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CIN- U51909WB1994PTC062876
Self Clearing Member in Equity, Equity
Derivative, Currency Derivative Segment
of NSE Clearing Ltd

Compliance Officer

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SEBI Registration - INZ000204633

TM Id
NSE -12194
BSE – 3066
MCX -40570

Annexure-1
Account Opening Kit & Index

Sr. No	Name of the Document	Brief Significance of the Document	Page No
MANDATORY REQUIREMENT AS PRESCRIBED BY SEBI & EXCHANGE			
1	Account Opening Form	A. KYC Forms- Document captures the basic information about the constituent and an instruction/check list.	1-2
		B. Document captures the additional information about the constituent relevant to the trading account and an instruction/check list.	3-5
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	6-11
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	12-15
4	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	16-17

5	Policies and Procedures	Document describing significant policies and procedures of the stock broker	18-21
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	22
NON MANDATORY DOCUMENTS			
7	Running Account Authorization	Detail regarding the basis and frequency of settlement of account	23
8	Literature on Anti Money Laundering	Brief details of Anti Money Laundering transaction and related guidelines	24-27
9	Proprietary Trading Information	Information regarding Pro Account Trading by Member	27
10	Letter for operation of Trading Account	Contains information from client regarding smooth operation of trading account	28
11	FATCA Declaration/Individual	Information regarding Citizenship and Tax residential status	29-30
12	FATCA Declaration/Corporate	Information regarding Citizenship and Tax residential status	31-34

For any grievance/dispute please contact **Gee Bee Securities Private Ltd** at the above address or email [id-geebecdpig@yahoo.in](mailto:geebecdpig@yahoo.in), geebecinvestor@yahoo.co.in and phone number 91 33 40070831. In case not satisfied with the response, please contact the concerned exchanges at ignse@nse.co.in, isc.kolkata@bseindia.com or mahesh.gadhi@bseindia.com and grievance@mcxindia.com or at phone number 022 26598190, 03322821375, 02222728517 and 022 67318888 respectively.



CLIENT SIGNATURE

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual



Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines / instructions at the end.
- G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- H) List of two character ISO 3166 country codes is available at the end.
- I) KYC number of applicant is mandatory for update application.
- J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode

For office use only

Application Type* New Update

(To be filled by financial institution) KYC Number _____ (Mandatory for KYC update request)

Account Type* Normal Minor Aadhaar OTP based E-KYC (in non-face to face mode)

1. PERSONAL DETAILS* (Please refer instruction A at the end)

Prefix _____ First Name _____ Middle Name _____ Last Name _____

Name* (Same as ID proof)

Maiden Name _____

Father / Spouse Name _____

Mother Name _____

Date of Birth* DD - MM - YYYY

Gender* M- Male F- Female T-Transgender

PAN* _____ Form 60 furnished

Marital Status
 Married Unmarried

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number _____
- B- Voter ID Card _____
- C- Driving Licence _____
- D- NREGA Job Card _____
- E- National Population Register Letter _____
- F- Proof of Possession of Aadhaar _____

II E-KYC Authentication _____

III Offline verification of Aadhaar _____

PHOTO*

Address

Line 1* _____

Line 2 _____

Line 3 _____

District* _____ Pin/Post Code* _____ City / Town / Village* _____ State/U.T Code* _____ ISO 3166 Country Code* _____

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number _____
- B- Voter ID Card _____
- C- Driving Licence _____
- D- NREGA Job Card _____
- E- National Population Register Letter _____
- F - Proof of Possession of Aadhaar _____

II E-KYC Authentication _____

III Offline verification of Aadhaar _____

IV Deemed Proof of Address - Document Type code _____

V Self Declaration

Address

Line 1* _____

Line 2 _____

Line 3 _____

District* _____ Pin / Post Code* _____ City / Town / Village* _____ State/U.T Code* _____ ISO 3166 Country Code* _____

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) -- Tel. (Res) -- Mobile --
 Email ID

5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: DD-MM-YYYY

Place:

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification Digital KYC Process
 Equivalent e-document Video Based KYC

KYC VERIFICATION CARRIED OUT BY

Date --
 Emp. Name
 Emp. Code
 Emp. Designation
 Emp. Branch

INSTITUTION DETAILS

Name
 Code

[Employee Signature]

[Institution Stamp]

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra & Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BQ	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire (Cote d'Ivoire)	CI	Korea, Democratic People's Republic of	KP	Reunion (Reunion)	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curaçao (Curacao)	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy (Saint Barthelemy)	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

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Annexure – 3

TRADING ACCOUNT RELATED DETAILS (MANDATORY)

For Individuals & Non-individuals

A. OTHER DETAILS

1. Gross Annual Income Details (please specify):

Income Range per annum: Below Rs. 1 Lac/1-5 Lacs/5-10 Lacs/10-25 Lacs/ > 25 Lacs Or Networth as on (Date)_____ Rs. (Should not be older than 1 year)

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

Private Sector/ Public Sector/Government Service/Business/Professional/ Agriculturist/ Retired/ Housewife/ Student/ Others_____

3. Please tick, if applicable:

Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)

4. Any other Information:

B. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/Ot her-In case of NRI/NRE/NRO	MICR Number	IFSC Code

C. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

D. 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, NCDEX, 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 _____.					

