

**Undertaking for reactivation of client trading account**

To

Date: -----

**Sharewealth Securities Limited.**

4<sup>th</sup> Floor, Pooma Complex,  
M G Road, Thrissur.

Dear Sir,

Sub: - My/Our request for reactivation of client trading account in Equity / Derivative / Currency Derivative Segments of NSE / BSE

I/we \_\_\_\_\_ (name of the client), have trading account with Unique Client Code \_\_\_\_\_ allotted to me/us by your office situated at \_\_\_\_\_ (branch name) since \_\_\_\_\_ (date of activation of the account).

I/we have not been trading in Equity/ derivatives / Currency derivatives contracts on NSE / BSE trading platform since \_\_\_\_\_ (last trade date). However, I/we am/are desirous of trading again in Equity/ derivatives / Currency derivatives contracts on NSE / BSE trading platform

I/we hereby undertake that:

1. I/We have completed all the KYC formalities and submitted all the required documents there of (Proof of Identity, Address Proof, Bank Proof, PAN, etc.), at the time of opening the trading account originally and enrolling as a client with you.
2. There are no changes in respect of my/our Address, Bank account, PAN details, as provided to you earlier. Further, there is no material change in the other information provided to you in KYC Form.

I/we declare that the information given above is true to my/our knowledge. I/we, therefore, request you that the requirement of fresh KYC may not be insisted upon.

I/we, therefore, request you to reactivate my/our trading account and allow trading with immediate effect.

Yours Faithfully,

\_\_\_\_\_  
(Name and signature of Client)

In person verification

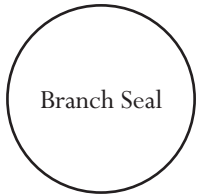
\_\_\_\_\_

Name of Employee : \_\_\_\_\_

Designation : \_\_\_\_\_

Date : \_\_\_\_\_ Place: \_\_\_\_\_

Signature of Employee : \_\_\_\_\_




Date :

Dear Sir,

I/We hereby acknowledge the receipt copy of KYC, Rights and obligations documents, RDD and Guidance not and all other documents as executed by me/us.

Client Name .....

My Email Id.....

**(1)** 

(Signature of Client)



**C. TRADING PREFERENCES**

\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchanges	Segments			
National Stock Exchange of India Limited	Cash	<input type="checkbox"/>	Currency Derivative	<input type="checkbox"/>
	F&O	<input type="checkbox"/>	MFSS	<input type="checkbox"/>
Bombay Stock Exchange Ltd	Cash	<input type="checkbox"/>	F&O	<input type="checkbox"/>
Mcx –Stock Exchange Ltd	Currency Derivative	<input type="checkbox"/>		

# If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.

**D. 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: .....

**E. 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:

Telephone No.:  Fax No:

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:

Telephone No.:  Fax No:

Website:

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



Name: 

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Address: 

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Signature .....

**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 ----- (2) (-----)  
 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-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

Date .....

Seal/Stamp of the stock broker

**INSTRUCTIONS/ CHECK LIST**

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

**Mandatory**

4. For individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

### Schedule of charges

- Account opening fees
- SEBI turnover fees as applicable
- Exchange Transaction charges as applicable
- Securities Transaction Tax (STT)\* :- The STT rates will vary with regards to trades done on delivery basis, intraday basis and trades done in the derivative segment .
- Service tax \*
- Stamp duty :- Statewise stamp duty as applicable will be levied.
- Education Cess and higher Education Cess \*
- In addition to the above Sharewealth shall debit the demat charges to the trading account.
- In case there are any bank charges or any other charges levied by the exchange or any other authority on account of any violation done by the client, the same shall be charged to
- DP charges for debits to the account @Rs 10/- per scrip shall debited to the trading account.
- DP Annual Maintenance charges shall be debited to trading account.
- Postage charges Rs. 15/- shall be charged for additional documents.
- Minimum processing fee and Minimum Charges for illiquid scrips shall be charged to trading account.
- In case where the brokerage levied as a percentage on the value of the shares/ contract is less than the minimum brokerage payable per share/ contract. The client will be charged such minimum rate of brokerage per share instead of the percentage.

\*These are government levies and are subject to change from time to time and will be charged in addition to the brokerage as applicable

All the above charges would be subject to change from time to time. Such changes shall be displayed on the website or such other URL used by Sharewealth from time to time.

In case the brokerage rate is not specified on the brokerage chart within the KYC, the default brokerage as mentioned below will be applicable.

Default Brokerage									
Cash Market Brokerage	%	Charged	Minimum Paise Per Shares	Charged	Derivatives Segment	Futures	Charged	Options	Charged
<b>A Trading Account</b>	%				%			Brokerage on options contracts 2.5% of the premium amount or Rs. 100/- whichever is higher will be charged	
First Leg	2.5				First Leg	2.5%			
Second Leg(Same day Sq.off)	2.5				Same Day Square off	2.5%			
<b>B Delivery Brokerage</b>	2.5		5 Paise		Next day Square off	2.5%			

 (3) Signature of Client