

**Authorised Signatory:-**

Shri Alok Tulsyan  
 Shri Atul Kumar Agarwal  
 Shri Suresh Gupta  
 Shri Sandeep Seth  
 Shri L.S. Pandey  
 Shri Anurag Srivastava  
 Shri Vinay Pandey



CONTRACT NOTE CUM BILL

**UPSE SECURITIES LTD.**

MEMBER : BSE LIMITED, NATIONAL STOCK EXCHANGE OF INDIA LIMITED

SEBI REGN. NOS. INB011116838, INB231116832 & INF231116832 - ADDRESS : PADAM TOWERS, 14/113, CIVIL LINES, KANPUR - 208 001 (U.P.)  
 Telephone No.: 0512-2338115, 2338074 • Fax No.: 0512-2338175 • E-mail ID for Investor Complaint : upseseccomplaints@gmail.com • website : www.upsecindia.com  
 CIN : U67120UP2000PLC025330 • Compliance Officer Details : Name : Alok Tulsyan • E-mail : alokupse@gmail.com • Mob. : +91 9918254111

Exchange Code :  
 Client Code :  
 PAN of Client :  
 Name of the Client :  
 Address of the Client :

UCC of Client :

Dealing Office :

CONTRACT NOTE NO. :  
 TRADE NAME :  
 SETTLEMENT NO. :  
 SETTLEMENT DATE :  
 PAGE NO. :

Dear Sir/Madam

I/We have this day done by your order and on your account the following transactions:

Order No	Order Time	Trade No.	Trade Time	Security/Contract description	Buy (B)/ Sell(S)	Quantity	Gross Rate/Trade price Per Unit (Rs.)	Brokerage per unit (Rs.)	Net Rate per Unit (Rs.)	Net Total (Before Levies) (Rs.)	Rem (arks)
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**Details of trade wise levies shall be provided on request:**

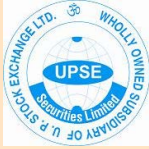
Transactions mentioned in this contract note cum bill shall be governed and subject to the Rules, Bye-laws and Regulations and Circulars of the respective Exchange on which trades have been executed and Securities and Exchange Board of India from time to time. The Exchange provide Complaint Resolution, Arbitration and Appellate arbitration facilities at the Regional Arbitration Centras (RAC). The client may approach its nearest centre, details of which are available on respective Exchange's website. Please visit www.bseindia.com for BSE and www.nseindia.com for NSE.

Date :

Place :

Yours Faithfully  
 For **UPSE SECURITIES LTD.**

CEO/Authorised Signatory  
 PAN : AAACU6058K  
 Service Tax No. : AAACU6058KST001



**Director/Proprietor/Authorised Signatory :**  
VINAY PANDEY  
ALOK TULSYAN

**CONTRACT NOTE**  
Capital Market Segment of BSE

**UPSE SECURITIES LTD.**

**Member: Bombay Stock Exchange Limited**

Regd. Off.: "PADAM TOWERS", 14/113, CIVIL LINES,  
KANPUR - 208001.

Corp. Off : "PADAM TOWERS", 14/113, CIVIL LINES,  
KANPUR - 208001. Phones: 0512-2338115, 2338074  
Phones:0512 - 2338115, 2338074 Fax:0512 - 2338175

**E-mail: info@upsecindia.com**

Investor Complaint Mail ID : upsecomplaints@gmail.com

SEBI REGN NO. INB011116838

www.upsecindia.com

Trading Member Code No.:298 CIN

No : U67120UP2000PLC025330

Dealing Address :CABIN NO.712 PADAM TOWER 14/113  
CIVIL LINES KANPUR  
3018110

Compliance Officer Details ::	
<b>Name</b>	Alok Tulsyan
<b>Phone No.</b>	0512 - 2338074, Mob: 9918254111
<b>E-mail ID</b>	alokupse@gmail.com