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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:
.....

F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name:SEBI Registration number:

Registered office address:

Ph: Fax: Website.....

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

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

Client Code:.....Exchange:.....

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

G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note

(ECN) (please specify):

Specify your Email id, if applicable:.....

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

(please specify):

Number of years of Investment/Trading Experience:

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

Any other information:

H. INTRODUCER DETAILS (optional)

Name of the Introducer:

(Surname) (Name) (Middle Name)

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify.....

Address and phone no. of the Introducer:

Signature of the Introducer

I. NOMINATION DETAILS (for individuals only) (Please fill the attached form)

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

Name of the Nominee: Relationship with the Nominee:

PAN of Nominee: Date of Birth of Nominee:

Address and phone no. of the Nominee:

If Nominee is a minor, details of guardian:

Name of guardian: Address and phone no. of Guardian.....

Signature of Guardian

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

Name -----

Signature -----

Address -----

Name -----

Signature -----


Address -----

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DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place -----
Date -----

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

FOR OFFICE USE ONLY

UCC Code allotted to the Client: -----

	Documents verified with Originals	Client Interviewed by	In-Persons Verification done by	Client Code Uploaded					
				NSE		BSE		MCX	
Name of the Employee				CM		CM			
Employee Code				F&O		F&O			
Designation of the employee				CDS		CDS		CDS	
Date				KYC Uploaded					
Signature				DATE					
				KRA Regn.					

I/We undertake that we made the client aware of 'Policy and Procedure', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' documents (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 Procedure', 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 Authorized Signatory

Date.....

Seal/Stamp of the Stock Broker

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Annexure – 4

**RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS
as prescribed by SEBI and Stock Exchanges (MANDATORY)**

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

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12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

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

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate

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entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract,

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client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

36A. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges

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41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(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 Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.

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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 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 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 Stock broker 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 non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges



(Client Signature)

I WOULD LIKE TO RECEIVE RIGHTS & OBLIGATION DOCUMENT IN

1. Hard Copy
2. Softy Copy

Annexure – 5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS (MANDATORY)

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at

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which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

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1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

 (Client Signature)

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Annexure-6

**GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S)
FOR INVESTORS (MANDATORY)
BEFORE YOU BEGIN TRADE**

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com, bseindia.com and mcx-sx.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTION AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the

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receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.



(Client Signature)

GEE BEE SECURITIES PRIVATE LTD

Registered Office: Sarvamangala Building, 5 Clive Row, 4th Floor, room No 82-84, Kolkata
700 001, Ph: 033 40070831, IG Email: geebeedpig@yahoo.in
CIN- U51909WB1994PTC062876

POLICIES AND PROCEDURES (MANDATORY)

a. Refusal of orders for penny stocks

Penny stocks are those stocks which are not very liquid in nature / which are very thinly traded in the Exchanges and trade at a relatively low price and with low market capitalization. These types of stocks are generally considered to be highly speculative and of high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. As per the directions of SEBI, the Exchanges draw a list of illiquid securities every month. Stock Exchanges have directed the Members to exercise due care and diligence while trading in the prescribed stocks on behalf of the Clients. Trading in Z category stocks are not allowed. Depending upon the market condition and RMS policy of the Company, the Member reserves the right to refuse to provide the limit in Penny stocks. The Client is informed that the Member at his discretion may refuse trading in the stocks falling under the prescribed list of the Exchanges or any other stocks which Gee Bee Securities Pvt Ltd might consider to illiquid/penny stock.

b. Setting up Client's exposure limits

The Member may from time to time impose and vary limits on the orders that the client can place through the Member's trading system (including exposure limits, turnover limits, limits as to the number, value and / or kind of securities in respect of which orders can be placed etc.) The client is aware and agrees that the Member may need to vary or reduce the limits to impose new limits urgently on the basis of the Member's risk perception and other factors including event based, considered relevant by the Member including but not limited to limits on account of exchange / SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.) and the Member may be unable to inform the client of such variation, reduction or imposition in advance, The client agrees that the Member shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Member's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the Member may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through Member, or it 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 Member/ exchange / SEBI and any other reasons which the Member may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. In case of exposure taken on the basis of shares margin, the payment towards settlement obligation is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin. Exposure will be allowed as per our Risk Management Policy guidelines. The Risk Manager will review the daily Exposure statement, based on end of the day positions. The limits allowed to the Client on the next day will be set based on this statement. Margin requirement may differ as per product descriptions offered by TSL. No fresh exposure will be allowed to Clients against securities in Ban period.

