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### IMPORTANT INSTRUCTIONS

1. All details to be filled in Capital Block letters in Black/Blue Ink only.
2. Corrections in the KYC form should be counter signed.
3. Strike off whichever option, in the account opening form, is not applicable.
4. All Originals to be produced for physical verification.
5. If any proof of identity or address is in a regional language, then translation into English is required.
6. Sole proprietor must make the application in his individual name & capacity
7. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.

Name of Trading Member		<b>STOCKPLUS FINANCIAL SERVICES</b>	
Exchanges	Segments	Regn. Nos.	
NSE	Cash	INZ000227218	
BSE	Cash & F&O		
MSEI	Cash & F&O		
Head office address:		811/814, Grohitam Building, Plot 14/B, Sector 19, Vashi, Navi Mumbai - 400 703. Phone no.: +91-22-4013 9909 Email: <a href="mailto:livecare@stockplus.co.in">livecare@stockplus.co.in</a> • Website: <a href="http://www.stockplus.co.in">www.stockplus.co.in</a>	
Compliance Officer Name Phone no. Email id		Bipin M. Savla 022 4013 9901 <a href="mailto:bmsavla@stockplus.co.in">bmsavla@stockplus.co.in</a>	
CEO Name Phone No. & Email id		Bipin M. Savla 022 4013 9900 • Email id: <a href="mailto:bmsavla@stockplus.co.in">bmsavla@stockplus.co.in</a>	
GST No.		27AAIPS0143E1ZX	
PAN		AAIPS0143E	
Clearing member: Globe Capital Market Ltd. Email: <a href="mailto:compliance@globecapital.com">compliance@globecapital.com</a> Tel.: 011-30412345, 9999005905 (Compliance Officer) Sebi Regn. No.: INZ000177137 • Clearing Member Code: 06637 • CM ID: M50302 PAN: AAACG4267G			

For any grievance/dispute please contact **STOCKPLUS FINANCIAL SERVICES** at the above address or email id: [grievance@stockplus.co.in](mailto:grievance@stockplus.co.in) and Phone call at (91-22) 4013 9909. In case not satisfied with the response, please contact the concerned exchange(s) at on BSE Tel: 022 2272 8097 E-mail Id: [is@bseindia.com](mailto:is@bseindia.com), on NSE Tel: 1800 22 0058 • E-mail Id: [ignse@nse.co.in](mailto:ignse@nse.co.in) and on MSEI Tel:- 022 6112 9000 Extn. 9028 • E-mail Id: [investorcomplaints@msei.in](mailto:investorcomplaints@msei.in) further you may register to SEBI at {Website} <https://scores.sebi.gov.in> {Tel} 1800 266 7575 / 1800 22 7575

<b>DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003</b>		
Stockplus Financial Services caters to Institutional, Corporate, High net-worth and other retail clients through membership of various exchanges. Stockplus Financial Services besides doing client based business also does its own investments and/or trading.		
<b>For Stockplus Financial Services</b>		“Proprietary Trading Disclosure noted”
Proprietor/Authorized Signatory	Client's Signature	First Holder's Signature

Risk Assessment of Client in terms of PMLA 2002					
Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Stockplus Financial Services <b>For Stockplus Financial Services</b>					
Proprietor/Authorized Signatory					

**Note: “Sub-broker” in this Mandatory & Voluntary document should be construed as “Authorised Person”.**

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. For Minor demat a/c. both minor and guardian Pan Card is required.

### C. Proof of Address (POA): - List of documents admissible as Proof of Address:

- (\* Documents having an expiry date should be valid on the date of submission.)
1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

### F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
Partnership firm	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Army/ Government Bodies	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.
9. For Minor demat a/c. both minor and guardian address proof is required.

### D. Exemptions/clarifications to PAN

- (\*Sufficient documentary evidence in support of such claims to be collected.)
1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
  2. Investors residing in the state of Sikkim.
  3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
  4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
  5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

**A Clarification / Guidelines on filling ‘Personal Details’ section**

- 1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: **Spouse’s name or Father’s name and Mother’s name is Mandatory.**

**B Clarification / Guidelines on filling ‘Current address details’ section**

- 1 In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of E-KYC authentication, II is to be selected.
- 6 List of documents for ‘Deemed Proof of Address’.
 

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 “Equivalent e-document” means an electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 ‘Digital KYC process’ has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Id entities Data Repository.

**C Clarification / Guidelines on filling ‘Contact details’ section**

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999). Do not add ‘0’ in the beginning of Mobile number.
- 2 Email id (Mandatory)

**D Clarification / Guidelines on filling ‘Related Person details’ section**

- 1 Provide KYC number of related person, if available.

**E Clarification on Minor**

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.





**CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - LEGAL ENTITY/OTHER THAN INDIVIDUALS MANDATORY**

**Important Instructions:**

- A) Fields marked with '\*' are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- G) List of two character ISO 3166 country codes is available at the end.
- H) Please read section wise detailed guidelines/instructions at the end.
- I) For particular section update, please take (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**

Application Type\*  New  Update

(To be filled by financial institution) KYC No.  (Mandatory for KYC update required)

**1. Entity DETAILS (Please refer instruction A at the end)**

Name\*

Entity Constitution Type\*  Others (Specify)  (Please refer instruction B at the end)

Date of Incorporation/Formation\* -- Date of Commencement of Business\* --

Place of Incorporation/Formation\*  Country of Incorporation/Formation\*

TIN or Equivalent issuing Country\*

PAN\*   Form 60 furnished

TIN/GST Registration Number

**2. PROOF OF IDENTITY (POI)\* (Please refer instruction B at the end)**

- Officially valid documents in respect of person authorised to transact
- Certificate of Incorporation/Formation   Registration Certificate  Regn Certificate No.
- Memorandum and Articles of Association  Partnership Deed  Trust Deed
- Resolution of Board/Managing Committee  Power of Attorney granted to its manager, officers/employees to transact on its behalf
- Activity Proof - 1 (For Sole Proprietorship only)  Activity Proof - 2 (For Sole Proprietorship only)

**3. ADDRESS DETAILS (Please see instruction C at the end)**

**3.1 Registered Office Address/Place of Business\***

Proof of Address\*  Certificate of Incorporation/Formation  Registration Certificate  Other Document