NSDL	
DP ID	: IN302025
CMBP ID	: IN652365
DP Name	: SHCIL
CDSL	
DP ID	: 13061300
Client ID	: 1306130000007008
DP Name	: UPSE SECURITIES LIMITED
CM ID	: 298
Early Payin Pool ID	: 1100001000019118

To  
XYZ01 XYZ SECURITIES  
LIMITED  
MAHANAGAR  
KANPUR

Unique Client Code: XYZ01,  
Trading Code No : XYZ01  
PAN No. - AAAA1111A

<b>Exchange :</b>	BSE
<b>Contract Note No.</b>	BSE/BR5999/999999
<b>Trade Date:</b>	26-99-2014
<b>SETT.NO.:</b>	1415999
<b>SETT Period.:</b>	26-99-2014 To 26-99-2014
<b>Settlement Date:</b>	30-99-2014

Sir / Madam,

I/We have this day done by your order and on your account the following transactions :

Order No	Order Time	Trade No.	Trade Time	Security Description	Buy (B)/ Sell (S)	Quantity	Gross Rate/ Trade Price Per Unit [Rs.]	Brokerage Per Unit [Rs.]	Net Rate Per Unit [Rs.]	Net Total [Before Levies] [Rs.]	Remarks
1419123456789111061	09:45:00	1234567	11:18:28	SPICEJET LTD	S	-500	19.30	0.1000	19.2	9600	

PAY IN/PAY OUT OBLIGATION	9600.00
Securities Transaction Tax	9.65
Service Tax (@12.36% of Brokerage)	6.18
Exchange Transaction Charges	0.27
SEBI CHARGES(CASH)	0.02
StampDuty	0.40
Service Tax (@12.36% of Other than Brokerage)	0.03
<b>Net Amount Receivable by Client</b>	<b>9583.45</b>

**Net Amount Receivable/Payable by Client Nine Thousand Five Hundred Eighty-three Rupees And Forty-five Paise Only**

**Details of trade-wise levies shall be provided on request.**

Transactions mentioned in this contract note shall be governed and subject to the Rules, Bye-laws and Regulations and Circulars of the respective Exchanges on which trades have been executed and Securities and Exchange Board of India from time to time. The Exchanges provide Complaint Resolution, Arbitration and Appellate arbitration facilities at the Regional Arbitration Centres (RAC). The client may approach its nearest centre, details of which are available on respective Exchange's website. Please visit <http://www.bseindia.com> for BSE, <http://www.mcx-sx.com> for MCX-SX, <http://www.nseindia.com> for NSE.

Yours Faithfully,  
For UPSE SECURITIES LTD.

Place: **KANPUR**  
Date : 26-MON-2014

VINAY PANDEY, ALOK TULSYAN  
Authorised Signatory/Director/Proprietor  
Member Of Bombay Stock Exchange Limited  
Pan No AAACU6058K  
STax. Regn.No :AAACU6058KST001  
\* Trades were executed due to non-compliance by the client  
towards margin calls made by the Member.

## Annexure II

### Statement of Securities Transaction Tax for equity share in a company or a unit of an equity oriented fund.

<b>Stock Exchange :</b>		Bombay Stock Exchange Limited													
<b>Stock Broker Code :</b>		298				<b>Stock Broker Name :</b>		UPSE SECURITIES LTD.							
<b>Trading Client Code :</b>		XYZ01				<b>Trading Client Name :</b>		XYZ SECURITIES LIMITED							
<b>Trading Client PAN :</b>		AAAA1111A				<b>Trading Client Mapin :</b>									
<b>Contract No :</b>		BSE/BR5999/999999				<b>Contract Note :</b>		26-MON-2014							
Sl.No	Security	Transaction Settled By Delivery. Purchase				Transaction Settled By Delivery. Sell				Transaction Settled Other Than Delivery				TOTAL STT	
		Qty	Price	Value	STT	Qty	Price	Value	STT	Qty	Price	Value	STT		
1	500285					500	19.3	9650	9.65						9.65
<b>Total STT</b>													<b>9.65</b>		
<b>Place :</b>		KANPUR													
<b>Date :</b>		26-MON-2014						For : <b>UPSE SECURITIES LTD.</b>							
								<b>VINAY PANDEY</b>							
								(Authorised Signatory)							