c. Applicable brokerage rate

Brokerage will be charged within the limits prescribed by SEBI/Exchange. The brokerage charged will be exclusive of any levies/ charges levied by the Exchanges/ SEBI/ Regulatory Authority etc. In case there is any change in the rate of brokerage, the same will be intimated to the Client by giving sufficient notice. The Member at his sole discretion and also depending upon the volume of trading and clearance of dues by the client, may alter the rate of brokerage from time to time.

d. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period

Client will be liable to pay delayed payment charges upto 1.5% per month on the outstanding dues, for not making payment of their settlement / margin obligation on time as per the exchange requirement/ schedule. The Client hereby authorizes the Member to directly debit the same to the ledger account of the client. In case where at any point of time the Member delays payment to the client, reasons being settlement obligation to the client, margin refund is not done as per exchange requirement, the delayed payment charges applicable will be same as mentioned above. However the decision will depend upon the merit of the case and sole discretion of the Member. Further where the Member has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client. Any amount owed by the Client to the Member (including the late payment charges on delayed payment) shall be adjusted by the Member from the dues owed to the Client. Conversely, any money owed by the Member to the Client may be adjusted by the Member towards the dues owed by the Client to the Member.

e. Right to sell Client's securities or close Client's positions, without giving notice to the Client, on account of non-payment of Client's dues

The client shall ensure timely availability of funds/securities in the form and manner as prescribed by the Exchange / Member, for meeting his/her/its pay in obligation of funds and securities (Like 50% Cash and Non Cash Component, providing exchange approved securities. Without prejudice to the Member's other right (including the right to refer the matter to arbitration), the Member shall be entitled to liquidate / close out at any time all or any of the client's position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc within the scheduled time and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the client. Where the margin is made available by way of securities or any form of asset, the Member is empowered to decline its acceptance as margin / security and / or to accept it at such reduced value as the Member may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the Member may deem in its absolute discretion. The Member has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities/ shares at the pre-defined square-off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage whichever is earlier. The Member will have the sole discretion to decide the 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.

f. Shortages in obligations arising out of internal netting of trades

If the Member is unable to deliver the securities on the pay-out day due to nonreceipt of the said securities from another Client of the Member who has sold the securities against the said purchase transaction, the account of the Client, who has purchased the securities, will be settled as per the policy of the Member as amended from time to time. For internal shortage the auction closeout policy is as follows: T+1 closing rate of that scrip or Highest Transaction rate of Clients traded through Member for that scrip between T to T+1 day, from both the conditions, whichever is higher is charged to the Client.

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,

(i) For MTM shortfall

The MTM position of the Client would be monitored by the Risk Management department. If the Client's MTM loss reaches 50% of the margin, the Risk Management Department would intimate the client on recorded line about the amount of shortfall. If the client does not fulfill the margin requirement, and the MTM loss reaches 70% of the initial margin requirement, the position will be squared-off by the Risk Management department. No exceptions will be allowed. In extreme cases, i.e., on days of very high volatility, the Risk Management department may liquidate the position without intimating the Client also. In such cases, the client will be informed subsequently.

(ii) For Intra-Day trades:

For Client indulging in intra-day trading, the Risk Management department will start squaring off all the position from 3:00 p.m or if the Client reaches the blow out percentage of 70% of the initial margin whichever is earlier. Clients with high open positions will be squared off first. Before squaring off Client's position at 3.00 p.m., all the pending orders of the Clients will be cancelled by the respective dealer.

h. Temporarily suspending or closing a Client's account at the Client's request

Upon receipt of request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period in which the client account is suspended, the market transaction in the client account will not be permitted. However, delivery of shares to the client and payment of ledger balance can be effected. Upon receipt of request of the client in writing, the client account will be closed provided the client's ledger balance is Nil. If the client wants to reopen the account in future the client has to complete the KYC requirements again. The request for suspending/ closing the Client's account will only be accepted if the same is provided as per the form prescribed by the Member. No request for closure via e-mail would be accepted. On receipt of the account closure request form, if the same is in order, the account would be closed within 1 working day after the settlement of dues.

i. Deregistering a Client

Notwithstanding anything to the contrary stated in the other documents relating to opening of trading account, the Member shall be entitled to deregister a client 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 or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process 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 are 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.
- (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 has made any material misinterpretation of facts including (without limitation) in relation to the Security.
- (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 suffers 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 for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking.
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect.
- (xiii) If he fails to update the Member of his/her/its financial status by providing networth certificate/ copy of IT returns / Balance Sheets and other financial statements/documents.

j. Inactive client account

Client account will be considered as inactive if the client does not trade for period of 12 months. Classification will be done periodically and those clients who have not traded even a single time will be considered as inactive. Member at his sole discretion may place restriction on the trading or deactivate the trading. The client has to make written request for reactivation of his/her account.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability, and applicability of any provision / clauses. These Policies and Procedures may be amended / changed unilaterally by the Member, provided the change is informed to me/us through any one or more means or methods including email on my designated email id. These Policies and Procedures shall always be read along with the other documents relating to opening of trading account and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and Member before any court of law/judicial/ adjudicating authority including arbitrator / mediator etc.



