INVESTORS' RIGHTS AND OBLIGATIONS

1.1 You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the stock market/Currency Derivatives market or the broking firm's insolvency or bankruptcy.

1.1.1 Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.

1.1.2 Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE / BSE / CSE / MCX-SX and the scheme of the Investors' Protection Fund in force from time to time.

1.1.3 Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE / BSE / CSE / MCX-SX or its Clearing Corporation.

1.2 Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.

1.3 You should exercise due diligence and comply with the following requirements of the NSE / BSE / CSE / MCX-SX and/or SEBI:

1.3.1 Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Currency Derivatives Segment of the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE / BSE / CSE / MCX-SX and whether they are enabled to trade may be verified from NSE website (www.nseindia.comj, BSE website (www.bseindia.comj, CSE website (www.cse-india.comj and MCX-SX website (www.mcx-sx.comj.

1.3.2 Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.

1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving Licence or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by NSE / BSE / CSE / MCX-SX / SEBI at any time, as is available with the investor.

1.3.4 Give any order for buy or sell of a security/ currency derivatives contract in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.

1.3.5 Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that tile contract note contains details of order number, trade number, trade time, trade price, trade quantity, details of the currency derivatives contract, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/sent by the memberto the investors latest on the next working dav of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract

note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE / BSE / CSE / MCX-SX, without delaying.

1.3.6 Facility ofTrade Verification is available on NSE website (www.nseindia.com), BSE website (www.bseindia.com), CSE website [www.cse-Indla.corn) and MCX-SX website (www.mcx-sx.com) where details of trade as mentioned in the contract note may be verified from the trade date upto five trading days. 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 ofNSE/ BSE/ CSE/ MCX-SX.

1.3.7 Ensure that payment of funds against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE / BSE / CSE / MCX-SX or its Clearing Corporation. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member.

1.3.8 In case pay-out offunds is not received on the next working day after date of pay-out announced by NSE / BSE / CSE / MCX-SX or its Clearing'Corporation, please follow-up with the concerned memberfor its receipt. In case pay-out is not received as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE / BSE / CSE / MCX-SX.

1.3.09 Every member is required to send a complete 'Statement of Accounts', for both settlements and margins, to each of its constituents, at such periodicity as may be prescribed from 'time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matterto the Investors Grievance Cell of NSE / BSE / CSE / MCX-SX, without delaying.

1.3.10 In case of a complaint against a member, you should address the complaint to the Office as may be specified by NSE / BSE/ CSE/ MCX-SX from time to time.

1.4 In case where a member surrenders his membership, NSE / BSE / CSE / MCX-SX gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE / BSE / CSE / MCX-SX, ensure that you lodge a claim with NSE / BSE / CSE / MCX-SX /Clearing Corporation within the stipulated period and with the supporting documents.

1.5 In case where a member is expelled from trading membership or declared a defaulter, NSE / BSE / CSE / MCX-SX gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE / BSE / CSE / MCX-SX, ensure that you lodge a claim with NSE within the stipulated period and with the supporting documents.

1.6 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye -laws and the scheme under the Investors' Protection Fund (IPF) may be payable as prescribed by SEBI.

Notes:

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE / BSE / CSE / MCX-SX for the purpose of buying and / or selling of currency derivatives contract through the mechanism provided by NSE / BSE / CSE / MCX-SX.

2. The term 'member' shall mean and include a trading member or a broker or a stock broker, who has been admitted as such by NSE / BSE / CSE / MCX-SX a nd who holds a registration certificate from SEBI.

3. The term 'contract' refers to F&O / currency derivatives contract and the term 'underlying' refers to the underlying index/stock/ currency of such contracts.