**Director/Proprietor/Authorised Signatory :**  
VINAY PANDEY  
ALOK TULSYAN

**CONTRACT NOTE**  
(Capital Market Segment of NSE)

**UPSE SECURITIES LTD.**

**Member: The National Stock Exchange of India Ltd.**  
Regd. Off.: "PADAM TOWERS", 14/113, CIVIL LINES,  
KANPUR - 208001.

Corp. Off : "PADAM TOWERS", 14/113, CIVIL LINES,  
KANPUR - 208001. Phones: 0512-2338115, 2338074  
Phones: 0512 - 2338115, 2338074 Fax: 0512 - 2338175

**E-mail: info@upsecindia.com**

Investor Complaint Mail ID : upseseccomplaints@gmail.com

SEBI REGN NO. INB231116832

www.upsecindia.com

Trading Member Code No.: 11168 CIN

No : U67120UP2000PLC025330

Dealing Address : 3 RD, FLOOR , PADAM TOWER. 14/113  
CIVIL LINES KANPUR  
3016654, 3016655

Compliance Officer Details ::	
<b>Name</b>	Alok Tulsyan
<b>Phone No.</b>	0512 - 2338074, Mob: 9918254111
<b>E-mail ID</b>	alokupse@gmail.com

<u>NSDL</u>	
DP ID	: IN301330
CMBP ID	: IN516875
DP Name	: SHCIL
<u>CDSL</u>	
DP ID	: 13061300
Client ID	: 1306130000010042
DP Name	: UPSE SECURITIES LIMITED
CM ID	: M51687
Early Payin Pool ID	: 1100001100018281

To  
XYZ01 XYZ SECURITIES  
LIMITED  
MAHANAGAR  
KANPUR

Pin : 208001  
1111111  
Unique Client Code: XYZ01,  
Client Code : XYZ01  
PAN No. - AAAA1111A

<b>Exchange :</b>	NSE
<b>Contract Note No.</b>	NSE/NN4999/99999
<b>Trade Date:</b>	26-99-2014
<b>SETT.NO.:</b>	2014999
<b>SETT Period.:</b>	26-99-2014 To 26-99-2014
<b>Settlement Date:</b>	30-99-2014

Sir / Madam,

I/We have this day done by your order and on your account the following transactions :

Order No	Order Time	Trade No.	Trade Time	Security Description	Buy (B)/ Sell (S)	Quantity	Gross Rate/ Trade Price Per Unit [Rs.]	Brokerage Per Unit [Rs.]	Net Rate Per Unit [Rs.]	Net Total [Before Levies] [Rs.]	Remarks
2014992611117458	09:52:44	12345684	09:52:44	MIRZA INTER	B	895	42.85	0.0200	42.87	-38368.65	
2014992611117458	09:52:44	12345685	09:52:44	MIRZA INTER	B	8627	42.90	0.0200	42.92	-370270.84	
2014992611117458	09:52:44	12345686	09:52:44	MIRZA INTER	B	1	42.90	0.0200	42.92	-42.92	
2014992611117458	09:52:44	12345687	09:52:44	MIRZA INTER	B	477	43.00	0.0200	43.02	-20520.54	
2014992611111181	09:53:05	12345157	09:53:05	MIRZA INTER	B	1500	42.95	0.0200	42.97	-64455	
2014992611111181	09:53:05	12345158	09:53:05	MIRZA INTER	B	374	43.00	0.0200	43.02	-16089.48	
2014992611111181	09:53:05	12345159	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02	
2014992611111181	09:53:05	12345160	09:53:05	MIRZA INTER	B	50	43.00	0.0200	43.02	-2151	
2014992611111181	09:53:05	12345161	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4	
2014992611111181	09:53:05	12345162	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02	
2014992611111181	09:53:05	12345163	09:53:05	MIRZA INTER	B	200	43.00	0.0200	43.02	-8604	
2014992611111181	09:53:05	12345164	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02	
2014992611111181	09:53:05	12345165	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4	
2014992611111181	09:53:05	12345166	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02	
2014992611111181	09:53:05	12345167	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4	
2014992611111181	09:53:05	12345168	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02	