(Client Signature)

GEE BEE SECURITIES PRIVATE LTD
CIN- U51909WB1994PTC062876

Brokerage Structure (Tariff Sheet) (MANDATORY)

Exchange	Type	%	Minimum	Per Lot
NSE	Delivery			
	Square Up			
BSE	Delivery			
	Square Up			
NSE Derivatives	Futures			
	Options			
MCX Derivatives	Futures			
	Options			
Bse Derivative	Futures			
	Options			

Above rates are exclusive of Transaction charges, Stamp Duty, Securities Transaction Tax, SEBI Charges and Service Tax which will be charged extra at the rate prevailing from time to time.



(Client Signature)

RUNNING ACCOUNT AUTHORIZATION

(Non Mandatory Documents)

Client Name:

Client Code:

To

Date:

Gee Bee Securities Private Ltd
Sarvamangala Building, 4th Floor
Room No 82-84, Kolkata 700 001

I/We am/are dealing with you as a client in Capital Market and/or Future and Option Segment and/or Currency Derivative Segment and/or Interest Rate Future Segment and in order to facilitate ease of operation and upfront requirement of margin for trade, I/We authorize you for the following:

1. I/We request you to maintain running balance in my account and retain the credit balance in my/our account, to use the unused funds towards my margin/pay in/ at any segment(s) of any or all the exchanges(s)/Clearing Corporations, unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay in at any segments(s) of any or all the exchanges(s)/Clearing Corporations, unless I/We instruct you to transfer the same to my account
3. I/We request you to settle my funds and securities account once in every calendar **Month/Quarter** (strike off whichever is not applicable) except the funds given towards collaterals/margin in the form of Bank Guarantees and/or Fixed Deposit Receipts.
4. For any 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 calculated in the manner specified by the exchanges
5. I/We authorize you to set off/adjust any of my debits/dues in any segment of any Exchange with credit of any other segments(s) of any Exchanges(s) in my account within the period of settlement of my account.
6. I/We confirm you that I/We will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/Securities or statement of account of statement related to it, as the case may be at your registered office.
7. I/We confirm you that I/We can revoke the above mentioned authority by giving notice in writing to you.
8. There would not be any inter client adjustment for settling the accounts.

Thanking You



Signature of Client

(Name of client)

(To be signed by client only, no POA will sign)

ADDITIONAL LITERATURE FOR AML REQUIREMENTS- NON MANDATORY

As per the requirements of SEBI, implementation of Anti Money Laundering (AML)/ Combating Financing of Terrorism requires trading members as intermediaries to demand 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 returns/bank records etc. This can sometimes lead to raising of questions with regard to the motive and purpose of collecting such information. To, sensitize about these requirements as the ones emanating from AML and CFT framework, General FAQs as published by The Financial Action Task Force (FATF), an inter-governmental body whose purpose is the development and promotion of policies , both at national and international levels, to combat money laundering and terrorist financing is reproduced herewith. Kindly feel free to visit the websites of <http://www.fatf-gafi.org> and <http://fiuindia.gov.in> for more information on the subject.

FAQ

What is Money Laundering?

The goal of a large number of criminal acts is to generate a profit for the individual or group that carries out the act. Money laundering is the processing of these criminal proceeds to disguise their illegal origin. This process is of critical importance, as it enables the criminal to enjoy these profits without jeopardizing their source.

Illegal arms sales, smuggling, and the activities of organized crime, including for example drug trafficking and prostitution rings, can generate huge amounts of proceeds. Embezzlement, insider trading, bribery and computer fraud schemes can also produce large profits and create the incentive to “legitimise” the ill-gotten gains through money laundering.

When a criminal activity generates substantial profits, the individual or group involved must find a way to control the funds without attracting attention to the underlying activity or the persons involved. Criminals do this by disguising the sources, changing the form, or moving the funds to a place where they are less likely to attract attention.

In response to mounting concern over money laundering, the Financial Action Task Force on money laundering (FATF) was established by the G-7 Summit in Paris in 1989 to develop a coordinated international response. One of the first tasks of the FATF was to develop Recommendations, 40 in all, which set out the measures national governments should take to implement effective anti-money laundering programmes.

How much money is laundered per year?

By its very nature, money laundering is an illegal activity carried out by criminals which occurs outside of the normal range of economic and financial statistics. Along with some other aspects of underground economic activity, rough estimates have been put forward to give some sense of the scale of the problem.

The International Monetary Fund, for example, has stated in 1996 that the aggregate size of money laundering in the world could be somewhere between two and five percent of the world’s gross domestic product.

Using 1996 statistics, these percentages would indicate that money laundering ranged between US Dollar (USD) 590 billion and USD 1.5 trillion. The lower figure is roughly equivalent to the value of the total output of an economy of the size of Spain.

