	<input type="checkbox"/> Below Rs. 1Lac <input type="checkbox"/> Rs. 1Lac – Rs. 5Lacs <input type="checkbox"/> Rs. 5Lacs – Rs. 10Lacs <input type="checkbox"/> Rs. 10Lac – Rs. 25Lacs <input type="checkbox"/> Rs. 25Lacs – Rs. 1crore <input type="checkbox"/> Rs. 1crore and more.
Networth Details (as on account opening date)	<input type="checkbox"/> Rs. 1Lac – Rs. 10Lacs <input type="checkbox"/> Rs. 10Lacs – Rs. 25Lacs <input type="checkbox"/> Rs. 25Lacs – Rs. 1crore <input type="checkbox"/> Rs. 1crore and more <input type="checkbox"/> Not Applicable.

Please tick the additional applicable category to you:

- ☐ Non-resident client
- ☐ High net-worth client (having annual income + networth of more than INR 5 crore)
- ☐ Civil Servant or family member or close relative of civil servant
- ☐ Bureaucrat or family member or close relative of bureaucrat
- ☐ Current or Former MP or MLA or MLC or their family member or close relative
- ☐ Politician or their family member or close relative
- ☐ Current or Former Head of State or of Governments or their family member or close relative
- ☐ Senior government/judicial/military officers or their family member or close relative
- ☐ Senior executives of state-owned corporations or their family member or close relative
- ☐ Companies offering foreign exchange offerings
- ☐ None of the above

Self - Declaration of Income and Networth

I, _____ having PAN no. _____ resident of _____ do hereby solemnly affirm and declare as under: -

- a) My annual income is Rs. _____.
- b) My Networth as on _____ is Rs. _____.

We hereby further confirm/undertake that the investments/trading done in securities market are from our own/borrowed sources of funds and we confirm that the funds utilized for trading activity by us is in compliance with the rules, regulations and guidelines stipulated under PMLA.

I certify that the above information given by me is true.

Date _____

Signature of the Applicant _____

Exchange	Documents
NSE, MCX, BSE	Investor Charter

I confirm that I have read and understood all these documents.

Date _____

Signature of the Applicant _____