Address

Line 1\*

Line 2

Line 3

District\*  PIN/Post Code\*  State /U. T. Code\*  ISO 3166 Country Code\*

**3.2 Local Address in India (If different from above)\***

Address

Line 1\*

Line 2

Line 3

District\*  PIN/Post Code\*  State /U. T. Code\*  ISO 3166 Country Code\*

**4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID provided may be used) (Please refer instruction D at the end)**

Tel. (Off) - Fax -

Mobile - Email ID

Mobile - Email ID

**5. NUMBER OF RELATED PERSONS**  (Please refer instruction E at the end)



**List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988**

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**List of ISO 3166 two- digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent & the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia & the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius & Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island & McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

**Annexure A**

**Details of Promoters / Partners / karta / Trustees and whole time directors forming a part of KYC Application Form for Non-Individuals**

Name of Applicant: \_\_\_\_\_ PAN of the Applicant: 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID)/AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable:     Politically Exposed Person (PEP)  
   Related to a Politically Exposed Person (RPEP)  
   No

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable:     Politically Exposed Person (PEP)  
   Related to a Politically Exposed Person (RPEP)  
   No

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable:     Politically Exposed Person (PEP)  
   Related to a Politically Exposed Person (RPEP)  
   No

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
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Please tick, if applicable:     Politically Exposed Person (PEP)  
   Related to a Politically Exposed Person (RPEP)  
   No

Name & Signature of the Authorised Signatory(ies)                      Date 

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**\*Joint Accounts:**

Event	Transmission of Account/Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

\*\* If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division/fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

\*\*\* Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI/OCI/PIO, Passport number is acceptable.

\*\*\*\* to be furnished only in following conditions/circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
  - Guardian: It is optional for you to provide, if the nominee is minor.
- 1) I/We want the details of my/our nominee to be printed in the statement of holding or statement of account, provided to me/us by the AMC/DP as follows; (please tick, as appropriate)
    - Name of nominee(s)  Nomination: Yes/No
  - 2) I hereby authorize \_\_\_\_\_ (nominee number \_\_\_\_\_) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encash my assets up to \_\_\_\_\_% of assets in the account/folio or Rs. \_\_\_\_\_. (**Optional**) (strike off portions that are not relevant)
  - 3) This nomination shall supersede any prior nomination made by me/us, if any.
  - 4) Signature(s) - As per the mode of holding in demat account(s)/MF folio(s)

	Name(s) of holder(s)		Signature(s) of holder	Witness Signature*
1)				
2)				
3)				

\* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Name & Address - Witness 1	Name & Address - Witness 2	Name & Address - Witness 3

**Rights, Entitlement and Obligation of the investor and nominee:**

- If you are opening a new demat account/MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC/DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account/folio.
- In case all your nominees do not claim the assets from the AMC/DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account/folio, in case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s)/demat account(s) i.e.
  - 'Either or Survivor' Folios/Accounts - any one of the holder can sign
  - 'First holder' Folios/Accounts - only First holder can sign
  - 'Jointly' Folios/Accounts - both holders have to sign

**Transmission aspects**

- AMCs/DPs shall transmit the folio/account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion/ updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account/folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
<b>Total</b>	<b>100%</b>	-	<b>40%</b>	<b>60%</b>	<b>100%</b>

## 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 documents.	Self declaration with relevant supporting of assets.

\*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. Self-certified 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. (Not more than 4 months old)
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **For individuals:**
  - a. 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.
  - b. In case of nonresident 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 nonresident 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:**
  - a. Form need to be initialized by all the authorized signatories.
  - b. 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.

**RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS  
as prescribed by SEBI and Stock Exchanges**

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

**CLIENT INFORMATION**

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

**MARGINS**

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

**TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the

client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

#### **BROKERAGE**

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

#### **DISPUTE RESOLUTION**

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

## **TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

## **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
37. The stock broker/stock broker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

## **ELECTRONIC CONTRACT NOTES (ECN)**

38. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail

id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

39. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
40. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
41. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
42. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
43. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

#### **LAW AND JURISDICTION**

44. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
45. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
46. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
47. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
48. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
49. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

**MANDATORY**

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT  
(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)**

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

**RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS**

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

**1. BASIC RISKS:****1.1 Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

**1.2 Risk of Lower Liquidity:**

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your

order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

**1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

**1.3 Risk of Wider Spreads:**

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

**1.4 Risk-reducing orders:**

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

**1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

**1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

**1.5 Risk of News Announcements:**

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

**1.6 Risk of Rumors:**

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

**1.7 System Risk:**

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

**1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

**1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

**1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or

any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

**2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-**

**2.1 Effect of "Leverage" or "Gearing":**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

**2.2 Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

**2.3 Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the

underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

#### **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. **TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:** Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

#### **4. GENERAL**

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

**GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS****BEFORE YOU BEGIN TO TRADE**

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.nseindia.com](http://www.nseindia.com), [www.bseindia.com](http://www.bseindia.com), [www.msei.in](http://www.msei.in) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

**TRANSACTIONS AND SETTLEMENTS**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. 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 of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations on settlement day, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds due from clients as on date of settlement, he may retain funds/margin to the extent of value of transactions executed on the day

of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and payout of funds is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Byelaws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

#### **DISPUTES/ COMPLAINTS**

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

## POLICIES AND PROCEDURES

MANDATORY

### 1. Refusal of orders for Penny Stocks and Commodity Derivatives:

Penny stocks are scrips which have a very low value and may or may not be illiquid. Most times there would be very few buyers /sellers for such scrips. The Stock Exchanges release a list of such scrips and they are termed as illiquid securities.

Stockplus Financial Services (SPFS) reserves the right to refuse or restrict the execution of any transaction requests of the Client on certain stocks and commodities depending on various conditions like volume, value, illiquidity, even though a client may have credit balance or sufficient margin in the trading account or restrictions in Z group/T group or restrictions on ASM/GSM securities appearing in SMS list.

Losses, if any, on account of such refusal by SPFS or due to delay caused by such limits, shall be borne exclusively by the client alone. SPFS shall not be responsible for any financial or other implications due to such execution, delay in execution or non-execution of any such orders. SPFS shall have the prerogative to place such restrictions, notwithstanding that the client has sufficient credit or margin available in his account.

