

Date: _____

To,
The Director
Prabhat Financial Services Limited
205, Navjeevan Complex
29, Station Road,
Jaipur

Sub: Activation of dormant trading account.

Dear Sir,

I am having a trading account with your company. My client code is _____. I have not traded in my client code during _____ year _____ months.

I am enclosing herewith self attested copy of my address proof, bank statement/passbook copy and DP client master of demat account for your verification and record.

I request you to please activate my trading account at an early date.

Thanking you,

Yours faithfully,

(_____)

Client Code: _____

Encl: as above,

Place: _____

Date: _____



**KYC Details Change form
(For Individuals Only)**



Application No. :

Please fill this form in **ENGLISH** and in **BLOCK LETTERS** with black ink (Please strike off Sections that are not used).

A Name of Applicant (As per original KYC records)

Title Mr. Ms. Other (Please specify) _____ PAN _____

Name _____

Please Provide the new KYC details which should be updated in your KYC records.

B. Identity Details (please see guidelines overleaf)

1. My New Name (As appearing in supporting identification document)
Name _____

2. My New Marital status Single Married

3. My New Nationality Indian Other (Please specify) _____

4. My New Status Please tick (✓) Resident Individual Non Resident (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN _____ Please enclose a duly attested copy of your PAN Card
Unique Identification Number (UID)/Aadhaar, if any: _____

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)
 UID (Aadhaar) Passport Voter ID Driving Licence Others _____ (Please see guideline 'D' overleaf)

C. Address Details (please see guidelines overleaf)

1. My New Address for Correspondence

City / Town / Village _____ Pin Code _____
State _____ Country _____

2. Contact Details

Tel. (Off.) (ISD) (STD) _____ Tel. (Res.) (ISD) (STD) _____
Mobile (ISD) (STD) _____ Fax (ISD) (STD) _____
E-Mail Id. _____

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
 Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted [d][d] / [m][m] / [y][y][y][y]

4. My New Permanent Address of Resident Applicant if different from above C1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village _____ Pin Code _____
State _____ Country _____

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
 Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted [d][d] / [m][m] / [y][y][y][y]

D. Other Details (please see guidelines overleaf)

1. My New Gross Annual Income Details (Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs

OR

Net-worth in ₹. (*Net worth should not be older than 1 year) _____ as on (date) [d][d] / [m][m] / [y][y][y][y]

2. My New Occupation (Please tick(✓) any one and give brief details):
 Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
 Housewife Student Forex Dealer Others (Please specify) _____

3. Please tick, if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
For definition of PEP, please refer guideline overleaf

4. Any other information: _____

DECLARATION

SIGNATURE OF APPLICANT

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

Place: _____

Date: _____

FOR OFFICE USE ONLY

IPV Done on [d][d] / [m][m] / [y][y][y][y]

AMC/Intermediary name OR code _____

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary Should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary Should contain

Staff Name

Designation

Name of the Organization

Signature

Date

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

ANNEXURE - 3

TRADING ACCOUNT RELATED DETAILS

(For Individuals & Non-Individuals)

A. OTHER DETAILS

- Gross Annual Income Details : Income Range per annum : Below Rs. 1 Lac Rs. 1 Lac to 5 Lac
(please specify) Rs. 5 Lac to 10 Lac Rs. 10 Lac to 25 Lac Rs. 25 Lac to 1 Crore >1 Crore
OR

Net Worth (Net worth should not be older than 1 year) Amount Rs.

as on (date) (Compulsory for Non-Individuals)

- Occupation : Private Sector Public Sector Government Service Business Professional
(please tick any one and give brief details) Agriculturist Retired Housewife Student Others _____ Please Specify
- Please tick, if applicable : Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
- Any other information : -

B. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI / NRE / NRO		

C. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

D. TRADING PREFERENCES

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

Stock Exchange	Market Segment/s	
<input type="checkbox"/> NSE	Cash <input type="checkbox"/> 3(a) Currency Derivative <input type="checkbox"/> 3(c)	F&O <input type="checkbox"/> 3(b)
<input type="checkbox"/> BSE	Cash <input type="checkbox"/> 3(d)	F&O <input type="checkbox"/> 3(e)

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

E 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 :

RUNNING ACCOUNT AUTHORIZATION

To,

PRABHAT FINANCIAL SERVICES LIMITED

Regd. Office : "Satyam", 4/276, Parwati Bagla Road,
KANPUR-208 002 (U.P.)