However it must be said that overall it is absolutely impossible to produce a reliable estimate of the amount of money laundered and therefore the FATF does not publish any figures in this regard.

How is money laundered?

In the initial- or placement- stage of money laundering, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money orders, etc.) that are then collected and deposited into accounts at another location.

After the funds have entered the financial system, the second-or layering-stage takes place. In this phase, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channeled through the purchase and sales of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not cooperate in anti-money laundering investigations. In some instance, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance.

Having successfully processed his criminal profits through the first two phases the launderer then moves them to the third stage-integration- in which the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets, or business ventures.

Where does money laundering occur?

As money laundering is a consequence of almost all profit generating crime, it can occur practically anywhere in the world. Generally, money launderers tend to seek out countries or sectors in which there is a low risk of detection due to weak or ineffective anti-money laundering programmers. Because the objective of money laundering is to get the illegal funds back to the individual who generated them, launderers usually prefer to move funds through stable financial systems.

Money laundering activity may also be concentrated geographically according to the stage the laundered funds have reached. At the placement stage, for example, the funds are usually processed relatively close to the under-lying activity; often, but not in every case, in the country where the funds originate.

With the layering phase, the launderer might choose an offshore financial centre, a large regional business centre, or a world banking centre-any location that provides an adequate financial or business infrastructure. At this stage, the laundered funds may also only transit bank accounts at various locations where this can be done without leaving traces of their sources or ultimate destination.

Finally, at the integration phase, launderers might choose to invest laundered funds in still other locations if they were generated in unstable economies or locations offering limited investment opportunities.

How does money laundering affect business?

The integrity of the banking and financial services marketplace depends heavily on the perception that it functions within a framework of high legal, professional and ethical standards. A reputation for integrity is the one of the most valuable assets of a financial institution.

If funds from criminal activity can be easily processed through a particular institution- either because its employees or directors have been bribed or because the institution turns a blind eye to the criminal nature of such funds – the institution could be drawn into active complicity with criminals and become part of the criminal network itself. Evidence of such complicity will have a damaging effect on the attitudes of other financial intermediaries and of regulatory authorities, as well as ordinary customers.

As for the potential negative macroeconomic consequences of unchecked money laundering, one can cite inexplicable changes in money demand, prudential risks to bank soundness, contamination effects on legal financial transactions, and increased volatility of international capital flows and exchange rates due to unanticipated cross-border asset transfers. Also, as it rewards corruption and crime, successful money laundering damages the integrity of the entire society and undermines democracy and the rule of the law.

What influence does money laundering have on economic development?

Launderers are continuously looking for new routes for laundering their funds. Economies with growing or developing financial centers, but inadequate controls are particularly vulnerable as established financial centre countries implement comprehensive anti-money laundering regimes.

Differences between national anti-money laundering systems will be exploited by launderers, who tend to move their networks to countries and financial systems with weak or ineffective counter measures.

Some might argue that developing economies cannot afford to be too selective about the sources of capital they attract. But postponing action is dangerous. The more it is deferred, the more entrenched organized crime can become.

As with damaged integrity of an individual financial institution, there is a damping effect on foreign direct investment when a country's commercial and financial sectors are perceived to be subject to the control and influence of organized crime. Fighting money laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.

What is the connection with society at large?

The possible social and political costs of money laundering, if left unchecked or dealt with ineffectively, are serious. Organized crime can infiltrate financial institutions, acquire control of large sectors of the economy through investment, or offer bribes to public officials and indeed governments.

The economic and political influence of criminal organizations can weaken the social fabric, collective ethical standards, and ultimately the democratic institutions of society. In countries transitioning to democratic systems, this criminal influence can undermine the transition. Most fundamentally, money laundering is inextricably linked to the underlying criminal activity that generated it. Laundering enables criminal activity to continue.

How does fighting money laundering help fight crime?

Money laundering is a threat to the good functioning of a financial system; however, it can also be the Achilles heel of criminal activity.

In law enforcement investigations into organized criminal activity, it is often the connections made through financial transaction records that allow hidden assets to be located and that establish the identity of the criminals and the criminal organization responsible.

When criminal funds are derived from robbery, extortion, embezzlement or fraud, a money laundering investigation is frequently the only way to locate the stolen funds and restore them to the victims.

Most importantly, however, targeting the money laundering aspect of criminal activity and depriving the criminal of his ill-gotten gains means hitting him where he is vulnerable. Without a usable profit, the criminal activity will not continue.

What should individual governments be doing about it?

A great deal can be done to fight money laundering, and, indeed, many governments have already established comprehensive anti-money laundering regimes. These regimes aim to increase awareness of the phenomenon-both within the government and the private business sector and then to provide the necessary legal or regulatory tools to the authorities charged with combating the problem.

Some of these tools include making the act of money laundering a crime; giving investigative agencies the authority to trace, seize and ultimately confiscate criminally derived assets; and building the necessary framework for permitting the agencies involved to exchange information among themselves and with counterparts in other countries.