### 2. Setting Up of Client's Exposure Limit:

Exposure is allowed to the clients based on the margin available in form of funds/approved securities/ Bank Guarantees/Fixed Deposit Receipts valued after deducting an appropriate haircut. The client shall be permitted to trade upto a pre-determined number of times of the margin (as decided on sole discretion basis by SPFS)

SPFS, at its sole discretion may from time to time vary the limits on orders that clients can place through it (including but not limiting to exposure limits , turnover limits, limits as to number, value and/kind of securities/ contracts in respect of which buy or sell orders can be placed), SPFS may need to vary or reduce the limits or impose new limits urgently on the basis of its risk perception and other relevant factors, SPFS will make all the necessary attempts to inform clients of such changes.

Further SPFS, may as risk containment measure at any time at its sole discretion and without prior notice, prohibit or restrict the client's ability to place the orders or trade in all or some of securities/contracts through the member.

### 3. Applicable Brokerage Rate

SPFS shall levy brokerage for the Client's transactions as per the brokerage slabs mutually agreed with the Client in writing in the Client Registration Form subject to the maximum rate prescribed by the Stock Exchanges /SEBI. The Client shall pay exchange transaction charges, STT, GST, Stamp Duty, KRA charges, Cheque return charges may also be recovered. Penalties for code rectification, margin shortages, other acts of omission and commission of the clients may also be recovered.

Depending upon the value of business done by the client and risk perception, SPFS may reduce the brokerage rate at its sole discretion. Such changed/reduced brokerage terms will be communicated through the relationship manager/email communication and/or amount will be reflected in the contract notes for future trades.

However, any increase in brokerage rate either to be done with the consent of the client in writing or at the discretion of SPFS by giving 15 days advance notice to the client.

### 4. Imposition of Penalty/Delayed Payment Charges:

The client is required to pay all amounts due to SPFS on due dates. The amount due to broker shall include all type of Margin and Pay-in obligation or on account of any other reason. In case the client does not pay the amount due on time, SPFS shall charge delayed payment charges up to the rate of 2% per month on the daily outstanding value or at such rates as may be determined from time to time by SPFS.

The interest will be charged from the time it becomes due till the time the obligation is cleared by the client. SPFS may impose penalties/fines for any orders/trades/deals/actions of the client which are contrary to Broker Client Agreement/Rules/Regulations/Bye-Laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit.

These charges have been introduced so that they act as a deterrent for delaying the payment of funds. In case where any penalty/charges/fees/taxes etc. of whatever nature, is levied on SPFS on account of trades or orders placed by clients, such penalty/charges/fees/taxes etc. shall be debited to the client's account. No interest will be paid on the credit balance lying in the client account or funds retained for margins etc.

### 5. Right to sell clients' securities or close clients' positions, notice to the client, on account of non payment of client's Dues to the extent of settlement/margin obligation:

SPFS will intimate client by way of call/email/sms before squaring off the open position of the Client and/or sell clients' securities (including securities maintained as margin with SPFS and securities lying in client's beneficiary/ demat account) in case the Client fails to meet its settlement/margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by SPFS. Further, the square off of client's open position or the selling of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by SPFS. SPFS shall have no obligation of communicating the same to the Client. SPFS shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred

by the Client due to such squaring off of the open position of the client.

**SPFS** reserves the right to square off client's open positions or sell clients' securities under following circumstances:

- (i) Where the limits given to the Client have been breached.
- (ii) Where the Client has defaulted on their existing obligation and/or had failed to make payments/deliver securities to **SPFS** within the stipulated time period.
- (iii) Where the margin or security placed by the Client with **SPFS** falls short of the applicable minimum margin as may be required to be maintained by the client.
- (iv) Where Mark to Market Loss on the open position has reached 80% of the margins placed with **SPFS** and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
- (v) if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time.

**SPFS** shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

f. **Shortages in obligations arising out of internal netting of trades:**

Internal short deliveries are not covered by the Auction conducted on the NSE. It is due to this limitation on the NSE we follow the procedure as mentioned below:

- The client may not receive shares on T + 2 in case there is an internal shortage situation within SPFS, i.e. the buyer and seller are both SPFS's clients and seller defaults in delivery due to which the buyer may not receive the shares.
- In case there is an internal shortage in NSE, the exchange conducts an auction through which the shares would be purchased and delivered to the buyer. The seller would be debited at the rate at which the exchange would have purchased these shares. Additionally, brokerage statutory costs and other incidental charges including penalty for non-delivery may be debited to the client. In case, the exchange is unable to purchase these shares, the exchange will inform SPFS of a close out rate, at which the buyer would be allowed credit and the seller would be debited for the same amount. In case of any corporate action for internal shortages, if original trade was executed at cum rate, then SPFS will repurchase the shares at ex-rate in its internal shortage a/c. The amount/quantity of corporate action as applicable will be debited to seller's account and will be credited to buyer's account. In case of security being delisted from trading/ unable to buy on account of corporate account, SPFS will close out internal shortage at last traded price/ last traded cum rate price + 10% (credit to buyer and debit to seller)
- In case there is an internal shortage in NSE, SPFS purchases the shares from the normal market and provides the shares to the buyer on receipt of delivery. The defaulting seller would be debited with the rate at which these shares were purchased, including the brokerage statutory charges and other incidental charges including penalty if any. In case of non receipt of delivery to purchase the shares, the buyer would be offered credit at a close out rate applicable on T+4 day + 3% or and the new seller would be debited at the same rate. In case where SPFS is unable to purchase the shares on account of the scrip being in buying circuit, the position would then be closed out on the closing price of the exchange on T+2 at the circuit percentage of 2 days (Maximum up to 20% .) In case of any corporate action for internal shortage if original trade was executed at cum -rate then SPFS will repurchase the share at ex rate in its internal shortage account. The amount/quantity of corporate action, as application will be debited to the seller's a/c and will be credited to the Buyers's account. In case of securities being delisted from trading/unable to buy on account of corporate action, SPFS will close out internal shortage at last traded price/last traded cum rate price + 10% (Credit to buyer & Debit to seller)
- SPFS may also levy charges on the defaulting seller for non-delivery of stocks within the stipulated time.

**6. Shortage in obligations arising out of internal netting of trades:**

SPFS, as a member of exchange delivers/receives securities to/from exchanges on net obligation basis in respect of a settlement. In such a process, if a client who has sold securities, short delivers the securities, which are to be delivered to another client of SPFS, who has bought the same security, it is treated as internal shortage of securities. In case of internal shortage process of self auction shall be followed through the ICCL. The client who has delivered short will be debited with the rate at which the shares were purchased or at the rate at which the said shares were sold by him, whichever is higher, In case SPFS is unable to buy the securities as stated above, the transaction shall be closed out.