Corporate Office : 205, Navjeevan Complex,
29 Station Road, JAIPUR -302 006 (Raj.)

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I am/ We are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin/ collateral without which we cannot deal/trade.

Therefore I/we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/ clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I/We agree that I/we shall bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your registered office. Please do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

"Please further note that I shall be entitled to revoke this authorization at any time."

My / Our preference for actual settlement of funds and securities is at least:

Once in a Calendar Quarter Once in a Calendar Month

Thanking you,
Yours faithfully,

 12

Signature with date

Name : Client Code :

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ Authorized person etc.]

AUTHORISATION FOR ELECTRONIC CONTRACT NOTES / STATEMENTS

To,

PRABHAT FINANCIAL SERVICES LIMITED

Regd. Office :“Satyam”, 4/276, Parwati Bagla Road,
KANPUR-208 002 (U.P.)
Corporate Office : 205, Navjeevan Complex,
29 Station Road, JAIPUR -302 006 (Raj.)

I / We have been / shall be dealing through you as my / our broker on the Capital Market and / or Futures & Options Segments / Currency Derivative Segments. As my/our broker i.e. agent. I / We direct and authorize you to carry out trading / dealings on my / our behalf per instructions given below.

I / We understand that, I / we have the option to receive the contract notes, account statements / statement of securities physical form or electronic form. In pursuance of the same, I / we hereby opt for receipt of contract notes, account statements / statement of securities in electronic form. I / We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes and account statements. Accordingly, please take the following email account / email id on your record for sending the contract notes to me/us.

.....
.....

I / We agree not to hold you responsible for late / non-receipt of contract notes and account statements sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I / we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt / delayed receipt for any reason whatsoever.

I / We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) / email id(s).

In terms of the agreement entered into between us, in Digital form, Digital contract issued by your as per the terms and conditions specified shall be binding on me. I/We undertake to check the contract notes and bring the discrepancies of your notice within 24 hours of such issuance of contract notes , my/ our non-verification or not accessing the contract on regular basis shall not be a reason for disputing the contract note at any time.

This instruction to issue digital contract note is applicable with immediate effect.

I/We also acknowledge the upload of contract notes/bills, statement of accounts/ledgers and other statements/ documents for trading on NSE on your website w ww.pfslindia.co.in. I /We hereby agree and confirm to verify the information/documents that are sent on email and/or upload on the said website regularly and the same shall be deemed to be received by me/us (vide SEBI circular ref.No. SEBI/SMD/SE/15/2003/29/04 dated April 29, 2003, regarding issuance of contract notes/bills, statements of ledger/accounts in digital/electronic form and also to disseminate the same on the website for easy access to the Investor)

I/We understand that I am required to intimate any change in the email id / email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my /our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above

Thanking you,
Yours faithfully,

 13

Signature

Client Name :

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ Authorized person etc.]

Voluntary Document

In case of an individual client on plain paper and in case of a non-individual client on letter head of client.

M/s Prabhat Financial Services Limited
205, Navjeevan Complex
29, Station Road
Jaipur-302006 (Rajasthan)

Subject: SMS and Email Alerts by Stock Exchange.

Dear Sir,

I/We wish to avail facility of SMS and email alerts which Stock Exchanges shall send for detail of transactions done by me/us. I/We are giving here below my/our email address and mobile number.

Email: _____

Mobile No.: _____

Please do the needful to enable me/us to receive Sms and email alerts sent by Stock Exchanges.

Thanking you,

Yours faithfully.