2014992611111181	09:53:05	12345169	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4
2014992611111181	09:53:05	12345170	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02
2014992611111181	09:53:05	12345171	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4
2014992611111181	09:53:05	12345172	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02
2014992611111181	09:53:05	12345173	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4
2014992611111181	09:53:05	12345174	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02
2014992611111181	09:53:05	12345175	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4
2014992611111181	09:53:05	12345176	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02
2014992611111181	09:53:05	12345177	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4
2014992611111181	09:53:05	12345178	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02
2014992611111181	09:53:05	12345179	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4
2014992611111181	09:53:05	12345180	09:53:05	MIRZA INTER	B	1	43.00	0.0200	43.02	-43.02
2014992611111181	09:53:05	12345181	09:53:05	MIRZA INTER	B	20	43.00	0.0200	43.02	-860.4
2014992611111181	09:53:05	12345471	09:53:13	MIRZA INTER	B	1489	43.00	0.0200	43.02	-64056.78
2014992611111181	09:53:39	12340771	09:53:57	MIRZA INTER	B	10	43.00	0.0200	43.02	-430.2
2014992611111181	09:53:39	12341350	09:54:05	MIRZA INTER	B	100	43.00	0.0200	43.02	-4302
2014122633981152	09:54:05	12341363	09:54:05	MIRZA INTER	B	70	43.05	0.0200	43.07	-3014.9
2014122633981152	09:54:05	12341364	09:54:05	MIRZA INTER	B	50	43.10	0.0200	43.12	-2156
2014122633981152	09:54:05	12341365	09:54:05	MIRZA INTER	B	1	43.10	0.0200	43.12	-43.12
2014122633981152	09:54:05	12341366	09:54:05	MIRZA INTER	B	10	43.10	0.0200	43.12	-431.2
2014122633981152	09:54:05	12341367	09:54:05	MIRZA INTER	B	200	43.15	0.0200	43.17	-8634
2014122633981152	09:54:05	12341368	09:54:05	MIRZA INTER	B	50	43.20	0.0200	43.22	-2161
2014122633981152	09:54:05	12341369	09:54:05	MIRZA INTER	B	100	43.20	0.0200	43.22	-4322
2014122633981152	09:54:05	12341370	09:54:05	MIRZA INTER	B	100	43.20	0.0200	43.22	-4322
2014122633981152	09:54:05	12341371	09:54:05	MIRZA INTER	B	500	43.20	0.0200	43.22	-21610
2014122633981152	09:54:05	12341372	09:54:05	MIRZA INTER	B	150	43.25	0.0200	43.27	-6490.5
2014122633981152	09:54:05	12341373	09:54:05	MIRZA INTER	B	500	43.25	0.0200	43.27	-21635
2014122633981152	09:54:05	12341374	09:54:05	MIRZA INTER	B	100	43.30	0.0200	43.32	-4332
2014122633981152	09:54:05	12341375	09:54:05	MIRZA INTER	B	1000	43.30	0.0200	43.32	-43320
2014122633981152	09:54:05	12341376	09:54:05	MIRZA INTER	B	100	43.40	0.0200	43.42	-4342
2014122633981152	09:54:05	12341377	09:54:05	MIRZA INTER	B	25	43.40	0.0200	43.42	-1085.5
2014122633981152	09:54:05	12341378	09:54:05	MIRZA INTER	B	500	43.45	0.0200	43.47	-21735
2014122633981152	09:54:05	12341379	09:54:05	MIRZA INTER	B	50	43.50	0.0200	43.52	-2176
2014122633981152	09:54:05	12341380	09:54:05	MIRZA INTER	B	100	43.50	0.0200	43.52	-4352
2014122633981152	09:54:05	12341381	09:54:05	MIRZA INTER	B	5	43.50	0.0200	43.52	-217.6
2014122633981152	09:54:05	12341382	09:54:05	MIRZA INTER	B	5	43.50	0.0200	43.52	-217.6
2014122633981152	09:54:05	12341383	09:54:05	MIRZA INTER	B	100	43.50	0.0200	43.52	-4352
2014122633981152	09:54:05	12341384	09:54:05	MIRZA INTER	B	500	43.50	0.0200	43.52	-21760
2014122633981152	09:54:05	12341385	09:54:05	MIRZA INTER	B	1	43.50	0.0200	43.52	-43.52
2014122633981152	09:54:05	12341386	09:54:05	MIRZA INTER	B	1	43.50	0.0200	43.52	-43.52
2014122633981152	09:54:05	12341387	09:54:05	MIRZA INTER	B	1000	43.50	0.0200	43.52	-43520
2014122633981152	09:54:05	12341388	09:54:05	MIRZA INTER	B	4	43.50	0.0200	43.52	-174.08
2014122633981152	09:54:05	12341389	09:54:05	MIRZA INTER	B	996	43.50	0.0200	43.52	-43345.92
2014122633981152	09:54:05	12341390	09:54:05	MIRZA INTER	B	1000	43.50	0.0200	43.52	-43520