The internal close out policy for handling internal shortages in Commodities is in line with the exchange policy for handling shortages at exchange level.

**7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client:**

- i. In case overall position in derivatives contracts or any scrip has reached the Regulators prescribed Exchange limit/Market Wide Open Interest limit, then client may not be allowed to take further position, till such

time Regulator prescribed limits come down to create a new position.

- ii. SPFS has the right to stop or block the client to trade in case where there is a debit balance in his/her account.
- iii. SPFS retains the right to block the client to take a position in certain specified scrips basis its risk management systems.
- iv. In case where SPFS is apprehensive that the client to be an entity debarred by any regulatory authority, it shall retain the right to stop the trading activities of such client.
- v. In case SPFS perceives risk with regards to any regulatory action or with regards to delay or nonpayment of margin or any other obligation, SPFS may temporarily block or suspend the trades of such clients.
- vi. In case where the client's account is dormant for a period of more than 1 year SPFS may mark such clients as inactive, and trades will be restricted till the receipt of request from the clients for activating the account.
- vii. In case where suspicious transactions are observed, including but not limited to off market transactions.
- viii. In case where clients are not reachable at their contact details mentioned with SPFS. We may even close the existing positions.
- ix. In case of any ongoing dispute with the client, SPFS may not permit the client to take further positions and may even close out his open positions.

#### **8. Temporarily suspending or closing a client's account based at the Client's request:**

- i. In the event of infraction of any Rules, Bye-Laws, Regulations of SEBI or the Stock Exchange or of the provisions of any law for the time being in force governing dealings in the securities market without prior notice or on the directions of SEBI and/or the Exchanges.
- ii. SPFS can withhold the payouts of client and suspend/close his trading account due to any internal/regulatory action.
- iii. In the event of death or insolvency of the client, winding up or liquidation or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, SPFS may close out the transaction of the client and the client or his legal representative as the case shall be would be liable for any losses, costs and be entitled to any surplus which may result therefrom.
- iv. Bank account, demat account, securities account of the client being frozen or attached by any court of law or any other competent authority for whatever reason.
- v. Any proceedings or investigations that involve the Client or his/its properties having been initiated (or is/are ongoing).
- vi. The Client fails to fulfil his/its payment obligations under this Mandatory & Voluntary document or otherwise due to SPFS or
- vii. If the Client migrates to a jurisdiction which prohibits trading in Indian Securities or otherwise subjects SPFS or any of its employees to any licensing or registration requirements.

#### **9. Deregistering a Client:**

SPFS may, at its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which Stock Broker may de register a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such client 's account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare him/her as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of Stock Broker or may act as detriment to Stock Broker's prospects.

#### **10. Policy for inactive/dormant clients account:**

- Inactive client means client who is inactive during last 6 months immediately preceding the end of the previous month.
- A list of inactive clients shall be prepared from the back office software on the last day of every month and shall be submitted to the concerned department after confirmation with the management. The management will approve a final list of inactive clients.
- A copy of the list is also forwarded to dealers who operate our BOLT or NEAT terminals.
- The concerned department shall mark the client status as "inactive" or "dormant" in various front office software of CTCL and 1M land back office accounting software.

- After inactive marking, if any orders are received, the dealer shall take reasonable steps to identify the identity of the client and to ensure that the orders are received from the same client. The dealer shall use various techniques like call back, asking personal detail questions, last trade date, outstanding positions etc. to confirm the identity of the caller. They may use any other technique which is reasonable. In case of a doubt the case shall be referred to the management or concerned Authorised Person or introducer.
- Dormant client has to update their KYC details at the time of fresh order, If the client wants to make the account "ACTIVE" after 6 continuous months or after providing the required documents supporting the financial status, the client needs to submit a request to reactivate his/her account. In case there is any change in the information such as; address, mobile number, email id, bank/demat account, financial disclosure provided in KYC at the time of registration as client, the same has to be submitted along with the request. After proper verification of the updated I revised details and approval from the compliance officer I or concerned department in-charge of registration of clients, the account can be made "ACTIVE" and transaction can take place.
- We Inactive that clients those are having duplicate Mobile no. & Email ID.
- If we are unable to get details of clients regarding CKYC & KRA then we Inactive/Close that clients in our Back office and exchange platform.

**I agree and understand that SPFS may from time to time at its sole discretion amend or modify the policies and procedures under intimation to me/us.**



**Client Signature**

**MANDATORY****BROKERAGE TARIFF SHEET - TRADING****(Schedule of Brokerage and Other Charges)****Equity Brokerage Details - Cash Segment**

	Brokerage % (on volume)	Minimum Brokerage (in Paisa)	To be Charged on		Minimum Per Contract Note (in Rs.)
Intraday			<input type="checkbox"/> One Side	<input type="checkbox"/> Both Side	
Delivery			<input type="checkbox"/> One Side	<input type="checkbox"/> Both Side	

**Derivatives Segment**

	Brokerage % (on volume)	Brokerage per lot	To be Charged on		Minimum Brokerage (in Paisa)
Futures			<input type="checkbox"/> One Side	<input type="checkbox"/> Both Side	
Options			<input type="checkbox"/> One Side	<input type="checkbox"/> Both Side	

- Exchange Charges, SEBI Turnover Fees, CTT, Goods & Service Tax (GST), Stamp Duty, Clearing Member Charges, PCM Charges, Contribution to IPF, Transaction Charges and other statutory charges will be levied separately from brokerage as applicable from time to time.
- All Charges levied by Exchange(s)/Regulator(s) as applicable will be recovered from the trading account.
- Additional charges levied on account of Cheque Return, Wrong Reporting of Cheque, Issue of Duplicate Statements, Interest Charges etc. may be recovered from the trading account as applicable.
- Charges/service standards are subject to revision at sole discretion of Stockplus Financial Services and as informed by Circulars sent by ordinary post/e-mail
- Brokerage at any time will not exceed the maximum rate as specified by SEBI/Exchange.

I have understood and accepted the schedule of charges as stated here in above.

**Client Signature**

**RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES**

**VOLUNTARY**

To,  
**Stockplus Financial Services, Mumbai**

Dear Sir/Madam,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain funds receivable by me/us until specifically requested by me/us to be settled or to be dealt with in any other manner.
2. I/we understand and agree that no interest will be payable to me/us on the amounts so retained with you.
3. I/We also confirm that the securities lying with you should be considered as margin deposit/collateral as per the applicable norms of the Exchanges & the concerned Regulator.
4. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
5. I/we may revoke the authorization at any time by issuing a physical letter for the effect.
6. I/we also agree that the actual settlement of fund shall be done by me/us, at least once in a [Tick your preference (Default is Quarterly Settlement)]:  
 Calander quarter/90 days     Calander month/30 days
7. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
8. You may retain the requisite funds towards settlements as per the applicable norms of the Exchanges.