Client Code:

Date :
Place:

Declaration for transfer of securities towards Collateral for margin obligation

To
Prabhat Financial Services Limited
205, Navjeevan Complex,
29, Station Road, Jaipur- 302006

Letter of Authorisation to pledge the securities with Clearing Member/ Clearing Corporation

We are dealing through you as a client registered in NSE/BSE in Capital Market/ Future & Options/ Currency Derivatives/ Commodity Segments. We have given you the securities as margin. We hereby confirm and declare that:

- (i) the Securities are in existence, owned by us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- (ii) the Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the Securities over which pledge may be created in future would be in existence and owned by us at the time of creation of such pledge and that the Said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of us.
- (iii) We authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary from time to time.
- (iv) We agree that the securities shall be subject to the first priority and lien in favour of Trading Member to secure, our obligations and that the rights or interests of us with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Trading Member in respect of the Said Securities.
- (v) You may invoke the pledge without any reference to or permission of us and upon receipt of the Said Securities, Trading Member may utilize the proceeds in meeting our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against us.
- (vi) We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

Place:

Date:

Signature: _____

Client Name: _____

Client Code: _____



PRABHAT FINANCIAL SERVICES LIMITED

Corporate Office: 205, Navjeevan Complex, 29 Station Road, Jaipur-302006 Phone : +91-141-4162021-22-23-24

Fax : +91-141-4162050 Mobile : 93148 84111 E-mail : pfsindia@hotmail.com Website : www.pfsindia.co.in

CIN No. U67190UP1995PLC017537 GSTIN No. : 08AAACP8036A1ZR



Member : National Stock Exchange of India Limited, Bombay Stock Exchange Limited SEBI REGN. NO. INZ000169433
D P : Central Depository Services (India) Limited. SEBI REGN NO. IN-DP-CDSL-216-2003

To our Esteemed Clients,

POLICY FOR SHORTAGES IN OBLIGATION ARISING OUT OF INTERNAL NETTING OF TRADES

Objective: The objective of policy is to appropriately deal settlement of shortages in obligations arising out of internal netting of trades. This policy shall be applicable to both Clients as well as Trading Members.

Purpose: Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligation first.

Procedure to handle shortages in obligations arising out of internal netting of trades:-

1. The Short delivering client is debited by an amount equivalent to higher of 5% above the official closing price on the auction day OR the highest traded price from first trading day of the settlement till the auction day and the amount shall be credited to the short purchasing client.
2. In cases of securities having corporate actions and no 'no-delivery period' for the corporate action, all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction pay out is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.
3. Notwithstanding anything contained in Clause No.1 as above, in case the shortages in obligations arising out of internal netting of trades of **securities which are available for trading in Future & Option segment of Exchange**, then the delivering client is debited by an amount equivalent to higher of
 - a) 2% above the official closing price on the auction day in case the scrip is a part of Nifty Index otherwise 5%

OR

 - b) The highest traded price from first trading day of the settlement till the auction day

the amount shall be credited to the short purchasing client.

Place: Jaipur
Date: January 01, 2020

For Prabhat Financial Services Limited
Sd
Director

Client Name: _____ Client Code:- _____ Client Signature: _____.



PRABHAT FINANCIAL SERVICES LIMITED

Corporate Office: 205, Navjeevan Complex, 29 Station Road, Jaipur-302006 Phone : +91-141-4162021-22-23-24

Fax : +91-141-4162050 Mobile : 93148 84111 E-mail : pfsindia@hotmail.com Website : www.pfsindia.co.in

CIN No. U67190UP1995PLC017537 GSTIN No. : 08AAACP8036A1ZR



Member : National Stock Exchange of India Limited, Bombay Stock Exchange Limited SEBI REGN. NO. INZ000169433
D P : Central Depository Services (India) Limited. SEBI REGN NO. IN-DP-CDSL-216-2003

Dear Esteemed Client/Dear A. P.