It is critically important that governments include all relevant voices in developing a national anti-money laundering programme. They should, for example, bring law enforcement and financial regulatory authorities together with the private sector to enable financial institutions to play a role in dealing with the problem. This means, among other things, involving the relevant authorities in establishing financial transaction reporting systems, customer identification, record keeping standards and a means for verifying compliance.

Should governments with measures in place still be concerned?


Money launderers have shown themselves through time to be extremely imaginative in creating new schemes to circumvent at a particular government's counter measures. A national system must be flexible enough to be able to detect and respond to new money laundering schemes.

Anti-money laundering measures often force launderers to move to parts of the economy with weak or ineffective measures to deal with the problem. Again, a national system must be flexible enough to be able to extend counter measures to new area of its own economy. Finally, national governments need to work with other jurisdictions to ensure that launderers are not able to continue to operate merely by moving to another location in which money laundering is tolerated.

What about multilateral initiatives?

Large-scale money laundering schemes invariably contain cross-border elements. Since money laundering is an international problem, international co-operation is a critical necessity in the fight against it. A number of initiatives have been established for dealing with problem at the international level.

International organizations, such as the United Nations or the Bank for International Settlements, took some initial steps at the end of the 1980s to address the problem. Following the creation of the FATF in 1989, regional groupings the European Union, Council of Europe, Organizations of American States, to name just a few- established anti-money laundering standards for the member countries. The Caribbean, Asia, Europe and southern Africa have created regional anti-money laundering task force-like organizations, and similar groupings are planned for western Africa and Latin America in the coming years.

Signature of Client : 
Client Name: :
Date: :

PROPRIETARY TRADING INFORMATION (Non Mandatory)

To
All Clients
Sub: Disclosure of Proprietary Trading

Dear Sir/Madam

We do hereby disclose that apart from client based trading, We also do proprietary based trading (Self Account) in all Segment of all Exchanges in which we are members.


Thank and Best Regards,

For Gee Bee Securities Private Ltd

Compliance Officer

Acknowledgement of Client

I/We acknowledge the receipt of information give above by Gee Bee Securities Private Ltd that they do Client based Trading as well Pro-Account Trading.

Signature of Client : 
Client Name :
Date :

LETTER FOR OPERATIONS OF ACCOUNT –NON MANDATORY

To,

GEE BEE SECURITIES PVT. LTD.

5 Clive Row, 4th Floor, Room No. 82-84

Kolkata – 700 001

Tel : (033) 40070831, Fax : (033) 40070831

Date : _____

E-mail : geebeesec@yahoo.com

Dear Sir/Madam

Re: Letter for operations of account

For the smooth operations of the account, kindly note our following instructions:

1. In the course of business, I/We may deal in various segments (Cash, Derivatives, Currency, Interest Rate Futures of Exchange (NSE, BSE and MCX) that you are member of or any other Exchange/Segments membership that you may take in the future. I/We understand that you are required to keep separate ledgers /account for the separate segments and separate Exchanges. There will be many occasions when I/we shall be in credit in one segments/exchange and not in the other. In such cases, kindly do not refuse my orders place in the segment/exchange where I/We do not have sufficient credits and please utilize the credits lying in other segments/exchange account maintained with yourselves by passing journal entry, bank or any other manner of fashion you may deem fit. I/We request you to kindly do not insist for specific instruction for the same form me/us as the same is not practical for me/us. I/We confirm that entries so made shall be binding on me/us in all circumstance.
2. The credits lying in my securities trading accounts with yourself may kindly be utilized against the dues for bills raised for my/our demat accounts maintained with yourselves.
3. My/Our funds/securities lying with you whether for margin or any other may be used by you at your discretion for placing with Exchanges/Clearing Houses and Clearing Corporations for margins for my/our trade positions.

Thank You,



Client Signature

GEE BEE SECURITIES PRIVATE LTD

FATCA / CRS DECLARATION FOR INDIVIDUAL ACCOUNTS

Part A (All fields are mandatory)

Sl. No	Particulars	Particulars			
1	Trading/Demat Account No				
2	Name of Account Holder				
3	Residence address for Tax Purpose (Please provide full address including City, State, Country and Pin Code)				
4	Address Type (Please tick)	Residential		Business	
5	Please provide whether you satisfy any of the below mentioned criteria				
	a. Citizen of any country other than India (dual / multiple/green card)	Yes		No	
	b. Country of birth is any country other than India	Yes		No	
	c. Tax resident of ANY country/countries other than India	Yes		No	
	d. POA or a mandate holder who has an address outside India	Yes		No	
	e. Address or telephone number outside India	Yes		No	

If your answer to any of the above questions is a 'Yes', please provide the details mentioned in Part B.