2014122633981152	09:54:05	12341393	09:54:05	MIRZA INTER	B	32	43.50	0.0200	43.52	-1392.64
2014122633981152	09:54:05	12341394	09:54:05	MIRZA INTER	B	68	43.50	0.0200	43.52	-2959.36
2014122633981152	09:54:05	12341726	09:54:10	MIRZA INTER	B	1000	43.50	0.0200	43.52	-43520
2014122633981152	09:54:05	12342021	09:54:12	MIRZA INTER	B	1682	43.50	0.0200	43.52	-73200.64
2014992611111181	09:54:30	12343233	09:54:30	MIRZA INTER	B	1	43.45	0.0200	43.47	-43.47
2014992611111181	09:54:30	12343234	09:54:30	MIRZA INTER	B	817	43.50	0.0200	43.52	-35555.84
2014992611111181	09:54:30	12343235	09:54:30	MIRZA INTER	B	10	43.50	0.0200	43.52	-435.2
2014992611111181	09:54:30	12343236	09:54:30	MIRZA INTER	B	50	43.50	0.0200	43.52	-2176
2014992611111181	09:54:30	12343237	09:54:30	MIRZA INTER	B	1	43.50	0.0200	43.52	-43.52
2014992611111181	09:54:30	12343238	09:54:30	MIRZA INTER	B	639	43.50	0.0200	43.52	-27809.28
2014992611111181	09:54:30	12343450	09:54:33	MIRZA INTER	B	5	43.50	0.0200	43.52	-217.6
2014992611111181	09:54:30	12343494	09:54:34	MIRZA INTER	B	1	43.50	0.0200	43.52	-43.52
2014992611111181	09:54:30	12344231	09:54:47	MIRZA INTER	B	700	43.50	0.0200	43.52	-30464
2014992611111181	09:54:30	12344625	09:54:52	MIRZA INTER	B	1	43.50	0.0200	43.52	-43.52
2014992611111181	09:54:30	12346130	09:55:18	MIRZA INTER	B	400	43.50	0.0200	43.52	-17408
2014992611111181	09:55:22	12349160	09:56:13	MIRZA INTER	B	400	43.50	0.0200	43.52	-17408
2014992611111181	09:55:22	12349163	09:56:13	MIRZA INTER	B	198	43.50	0.0200	43.52	-8616.96
2014992611111181	09:55:22	12349165	09:56:13	MIRZA INTER	B	202	43.50	0.0200	43.52	-8791.04
2014992611111181	09:55:22	12349167	09:56:13	MIRZA INTER	B	157	43.50	0.0200	43.52	-6832.64
2014992611111181	09:55:22	12349533	09:56:19	MIRZA INTER	B	1	43.50	0.0200	43.52	-43.52
2014992611111181	09:55:22	12349750	09:56:24	MIRZA INTER	B	100	43.50	0.0200	43.52	-4352
2014992611111181	09:55:22	12349992	09:56:30	MIRZA INTER	B	142	43.50	0.0200	43.52	-6179.84
2014992611111181	09:55:22	12349994	09:56:30	MIRZA INTER	B	172	43.50	0.0200	43.52	-7485.44
2014992611111181	09:55:22	12340385	09:56:37	MIRZA INTER	B	228	43.50	0.0200	43.52	-9922.56
2014992611111181	09:55:22	12340387	09:56:37	MIRZA INTER	B	131	43.50	0.0200	43.52	-5701.12
2014992611111181	09:55:22	12340608	09:56:41	MIRZA INTER	B	5	43.50	0.0200	43.52	-217.6
2014992611111181	09:55:22	12341094	09:56:49	MIRZA INTER	B	5	43.50	0.0200	43.52	-217.6
2014992611111181	09:55:22	12341106	09:56:49	MIRZA INTER	B	100	43.50	0.0200	43.52	-4352
2014992611111181	09:55:22	12341938	09:57:04	MIRZA INTER	B	1600	43.50	0.0200	43.52	-69632