Name: _____	_____	
Date: _____	Signature	In case of Non-Individual, please affix stamp

**Notes:**

- a. The authorization shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.
- b)
  - i. Entire pay-in obligation of funds outstanding at the end of day on date of settlement, across all segments.
  - ii. Member may retain 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/ MTM.
  - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
- c. The actual settlement of funds shall be done by the broker, at least once in a calendar quarter or month, depending on the preference of the client. While settling the account, the broker shall send to the client a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. The statement shall also explain the retention of fund and the details of the pledge, if any.
- d. The client shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker preferably within 7 working days from the date of receipt of funds or statement, as the case may be.
- e. Such periodic settlement of running account may not be necessary:
  - i. for clients availing margin trading facility as per SEBI circular;
  - ii. for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).
- f. The stock broker shall transfer the funds lying in the credit of the client within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation.
- g. There shall be no inter-client adjustments for the purpose of settlement of the 'running account'. These conditions shall not apply to institutional clients settling trades through custodians. The existing practice may continue for them.

ECN AUTHORIZATION

VOLUNTARY

From: \_\_\_\_\_

\_\_\_\_\_

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

To,  
**STOCKPLUS FINANCIAL SERVICES**  
811/814, Grohitam Building, Plot 14/B, Sector 19,  
Vashi, Navi Mumbai - 400 703.  
Dear Sirs,

**Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an EMail**

I, \_\_\_\_\_ a client with Stockplus Financial Services, members of NSE/BSE/MSEI Exchanges undertake as follows:

1. I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want in the electronic form.
2. I am aware that the Member has to provide electronic contract note for my convenience on my request only.
3. Though the member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ordered by me.
4. In case of any failure in system or errors in digital contract notes, the contract notes will be issued in physical form which shall be binding on the client.
5. Clients can view the digital contract notes using the user name & password through the website apart from the contract notes sent to the client through email.
6. The digital contract notes will be archived at an interval preferable of 3 months. If the client intends to view the digital contract notes for a period prior to 3 months, he may request for the same in writing.
7. I undertake to check the contract notes and bring the discrepancies to your notice. Discrepancies, if any, should be sent on the email: [livecare@stockplus.co.in](mailto:livecare@stockplus.co.in)
8. You can also send me various documents like Daily Margin Statement, Statement of Funds & Commodities, Account Confirmation, Bills , Notices etc through an Email ID mentioned in this letter.
9. I have access to a computer and am a regular internet user, having sufficient knowledge of handling email operations.
10. My email id is\* \_\_\_\_\_ . This has been created by me and not by someone else. Any change in the e-mail ID shall be communicated by me/us through a physical letter.
11. I am aware that this declaration form should be in English or in any other language known to me.
12. I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me, I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same

\*(The email id must be written by own handwriting of the client.)

My/Our Email ID \_\_\_\_\_

My/Our Alternative Email ID \_\_\_\_\_

Yours faithfully,



(Client Signature)

Client Code : (customer ID)

**SMS AND EMAIL ALERTS TO INVESTORS BY STOCK EXCHANGES**

**VOLUNTARY**

(Ref: SEBI circular No. CIR/MIRSD/15/2011dated August 02, 2011)

I request you to enroll me for the following facility offered by the Stock Exchanges pursuant to above referred SEBI circular

SMS Facility on Mobile No provided in my KYC

1. Mobile No Belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member
2. In case of family member please specify the relationship: <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> Spouse
3. PAN No. of the family Member whose Mobile No is provided above: <input type="text"/>

Email Facility on email Id provided in my KYC

1. Email ID Belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member
2. In case of family member please specify the relationship: <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> Spouse
3. PAN No. of the family Member whose Email ID is provided above: <input type="text"/>

**Note:**

1. Individual Client is invariably required to provide his own Mobile No./Email ID, except in case of family member where the following relationship exist Dependent Child or Dependent Parent or Spouse
2. Client may please note that Mobile No. of Trading Member (TM)/ Employees of TM/ Sub broker/Authorized person are not permitted for receiving the SMS/ Email communication from exchanges
3. Client may please note that the circular is available for downloading from the exchange’s website.

Signature of Client :  \_\_\_\_\_

**DECLARATION FOR NRI/FN**

**VOLUNTARY**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

**TO WHOMSOEVER IT MAY CONCERN**

I/We agree to abide by all necessary rules and regulations introduced or amended from time to time by all statutory Government bodies in India, and guidelines as prescribed by the Reserve Bank of India under the Foreign Exchange Management Act, 1999 (FEMA).

Further, in the process of opening my/our accounts with the Indian Bank/s, Members of Indian Stock Exchange(s) and Depository Participants, I/We have complied with the current laws and will continue to do so as required for the proper maintenance of the aforesaid accounts.

In case there is any change in my/our status from Resident to Non-Resident or vice-versa, I/We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transaction.

Signature:  \_\_\_\_\_

Name: \_\_\_\_\_

**Family Declaration - Email/ Mobile Updation in Family Codes**  
**(Compulsory in case having common email & mobile in more than one account in SPFS)**

**VOLUNTARY**

To,

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

**STOCKPLUS FINANCIAL SERVICES**

811/814, Grohitam Building, Plot 14/B, Sector 19, Vashi, Navi Mumbai - 400 703.

Dear Sir/Madam,

Subject: Family Declaration for registering common Mobile/Email details

I request you to register the following mobile number and/or email id in my demat and/or trading account(s) to be opened with you.


Mobile No.: \_\_\_\_\_ Email ID: \_\_\_\_\_

I and my family members hereby request that mobile number and email id, as mentioned above shall be considered in your records for the purpose of receiving communication from Stockplus Financial Services (SPFS) or Stock Exchanges/Depositories with regard to trading/demat transactions executed by me/us through SPFS.

This facility shall be provided to me/us as an additional, for my/our convenience of receiving transaction details at a single mobile number and e-mail id. I/We understand that this facility is availed only by the family members where "family" means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines).