Part B

1	Particulars	Particulars		
2	Father's Name			
3	Place and Country of Birth *			
4	Source of Wealth			
5	Nationality			
6	Tax Residence Details	Country	Tax Identification No	Tax identification Document (TIN or functional equivalent)

* If Country of birth is USA and nationality or tax residence is not of USA, please the following documentary evidence

1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;
2. Non-US passport or any non-US government issued document evidencing nationality or citizenship
3. Any one of the following documents:
 - Certified Copy of “Certificate of Loss of Nationality or
 - Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or
 - Reason the customer did not obtain U.S. citizenship at birth

It is mandatory to provide TIN or functional equivalent. If TIN or functional equivalent is not available or has not been issued please provide the reason/explanation for the same.

Explanation:

Client Declaration and Acknowledgement:

I/We _____ declare that the above information and information submitted as above to be true, correct and updated, and the submitted documents evidence are genuine and duly executed.

I/We understand that Gee Bee Securities Private Ltd may share information on my account with relevant tax authorities.

In case of change in any information provided by me as above, I will ensure to update the same to Gee Bee Securities Private Ltd within 30 days of the same.

I/We agree that as may be required by domestic tax regulators/tax authorities Gee Bee Securities Pvt Ltd may also be required to report, reportable details to CBDT or close or suspend my account or withhold any sums from my account(s).

I/We also understand that the account will be reported if any one of the aforesaid FATCA / CRS criteria for any of the account holders i.e. primary or joint (in case of demat account) are met.

CLIENT SIGNATURE

Date:

Place:

(Documentary Proof submitted)

Passport		Voter Id		Pan Card		Driving Licence		Aadhar		NREGA		Govt Issued Id Card	

GEE BEE SECURITIES PRIVATE LTD

FATCA / CRS DECLARATION FOR NON INDIVIDUAL ACCOUNTS

Trading/Demat Account No		Residential Status	
Client Name		Date	

Part 1

Particulars	Particulars (Please Tick)			
	Yes		No	
Are you a Government body/International Organisation/Listed Company on a recognized stock exchange. If Yes, please provide the name of stock exchange where listed Name of Stock Exchange:				
Are you a tax resident of any country other than India. If yes, please fill FATCA/CRS Self Declaration form				
Are you a Indian Financial Institution. If Yes. Please provide your GIIN, if any				
Are the substantial owners or controlling persons in the entity are for tax purpose resident in any country outside India or not an Indian citizen				

Part II

Self Certification from entity for Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS)

Section-1 : Entity Information

<u>Particulars</u>	<u>Particulars</u>
Name of the Entity	
Type of Entity Constitution	
Type of Entity Identification	1. Tax Identification No : 2. U S GIIN : 3. Company Identification No.: 4. Global Entity Identification No.: 5. Others:
Identification Number	
Entity Identification Issuing Country	
Country of residence for tax purpose	

Section-2 : Classification of Non Financial Entities

I/We entity certify that entity is	on behalf of	Yes		No	
a) Entity incorporated and taxable in US (specified US Person) If Yes, please provide the U.S taxpayer Identification No. Tax Identification Number:					
b) : An entity incorporated and taxable outside of India(Other than US) If yes, please provide your TIN or its functional equivalent and issuing authority Tax Identification Number:		Yes		No	
c) Please provide the following additional details if you are not a specified U.S Person:					
1) Active Non Financial Institution (NFFE)		Yes		No	
2) Passive NFFE without any controlling person(s)		Yes		No	
3) Passive NFFE with controlling person(s)					
US-		Yes		No	
Other-		Yes		No	
4) Direct reporting NFFE(In case entity itself is registered for direct reporting for FATCA. In such case Gee Bee Securities Pvt Ltd is not required to do reporting Please Provide GIIN					

Section-3 : Classification of Financial Institutions (including Banks)

I/We entity certify that entity is	on behalf of	Yes		No	
a) Entity is a U S Financial Institutions If Yes, Please provide Tax Identification Number Tax Identification Number: Please provide GIIN if any GIIN		Yes		No	
FATCA Classification		Please provide the Global Intermediary Identification Number (GIIN)			
Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction					
Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction					
Participating FFI in a Non-IGA Jurisdiction					
Non-reporting FI					
Non-Participating FI					
Owner-Documented FI with specified US owners					

Section-4 : Controlling Person Details

If you are classified as Passive NFEF with controlling person(s) or Owner documented FFI or Specified U S Person, please provide the following details:

Name of Controlling Person	Correspondence Address	Country of Residence for Tax Purpose	TIN	TIN Issuing Authority	Controlling Person Type

Details	Controlling Person 1	Controlling Person 2	Controlling Person 3	Controlling Person 4	Controlling Person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					
Father's Name					
Percentage of Holding					

Client Declaration and Acknowledgement:

I/We certify that the

- a) We are taxable as a US person under the laws of the United States of America (US) or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S (This clause is applicable only if the account holder is identified as a US Person)
- b) The applicant is an applicant taxable as a resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)

above information and information submitted as above to be true, correct and updated, and the submitted documents evidence are genuine and duly executed.

I understand that Gee Bee Securities Private Ltd may share information on my account with relevant tax authorities.