PAY IN/PAY OUT OBLIGATION	-1296790.00
Securities Transaction Tax	1296.30
Service Tax (@12.36% of Brokerage)	74.16
Exchange Transaction Charges	42.13
SEBI CHARGES(CASH)	2.59
StampDuty	26.00
Service Tax (@12.36% of Other than Brokerage)	5.21
<b>Net Amount Payable By Client</b>	<b>-1298236.39</b>

**Net Amount Receivable/Payable by Client Twelve Lakhs Ninety-eight Thousand Two Hundred Thirty-six Rupees And Thirty-nine Paise Only**

**Details of trade-wise levies shall be provided on request.**

Transactions mentioned in this contract note shall be governed and subject to the Rules, Bye-laws and Regulations and Circulars of the respective Exchanges on which trades have been executed and Securities and Exchange Board of India from time to time. The Exchanges provide Complaint Resolution, Arbitration and Appellate arbitration facilities at the Regional Arbitration Centres (RAC). The client may approach its nearest centre, details of which are available on respective Exchange's website. Please visit <http://www.bseindia.com> for BSE, <http://www.mcx-sx.com> for MCX-SX, <http://www.nseindia.com> for NSE.

Yours Faithfully,  
For **UPSE SECURITIES LTD.**  
VINAY PANDEY, ALOK TULSYAN

Place: **KANPUR**  
Date : 26-Mon-2014

Authorised Signatory/Director/Proprietor  
Member Of The National Stock Exchange of India Ltd.  
Pan No AAACU6058K

STax. Regn.No :AAACU6058KST001

\* Trades were executed due to non-compliance by the client  
towards margin calls made by the Member.