Subject: Our Policy and Implementation process for SEBI Circular No. 75 dated 20-06-2019 and NSE and BSE FAQ dated 04-09-2019 issued in respect of Handling of Client Securities

(1) Trades done on Thursday dated 26-09-2019 will be settled through existing Client Account and pay -out is to be transferred to the demat accounts of Clients by 30-09-2019. If Client fails to make pay in of funds by 30-09-2019 for trades done till 26-09-2019, then we shall sell securities of respective Client and shall transfer Client's holding to our Pool Account on 30-09-2019. Holding in our Client Account should be zero as on 30-09-2019. We are required to close our Client Account on 30-09-2019 as per SEBI Circular dated 20-06-2019.

(2) Pay out of trades done on 27-09-2019 and thereafter will be received in our NSDL Pool Account. Fully paid securities of Clients will be transferred to their respective demat accounts and unpaid securities in respect of debit balances of Clients will be transferred (within one day) to the newly opened "**Client Unpaid Securities Account**" (hereinafter referred to as **CUSA**).

(3) Securities transferred to CUSA will either be transferred to demat account of Client upon fulfillment of funds obligation by Client or will be disposed off within or on fifth trading day after date of pay out. Bill in respect of sell transaction/s of Unpaid Securities will be posted in financial ledger of the respective Client. Profit /Loss for sell transactions of unpaid securities, if any, shall be payable to/recovered from the respective Client.

(4) Securities lying in existing Client Account cannot be transferred directly to Client Collateral Account meant for keeping Client collateral as margin for all segments.

(5) Margin receivable from Client for any segment cannot be transferred either from Pool Account or from CUSA. This margin should come from Client's Demat Account to Client Collateral Account of Prabhat Financial Services Limited.

(6) Client securities lying in CUSA cannot be considered for giving benefit of margin for any segment. However, while computing margin obligation of Client for F&O and Currency Derivatives segment, value of Client's other collaterals will be reduced to the extent of debit balance in Client's financial ledger. Client doing Derivatives trading will have to be more careful about availability of sufficient margin.

(7) Transfer from PFSL Pool account to Client's Demat account or to CUSA is free of cost. However, NSDL /CDSL will charge per ISIN for transfer made from CUSA to Client's Demat account upon receipt of funds or to PFSL Pool account to dispose off Client's unpaid Securities. Therefore, Client will be liable to pay Demat Charges per ISIN for securities to be moved out of CUSA on Client's behalf.

(8) Client who has not registered POA in favour of PFSL will have to be vigilant to submit delivery instruction slip as when sell transaction is executed. Trading Member (PFSL) cannot keep Clients' securities in its Pool Account for more than 24 hours. Trading Member is required to transfer securities from Pool Account to Clients' Demat Accounts in respect of credit balances Clients or transfer to CUSA in respect of unpaid securities of debit balances of Clients.

(9) Stock Broker can retain full value of securities till 5th trading day from date of pay out in respect of debit balance Client. However, securities to the extent of amount receivable from Client will be disposed off within five trading days from pay - out date and remaining securities will be transferred to Client's Demat Account.

(10) Stock Broker can receive and retain Clients' securities in Client Collateral Account as a RMS policy towards margin for Capital Market segment.

(11) Clients' securities lying in Client Collateral Account can be sold as per instructions of the client to clear debit balance provided clear funds are received within such five trading days.

(12) We shall follow the FIFO (First in & First Out) policy while disposing off Clients' Securities lying in CUSA. However, process and method adopted to dispose of the unpaid securities will be at sole discretion of Prabhat Financial Services Limited. Client will be fully responsible to pay amount of loss, if any, towards sale of Client's unpaid securities.

(13) We shall initiate the liquidation process of Client's unpaid securities within or on 5th trading day from the date of pay out, if client fails to pay funds towards debit balance. Client's cheque received and cleared within five trading days will only be considered. It will be responsibility of the Client to make pay in of funds on time.

(14) Clients will not be allowed to take further exposure beyond 5th trading day reckoned from the pay - out day, till the entire debit balance is not realized by way of receipt of clear funds or by way of realized pay out as a result of liquidation of Unpaid Securities.

(15) Client cannot buy same securities on same day which have been sold from CUSA.

For Prabhat Financial Services Limited

Director

Place: Jaipur

Date: September 26, 2019