

Policies and Procedures

1. Penny Stocks

Unlock Wealth Securities Limited shall be at liberty to refuse trades in Penny stocks i.e. illiquid securities identified by the Exchanges.

2. Client's Exposure Limits

The Client shall abide by the exposure limits, if any, set by the Sub-broker or Unlock Wealth Securities Limited or by the Exchanges or Clearing Corporation or SEBI from time to time.

3. Brokerage Rate

The Client shall pay to Unlock Wealth Securities Limited brokerage and statutory levies as applicable from time to time and as they apply to client's account, transactions and to the services that Unlock Wealth Securities Limited and/or Authorised Person render to the client. Unlock Wealth Securities Limited/Authorised Person shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Bye-Laws and Regulations of the Exchanges/ SEBI.

4. Imposition of Penalty

All Parties i.e. Unlock Wealth Securities Limited, Authorised Person and Client shall abide by the penalty norms, if any, for delayed payments and other violations, set by the Unlock Wealth Securities Limited or by the Exchanges or Clearing Corporation or SEBI from time to time, as per below mention in Tariff sheet.

5. Right to Sell Client's Securities (including Return of Excess Securities, Liquidation of Securities in case of Non-fulfillment of fund obligation and Payment Terms)

Without prejudice to the other rights, Unlock Wealth Securities Limited shall be entitled to liquidate (sell Client's securities)/close out all or any of the Client's

positions for non payments of margins, pay-ins, outstanding debts or other amounts, limited to the extent of settlement/margins obligations, and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations, without giving notice to the client. All losses and financial charges on account of such liquidation/close out shall be charged to and borne by the client. However, no excess securities will be retained and returned to client's respective demat account.

6. Shortages in internal Nettings

Client shall be liable to make good all the shortages in obligations arising out of internal netting of trades.

7. Client's Position

Under the conditions, if any, specified by Unlock Wealth Securities Limited or by the Exchanges from time to time, the Client shall not be allowed to take further position or Unlock Wealth Securities Limited may close the existing position of the client.

8. Client's Request

On receipt of written request of the client, his account shall be closed or temporarily suspended.

9. Deregistration of Client

The Client shall be put in the inactive list or finally deregistered, under the policy specified Unlock Wealth Securities Limited or by the Exchanges or Clearing Corporation or SEBI from time to time.

10. Prevention of Money Laundering Act, 2002

The Client and Authorised Person shall abide by and adhere to policy framed by Unlock Wealth Securities Ltd. from time to time on prevention of Money Laundering.

TARIFF

BOKERAGE DETAILS :	BSE, NSE & MSE Cash	BSE, NSE & MSE Futures	BSE, NSE & MSE Option	BSE & MSE C D
JOBING				
MINIMUM				
DELIVERY				
MINIMUM				

GST, Securities Transaction Tax, Stamp Duty, SEBI Fees, Transaction Charges & Clearing Charges and other levies, if any, will also be charged as applicable from time to time.

Other charges minimum Rs. 10/- / per contract note adjustable against total brokerage.

DP Charges, if any, will also be charged. Delay Payment Charges (DPC) will be charged @ 18% p.a..

Client

Authorised Person

CEO-Unlock Wealth Securities Ltd.

Date :