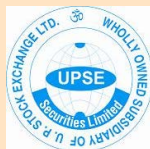
## Annexure II

### Statement of Securities Transaction Tax for equity share in a company or a unit of an equity oriented fund.

<b>Stock Exchange :</b>	The National Stock Exchange of India Ltd.		
<b>Stock Broker Code :</b>	11168	<b>Stock Broker Name :</b>	UPSE SECURITIES LTD.
<b>Trading Client Code :</b>	XYZ01	<b>Trading Client Name :</b>	XYZ SECURITIES LIMITED
<b>Trading Client PAN :</b>	AAAA1111A	<b>Trading Client Mapin :</b>	
<b>Contract No :</b>	NSE/NN4999/99999	<b>Contract Note :</b>	26-Mon-2014

Sl.No	Security	Transaction Settled By Delivery. Purchase				Transaction Settled By Delivery. Sell				Transaction Settled Other Than Delivery				TOTAL
		Qty	Price	Value	STT	Qty	Price	Value	STT	Qty	Price	Value	STT	STT
1	MIRZAIN T	30000	43.21	1296300	1296.3									1296.3
													<b>Total STT</b>	<b>1296.30</b>

<b>Place :</b>	KANPUR	
		For : <b>UPSE SECURITIES LTD.</b>
<b>Date :</b>	26-Mon-2014	
		<b>VINAY PANDEY</b>
		(Authorised Signatory)



**CONTRACT NOTE**  
(Future And Option Segment of NSE)

To,  
XYZ01 XYZ SECURITIES  
LIMITED  
MAHANAGAR  
KANPUR,  
UTTAR PRADESH

Unique Client Code : XYZ01  
Client Code: XYZ01  
PAN No. - AAAA1111A

**UPSE SECURITIES LTD.**  
**MEMBER: NATIONAL STOCK EXCHANGE OF INDIA LIMITED**  
**REGD. OFF.:"PADAM TOWERS",14/113, CIVIL LINES,,KANPUR - 208001.**  
Corp.Off : "PADAM TOWERS", 14/113, CIVIL LINES, KANPUR - 208001.  
Phones: 0512-2338115, 2338074  
Tel.:0512 - 2338115, 2338074 Fax No:0512 - 2338175  
Email ID : info@upsecindia.com  
**Investor Complaint Mail ID : upseccomplaints@gmail.com**  
**SEBI REGN. NO. INF231116832 TRADING MEMBER CODE : 11168**  
**www.upsecindia.com**  
**CIN No :U67120UP2000PLC025330**  
**Directors/Partner/Proprietor/Authorised Signatories : VINAY PANDEY,ALOK TULSYAN**  
Dealing Address :CABIN NO 540-A,PADAM TOWER CIVIL LINES KANPUR  
0512-3082479 nareshgajwani@gmail.com

Exchange	NSE-FO
Cont.No	NSE/FO/0000
Trade Date	26-99-2014
Settlement Date	29-99-2014
<b>Compliance Officer Details :</b>	
Name	Alok Tulsyan
Ph. No.	0512 - 2338074, Mob: 9918254111
E-Mail	alokupse@gmail.com

Sir/Madam

I/We have this day done by your order and on your account the following transactions:

Order No	Order Time	Trade No.	Trade Time	Contract Description	Buy (B)/Sell (S)	Quantity	Gross Rate/Trade Per Unit [Rs.]	Brokerage Per Unit [Rs.]	Net Rate Per Unit [Rs.]	Net Total (Before levies) [Rs.]	Remarks
1234567825600417	09:32:53	12345678	09:33:06	FUTIDXBANKNIFTY29JAN2015	B	25	18829.40	0.4236	18829.8236	-470745.59	
1234567825714997	09:36:59	12345678	09:37:01	FUTIDXBANKNIFTY29JAN2015	B	25	18813.95	0.4232	18814.3732	-470359.33	
				<b>Scrip Total</b>		<b>50</b>				<b>-941104.92</b>	
1234567825473746	09:28:45	12345678	09:29:43	OPTIDXBANKNIFTY29JAN2015 - 18800.00 - PE	B	25	422.80	0.2000	423.0000	-10575.00	
1234567825620604	09:45:42	12345678	10:05:12	OPTIDXBANKNIFTY29JAN2015 - 18800.00 - PE	B	25	442.45	0.2000	442.6500	-11066.25	
				<b>Scrip Total</b>		<b>50</b>				<b>-21641.25</b>	
1234567825292208	09:23:21	12345678	09:23:22	OPTIDXBANKNIFTY29JAN2015 - 19500.00 - CE	S	-25	168.15	0.2000	167.9500	4198.75	
1234567825514456	09:29:53	12345678	09:30:30	OPTIDXBANKNIFTY29JAN2015 - 19500.00 - CE	S	-25	168.20	0.2000	168.0000	4200.00	
1234567825609288	09:33:12	12345678	09:33:16	OPTIDXBANKNIFTY29JAN2015 - 19500.00 - CE	S	-25	170.00	0.2000	169.8000	4245.00	
1234567825612652	09:33:18	12345678	09:33:18	OPTIDXBANKNIFTY29JAN2015 - 19500.00 - CE	S	-25	169.25	0.2000	169.0500	4226.25	
				<b>Scrip Total</b>		<b>-100</b>				<b>16870.00</b>	