Sr. No.	Client Name	Client ID/DP ID	Relationship	Signature
1.			Self	
2.			Dependent Parent - Mother	
3.			Dependent Parent - Father	
4.			Spouse	
5.			Dependent Daughter	
6.			Dependent Son	


Thanking You,

Signature of Client :  \_\_\_\_\_

**Most Important Terms and Conditions (MITC)**

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Signature of Client:  \_\_\_\_\_

To,

**STOCKPLUS FINANCIAL SERVICES**

811/814, Grohitam Building, Plot 14/B, Sector 19, Vashi, Navi Mumbai - 400 703.

Dear Sir/Madam,

**Subject: Aadhar Consent Letter**

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/ Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Signature of Client:  \_\_\_\_\_

**Download Consent Form**

Dear Sir/Madam,

I, \_\_\_\_\_ S/o/D/o/W/o \_\_\_\_\_, give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records/Personal information such as my name, address, date of birth, PAN number etc.

Signature of Client:  \_\_\_\_\_

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

**DEMAT DEBIT AND PLEDGE INSTRUCTIONS (DDPI)**

**VOLUNTARY**

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/we \_\_\_\_\_, do hereby give my/our explicit consent to authorise Bipin M. Savla (Trade Name: Stockplus Financial Services) to access my/our BO account with GEPL Capital Pvt. Ltd. for "DDPI" as per SEBI Circular No. SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022 for the purpose of meeting pay-in obligations for settlement of trades executed by me and for pledging re-pledging of securities under Client UCC Code \_\_\_\_\_.

Sr. No.	Purpose	Signature of client		
		First Holder	Second Holder	Third Holder
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	☞	☞	☞
2.	Pledging/re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	☞	☞	☞
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	☞	☞	☞
4.	Tendering shares in open offers through Stock Exchange platforms.	☞	☞	☞

As per CDSL Communique No. **CDSL/OPS/DP/SYSTEM/2022/332 dated June 14, 2022** and for the purpose of aforesaid acts, the shares which are to be debited/transferred from the Client's BO Account held with GEPL Capital Pvt. Ltd.; by exercising the rights/powers granted hereinabove, be transferred/credit/delivered to the following Demat accounts which is in the name of **Bipin m. Savla** (Trade Name: **StockPlus Financial Services**).

Sr. No.	Demat A/C. No.		Purpose
1.	1100001000020987	--	BSE Early Pay - In A/c - CDSL
2.	1100001100019509	--	NSE Early Pay - In A/c - CDSL
3.	1201260000326363	GEPL Capital Pvt. Ltd.	NSE Pool A/c - CDSL
4.	IN300966-11295277	Globe Capital Market Ltd.	NSE Pool A/c - CDSL
5.	1201260000327139	GEPL Capital Pvt. Ltd.	TMCM Client Securities Margin Pledge A/c - CDSL
6.	1201260000327882	GEPL Capital Pvt. Ltd.	CUSPA A/c - CDSL
7.	1100001100014460	Globe Capital Market Ltd.	Clearing Member Early Pay-in A/c - CDSL
8.	1202060000000270	Globe Capital Market Ltd.	Clearing Member Pool A/c - CDSL
9.	IN300966-10000004	Globe Capital Market Ltd.	Clearing Member Pool A/c - NSDL

Client Demat account number (BO ID): \_\_\_\_\_




Client UCC Code : \_\_\_\_\_

Beneficial Owner Name/s:

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Signature			

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

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

<b>If HUF, Co-parceners Signature*:</b> 1) _____ 2) _____ 3) _____ 4) _____ <small>*Note: In case of HUF account, Karta as well as all major co-parceners must sign this DDPI</small>
--

**Policy on Facility of voluntary freezing/blocking of Trading Accounts by Clients**

1. Client may request for voluntary freezing/blocking the online access to their trading account through any of the following modes:
  - a. Email from registered e-mail ID
  - b. SMS from registered mobile number
  - c. Trading Member’s App/website
2. The client shall submit request for freeze by logging into their mobile or Internet based application validating their identity.
3. On receipt of such request, the online access of the client's trading account shall be frozen/blocked and simultaneously all the pending orders including ‘Good till date’ and Equity SIP orders shall be cancelled.
4. The timelines for freezing/blocking of the online access of the clients’ trading account is as under:

Request received Time	Timelines for freezing/blocking
Trading hours and within 15 minutes before the start of trading.	Within 15 Mins
After the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

5. Post freezing/blocking the client’s trading account, a communication shall be sent on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked.
6. The communication shall inter-alia provide the following details to the clients:
  - a. Pending orders in the client’s trading account that have been cancelled
  - b. Process of re-enablement of online access
  - c. Details of open positions along with contract expiry information within one hour from the freezing/blocking of the trading account.
7. Once the online access of the trading account is frozen/blocked such client may place orders through alternate channels such as call and trade.
8. Re-enabling the online access of trading account shall be carried out after necessary due diligence including validating the client request and unfreezing/unblocking the online access of the trading account.
9. The policy shall be displayed on the website and shall form a part of the account opening kit for all new clients.
10. The Framework specified by the SEBI and the exchange shall be an integral part of the risk management policy.

Signature:

**HUF DECLARATION FORM**

**FORMAT**

Re.: Application for HUF Demat Account

From: \_\_\_\_\_

Add.: \_\_\_\_\_

Dear Sir/Madam,

This is with reference to my application for HUF Trading Account with Stockplus Financial Services would like to furnish the following details as required to process the above said Trading account opening for.

Being Karta of my family, I hereby declare that following is the list of family members in our HUF.

Name of family member	Sex (M/F)	Date of Birth	Relationship with Karta	Signature
			Self	

I hereby also declare that the particulars given by me as above are true to the best of my knowledge as on date for making this application to open new demat account. I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking You,

Yours Truly,

Signature of Karta with HUF Stamp

Annexure “A” if additional co-oparceners

DECLARATION TO BE GIVEN BY PARTNERSHIP ON LETTER HEAD OF THE FIRM

**FORMAT**

To,  
**STOCKPLUS FINANCIAL SERVICES**  
811/814, Grohitam Building, Plot 14/B, Sector 19,  
Vashi, Navi Mumbai - 400 703.

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

Dear Sir/Madam,

We refer to the trading account being opened/opened with you in the name of \_\_\_\_\_ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened as a joint account in the names of the partnership of the firm.

We agree that the obligations for shares purchased and /or sold by the firm will be handled and completed through transfer to/form the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize \_\_\_\_\_, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with \_\_\_\_\_ and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter fir adjustment of balances in family accounts.