In case of change in any information provided by me as above, I will ensure to update the same to Gee Bee Securities Private Ltd within 30 days of the same.

I/We agree that as may be required by domestic tax regulators/tax authorities Gee Bee Securities Pvt Ltd may also be required to report, reportable details to CBDT or close or suspend my account or withhold any sums from my account(s).

CLIENT SIGNATURE

MOBILE/EMAIL DECLARATION (NON MANDATORY)

DP ID	IN303698	CLIENT ID/UCC	#	DATE:
Name of Account Holder				
<input type="checkbox"/>	Mobile Number	#		
<input type="checkbox"/>	Email ID	#		
<p>I here declare that the aforesaid mobile number or E-mail belong to Me or My Family as given below:</p> <p>Mobile <input type="checkbox"/> Me <input type="checkbox"/> My Family</p> <p>Email <input type="checkbox"/> Me <input type="checkbox"/> My Family</p> <p>In case it belongs to family member please provide relationship and their consent. (Relative mean Spouse, dependent children, and dependent parents).</p>				
Signature of Account Holder				
Name of Account Holder		#		

REQUEST LETTER FOR ISSUANCE OF ELECTRONIC CONTRACT NOTE- NON MANDATORY

To
Gee Bee Securities Limited
Sarvamangala Building
5 Clive Row, 4th Floor, Room No 82-84
Kolkata 700001

Date:

Dear Sir,

Sub: Request for sending Electronic Contract Note, Account Statements / Documents etc. on my Email Id

Ref: My Trading Code: _____

This is with reference to my above trading account with Gee Bee Securities Pvt Ltd. I/We am/are aware that Contract Note, Bills, Ledgers, Transaction statement (Statement of Fund/ Securities) report, letter, etc. Can be received through electronic mode i.e. Email. In this regards I/We hereby undertake & confirm for the following:

1. To receive Electronic Contract Note, Bills, Ledgers, Transaction statement (Statement of Fund/ Securities) Collateral Statement, Daily Margin statement, Report, Letter etc in electronic from at email id provided by me/us to Gee Bee Securities Pvt Ltd i.e. _____ in relation to trades / transaction done on the Exchanges through Gee Bee Securities Pvt Ltd. I/We authorize Gee Bee Securities Pvt Ltd to update this email id in its records if the same is different from my/our existing email id registered in its records.
2. That any change in email-id shall be communicated to Gee Bee Securities Pvt Ltd through a physical letter.
3. That non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above mentioned e-mail ID.

Yours faithfully,

CLIENT NAME -----

CLIENT SIGNATURE -----

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]

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Gee Bee Securities Private Ltd 5 Clive Row, 4 th Floor, Room No.82-84, Kolkata 70001 033 40070831		FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)																										
Date	D	D	M	M	Y	Y	Y	Y	UCC/DP ID	I	N							Client ID										
I/We wish to make a nomination. [As per details given below]																												
Nomination Details																												
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																												
Nomination can be made upto three nominees in the account.							Details of 1st Nominee							Details of 2nd Nominee							Details of 3rd Nominee							
1	Name of the nominee(s) (Mr./Ms.)																											
2	Share of each Nominee	Equally [If not equally, please specify percentage]																										
		%											%											%				
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																												
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 any one 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 Guardian(s)																											

	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 any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID						
Name(s) of 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

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

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]

To	Date	D	D	M	M	Y	Y	Y	Y
Gee Bee Securities Pvt Ltd Sarvamangala Building 5 Clive Row, 4 th Floor, Room No. 82-84 Kolkata 700001									
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/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

GEE BEE SECURITIES PVT LTD

RISK DISCLOSURE

RISK DISCLOSURES ON DERIVATIVES

- 9 out of 10 individual traders in equity Future and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to Rs. 50,000/-
- Over and above the net trading losses incurred, loss maker expended an additional 28% of net trading losses as transaction cost.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source:

1. SEBI Study dated 25.01.2023 on “ Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F & O) Segment” where in Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

From:

Date:

To
Gee Bee Securities Private Ltd
Sarvamangala Building
5, Clive Row, 4th Floor
Room No 82-84
Kolkata 700 001

Ref: Acknowledgement for the receipt of a copy of the duly executed following documents.

Dear Sir/Madam


This is to acknowledge the receipt of a copy of the duly executed following documents:

1. Account Opening Form
2. Right and Obligations
3. Risk Disclosure documents English and Hindi/Bengali Language
4. Guidance note on education of investors
5. Policies and Procedures
6. Tariff Sheet
7. Running Account Authorizations
8. Literature on Anti Money Laundering
9. Guidance Note on Do's & Don'ts do in English and Hindi/Bengali Language
10. FATCA/ CRS Declaration
11. SEBI Risk Disclosure Document

I/We have carefully read and understood the above documents. I/We agree to abide by the terms and conditions mentioned in the above documents. I/We have noted the Unique Client Code give to me/us which is _____.

Thanking You,

Client Name : _____

Client Signature : 

Client Code : _____