PAY IN/PAY OUT OBLIGATION	-945876.17
Securities Transaction Tax	3.00
Service Tax (@12.36% of Brokerage)	6.32
Exchange Transaction Charges	37.14
SEBI CHARGES (F&O)	1.96
STAM DUTY	20.00
Clg.Charges	6.60
Service Tax (@12.36% of Other than Brokerage)	5.41
<b>Net Amount Payable By Client</b>	<b>-945956.60</b>

**Net Amount Payable By Client Nine Lakhs Forty-five Thousand Nine Hundred Fifty-six Rupees And Sixty Paise Only**

**Details of trade-wise levies shall be provided on request.:**

Transactions mentioned in this contract note shall be governed and subject to the Rules, Bye-laws and Regulations and Circulars of the respective Exchanges on which trades have been executed and Securities and Exchange Board of India from time to time. The Exchanges provide Complaint Resolution, Arbitration and Appellate arbitration facilities at the Regional Arbitration Centres (RAC). The client may approach its nearest centre, details of which are available on respective Exchange's website.



Please visit <http://www.bseindia.com> for BSE, <http://www.mcx-sx.com> for MCX-SX, <http://www.nseindia.com> for NSE

Place: **KANPUR**  
Date : 26-MON-2014

Yours Faithfully,  
For **UPSE SECURITIES LTD.**  
VINAY PANDEY,ALOK TULSYAN  
Authorised Signatory/Director/Proprietor  
Member: **The National Stock Exchange of India Ltd.**  
Pan No AAACU6058K  
S.TAX REGN. NO. AAACU6058KST001

\* Trades were executed due to non-compliance by the client towards margin calls made by the Member.

### Annexure III

#### Statement of Securities Transaction Tax for Derivative.

<b>Stock Exchange :</b>	National Stock Exchange of India Limited		<b>Stock Broker Code :</b>	11168	<b>Stock Broker Name :</b>	UPSE SECURITIES LTD.	
<b>Trading Client Code :</b>	XYZ01		<b>Trading Client Name :</b>	XYZ SECURITIES LIMITED			
<b>Trading Client PAN :</b>	AAAA1111A		<b>Trading Client Mapin :</b>				
<b>Contract No :</b>	NSE/FO/0000		<b>Contract Date :</b>	26-MON-2014			
Sl.No	Security	Expiry Date	Value of Transaction(Futures)		Value of Transaction(Options)		TOTAL
			SELL	STT	SELL	STT	STT
1	BANKNIFTY	29-JAN-2015	0	0	16890	2.87	2.87
<b>Total STT</b>							<b>3</b>
<b>Place :</b>	KANPUR		For : <b>UPSE SECURITIES LTD.</b>				
<b>Date :</b>	26-MON-2014		VINAY PANDEY,ALOK TULSYAN				
			( <b>Authorised Signatory</b> )				