Sr. No.	Name of Partners	Signatures

**CERTIFIED TRUE COPY**

Authorised Signatory

**FORMAT FOR BOARD RESOLUTION**

**FORMAT**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ AT THEIR MEETING HELD ON \_\_\_\_\_ AT REGISTERED OFFICE OF THE COMPANY \_\_\_\_\_.

RESOLVED THAT the Board of Directors of the company be & hereby decided to open Trading A/C in the name of Company with Stockplus Financial Services Registered Broker with NSE/BSE/MSEI.

RESOLVED THAT the Company do Place Order with/give instructions to Stockplus Financial Services for buying & Selling Index/Stocks based Future and Options on the Derivative Segment of BSE/MSEI and buying & Selling of Securities in cash Segment of NSE/BSE/MSEI and sign execute Delivery Orders/Instruction/Instruction Letters, Notes, Share Transfer Form, Right Issue/Buy-Back of Shares & such other document as may be considered necessary from time to time for the aforesaid purpose & take all such actions & do all such things, as may be deemed prudent, necessary & expedient for giving effect to the above resolution from time to time.

RESOLVED THAT a copy of above Resolution duly certified as true by any one of the Directors of the Company is furnished to Stockplus Financial Services & such other parties as may be required from time to time.

RESOLVED FURTHER THAT any one of the following Directors/Executives/Officers of the Company, whose specimen signatures are appended here under.

Sr. No.	Name of Directors/Authorised Signatory	Mode of Operation	Signature
		Singly	
		Singly	
		Singly	

RESOLVED FURTHER THAT the above resolution shall remain effective & in force till such time as fresh Resolution cancelling or amending the same is passed by the Board of Directors of the company is furnished to Stockplus Financial Services.

RESOLVED FURTHER THAT a copy of the above Resolution duly certified as true by any one of the directors of the company be furnished to Stockplus Financial Services and such other parties as may be required from time to time.

CERTIFIED TRUE COPY

For \_\_\_\_\_

Director/Authorised Signatory

**FATCA/CRS DETAILS FOR TRADING & DEMAT ACCOUNT**

Client Code		Date: _____
-------------	--	-------------

The below information is required for all applicant(s) / guardian / PoA holder.

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
Client Name				
1	Are You a Tax Resident of Country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Is your Country of Birth/Citizenship other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	If your Residence address/Mailing address/Telephone No. other than in India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	Is the POA holder/person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If you have answered YES to any of above, please provide the below details

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Country of Residence			
2	Nationality			
3	Tax Identification No. or Reason for not providing TIN			
4	Identification Type (TIN or Other, please specify)			
5	Residence address for tax purposes (include City, State, Country & Pin code)			
6	Address Type	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office
7	City of birth			
8	Country of birth			

**Certification:** I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions), and hereby certify that the information provided by me/us on this Form is true, correct, and complete. I/ We also confirm that I/We have read and understood the FATCA/CRS Terms and Conditions and hereby accept the same. I/We agree to indemnify **Stockplus Financial Services** in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. person" status for U.S. federal income tax purposes. or in respect of any other information as may be required under applicable tax laws.

	First / Guardian Applicant	Second Holder	Third Holder
Name			
Signature			
PAN			

**FATCA-CRS Instruction**

**Details under FATCA/CRS/Foreign Tax Laws:** The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules 1962, which Rules require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In certain circumstances (including if we do not receive a valid self -certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any **change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.** Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

**Instruction to Fill Mandate**

1. UMRN is auto generated (filled by Office) during mandate creation and is mandatory to be updated during amendment and cancellation of mandate.
2. Date DD/MM/YYYY format.
3. Sponsor Bank IFSC/MICR Code left padded with Zeroes where necessary. (Eg. in case of IFSC code is HDFC0000060)
4. Utility code is filled by the Service provider and must be left blank.
5. Select the type of bank account.
6. Customers Bank account number, left padded with zeroes (For example if the account number is 456697, all the left blank cells have to be filled with zeroes like 0000000000000000000456697.
7. Name of Bank and Branch
8. IFSC/MICR code of customer bank.
9. Amount payable or maximum amount per transaction that could be processed in words and figures.
10. Tick on box to select frequency of transaction
11. Service provider generated Reference number.
12. Service provider generated Reference number /scheme/ plan.
13. Email ID and Phone number of Customer.
14. Period for validity of mandate.
15. Name(s) of customer(s) and signature(s).

**DECLARATION**

I hereby declare that the particulars given on this mandate are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I would not hold Stockplus Financial Services, their representatives, service providers, participating banks & other user institutions responsible. I have read the Terms & Conditions and agree to discharge the responsibility expected of me as a participant/s under the scheme. I authorize use of above mentioned contact details for the purpose of this specific mandate instruction processing. I hereby confirm adherence to terms on this mandate.

Authorisation to Bank: I wish to inform you that I have registered with Stockplus Financial Services for ECS/NACH/ Direct Debit through their Authorised Service Provider(s) and representative for my/our payment to the above mentioned beneficiary by debit to my/our above mentioned bank account. For this purpose I hereby approve to raise a debit to my/our above mentioned account with your branch. I hereby authorize you to honour all such requests received through to debit my/our account with the amount requested, for due remittance of the proceeds to the beneficiary.

Signature of the Applicant : \_\_\_\_\_

UMRN  Date

Tick (✓) Sponsor Bank Code  Utility Code

I/We hereby authorize  to debit (tick ✓)

Bank a/c number

with Bank  IFSC  or MICR

an amount of Rupees  ₹

**DEBIT TYPE**  Fixed Income  Maximum Amount **FREQUENCY**  Mthly  Qtly  H-Yrly  Yrly  As & when presented

Reference 1  Phone No.

Reference 2  Email ID

1) I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank. 2) This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/Corporate to debit my account, based on the instructions as agreed and signed by me. 3) I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the user entity/corporate or the bank where I have authorized the debit.




