

ADDITIONAL RISK / OBLIGATION / LIABILITY STATEMENT IN THE CASE OF TRADING THROUGH WIRELESS TECHNOLOGY / SMART ORDER ROUTING / MUTUAL FUNDS ON EXCHANGE PLATFORM

These terms contained in these present are in addition to and concurrent with the terms of Rights and Obligation prescribed the Securities and Exchange Board of India (SEBI) vide its circular dated August 22, 2011 as amended from time to time and letter containing additional voluntary terms and conditions. Following are the additional features, risks, responsibilities, obligations and liabilities associated with the securities trading using wireless technology, Smart Order Routing and Mutual Fund transactions on Exchange platform, applicable to CLIENTS who wish to avail any such facilities from the Stock Broker/MEMBER:

Securities Trading using Wireless Technologies (STWT):

- 1) The CLIENT agrees that the MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/MEMBERS/EXCHANGE end.
- 2) The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.
- 3) The information regarding order and trade confirmation shall be provided on the device of the CLIENT in case of securities trading through the use of wireless technology.
- 4) The CLIENT is aware that as it may not be possible to give detailed information on transactions / ledger / contract note etc. to the CLIENT on a hand held device e.g. mobile phones etc. minimum information would be given with address of the Internet website / web page where detailed information would be available.

Smart Order Routing Facility (SOR)

- 1) The CLIENT is aware that SOR is available for online customers and the MEMBER shall route orders using this facility in a neutral manner.
- 2) The MEMBER has explained and the client has understood the best execution policy as mentioned below and its features for SOR facility.

Best Execution Policy for Smart Order Routing:

Best Execution Policy sets forth policy and execution methodology for execution of orders for securities listed on a securities exchange within India and on specific client instruction regarding execution, trading member shall endeavor to execute that order in accordance with the following principle:

- i. MEMBER shall permit Smart Order option in cash segment only. Smart order facility will not be available for After Market Orders.
 - ii. Using Smart Order, the CLIENT may place market order after clearance of all the risk management validations set by the MEMBER.
 - iii. For market order, system shall send the orders to the Exchanges based on the available market depth. The order placed by the CLIENT will be splitted and sent to the Exchange where there is best rate available for a particular quantity. If prices are equal in available Exchange then quantity will be the priority and system will place order on the Exchange where total quantity is maximum for that order type.
- 3) The CLIENT is aware that the trading member shall carry out appropriate validation of all risk parameters before the orders are placed through the SOR system.
 - 4) In case the CLIENT has availed Smart Order Routing facility he shall select the type of order he wishes to use for a particular trade.
 - 5) The MEMBER shall ensure that alternative mode of trading system for eg. Call and trade facility etc. is available in case of failure of Smart Order Routing facility.
 - 6) The MEMBER shall maintain logs of all activities to facilitate audit trail.
 - 7) The client shall also abide to the terms and conditions as may be communicated regarding SOR facility from time to time or as is published on the website of the MEMBER.

Mutual Funds on Exchange Platform:

- 1) The CLIENT shall abide by the terms and conditions as may be specified by the Exchange and shall ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).
- 2) The CLIENT shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which they choose to subscribe/redeem. The CLIENT further agrees to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.