**PERIOD**  Maximum period of validity of this mandate is 40 years only  
 From  To

Maximum period of validity of this mandate is 40 years only

Phone No.:  1. Name as in Bank Records 2. Name as in Bank Records 3. Name as in Bank Records

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**BSE Star MF**

<b>Broker/Agent Code ARN: 36677</b>		<b>Sub-Broker:</b>		<b>EUIN: E048908</b>	
<b>UnitHolder Information</b>					
<b>Name of the First Applicant:</b>					
PAN No.:		KYC:		Date of Birth:	
Father Name:			Mother Name:		
Name of Guardian :			PAN No.:		
Contact Address :					
City:		Pincode:		State: Country:	
Tel.(Off):		Tel.(Res):		Email:	
Fax.(Off):		Fax.(Res):		Mobile:	
Income Tax Slab/Networth:			Occupation Details:		
Place of Birth:			Country of Tax Residence:		
Tax Id No.:					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
Mode of Holding:			Occupation:		
<b>Name of Second Applicant:</b>					
PAN No.:		KYC:		Date of Birth:	
Income Tax Slab/Networth:			Occupation Details:		
Place of Birth:			Country of Tax Residence:		
Tax Id No.:					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
<b>Name of Third Applicant:</b>					
PAN No.:		KYC:		Date of Birth:	
Income Tax Slab/Networth:			Occupation Details:		
Place of Birth:			Country of Tax Residence:		
Tax Id No.:					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
<b>Other Details of Sole / 1st Applicant</b>					
Overseas Address:					
(In case of NRI Investor)					
City:		Pincode:		Country:	
<b>Bank Mandate Details</b>					
Name of Bank:			Branch:		
A/c No.:		A/c Type:		IFSC Code:	
Bank Address:					
City:		Pincode:		State: Country:	
<b>Nomination Details</b>					
Nominee Name:			Relationship:		
Guardian Name (If nominee is minor):					
Nominee Address:					
City:		Pincode:		State:	
<b>Declaration and Signature</b>					
I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.					
Date:		Place:			
Signature 1st Applicant		Signature 2nd Applicant		Signature 3rd Applicant	
					

**Annexure-A**  
**Investor Charter – Stock Brokers**

**VISION**

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

**MISSION**

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.
- v) To ensure confidentiality of information shared by investors unless such information is required to be provided in furtherance of discharging legal obligations or investors have provided specific consent to share such information.

**Services provided to Investors**

- I. Execution of trades on behalf of investors.
- II. Issuance of Contract Notes.
- III. Issuance of intimations regarding margin due payments.
- IV. Facilitate execution of early pay-in obligation instructions.
- V. Periodic Settlement of client's funds.
- VI. Issuance of retention statement of funds at the time of settlement.
- VII. Risk management systems to mitigate operational and market risk.
- VIII. Facilitate client profile changes in the system as instructed by the client.
- IX. Information sharing with the client w.r.t. relevant Market Infrastructure Institutions (MII) circulars.
- X. Provide a copy of Rights & Obligations document to the client.
- XI. Communicating Most Important terms and Conditions (MITC) to the client.
- XII. Redressal of Investor's grievances.

**Rights of Investors**

- I. Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself. (including website providing mandatory information).
- II. Receive complete information about the risks, obligations, and costs of any investment before investing.
- III. Receive a copy of all completed account forms and rights & obligation document.
- IV. Receive a copy of 'Most Important Terms & Conditions' (MITC).
- V. Receive account statements that are accurate and understandable.
- VI. Understand the terms and conditions of transactions you undertake.
- VII. Access your funds in a prescribed manner and receive information about any restrictions or limitations on access.
- VIII. Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties in form of tariff sheet.
- IX. Discuss your grievances with compliance officer/compliance team/dedicated grievance redressal team of the firm and receive prompt attention to and fair consideration of your concerns.
- X. Close your zero balance accounts online with minimal documentation
- XI. Get the copies of all policies (including Most Important Terms and Conditions) of the broker related to dealings of your account
- XII. Not be discriminated against in terms of services offered to equivalent clients
- XIII. Get only those advertisement materials from the broker which adhere to Code of Advertisement norms in place
- XIV. In case of broker defaults, be compensated from the Exchange Investor Protection Fund as per the norms in place
- XV. Trade in derivatives after submission of relevant financial documents to the broker subject to brokers' adequate due diligence.
- XVI. Get warnings on the trading systems while placing orders in securities where surveillance measures are in place
- XVII. Get access to products and services in a suitable manner even if differently abled
- XVIII. Get access to educational materials of the MIIs and brokers
- XIX. Get access to all the exchanges of a particular segment you wish to deal with unless opted out specifically as per Broker norms
- XX. Deal with one or more stock brokers of your choice without any compulsion of minimum business
- XXI. Have access to the escalation matrix for communication with the broker
- XXII. Not be bound by any clause prescribed by the Brokers which are contravening the Regulatory provisions.

**Various activities of Stock Brokers with timelines**

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	3 working days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	First Friday/Saturday of the month/quarter as per Exchange pre-announced schedule
10.	'Statement of Accounts' for Funds, Securities and Commodities	Monthly basis
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	21 calendar days from the receipt of the complaint

#### **DOs and DON'Ts for Investors**

DOs	DON'Ts
<ol style="list-style-type: none"> <li>1. Read all documents and conditions being agreed before signing the account opening form.</li> <li>2. Receive a copy of KYC, copy of account opening documents and Unique Client Code.</li> <li>3. Read the product/operational framework/timelines related to various Trading and Clearing &amp; Settlement processes.</li> <li>4. Receive all information about brokerage, fees and other charges levied.</li> <li>5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions.</li> <li>6. If executed, receive a copy of Demat Debit and Pledge Instruction (DDPI) However, DDPI is not a mandatory requirement as per SEBI/Stock Exchanges. Before granting DDPI, carefully examine the scope and implications of powers being granted.</li> <li>7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT/CTT etc. as applicable, separately, within 24 hours of execution of trades.</li> <li>8. Receive funds and securities/commodities on time, as prescribed by SEBI or exchange from time to time.</li> <li>9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.</li> <li>10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (Monthly or Quarterly).</li> <li>11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.</li> <li>12. Retain documents for trading activity as it helps in resolving disputes, if they arise.</li> </ol>	<ol style="list-style-type: none"> <li>1. Do not deal with unregistered stock broker.</li> <li>2. Do not forget to strike off blanks in your account opening and KYC.</li> <li>3. Do not submit an incomplete account opening and KYC form.</li> <li>4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system.</li> <li>5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker.</li> <li>6. Do not ignore any emails/SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.</li> <li>7. Do not opt for digital contracts, if not familiar with computers.</li> <li>8. Do not share trading password.</li> <li>9. Do not fall prey to fixed/guaranteed returns schemes.</li> <li>10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/securities promising huge profits.</li> <li>11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.</li> </ol>

Additionally, Investors may refer to Dos and Don'ts issued by MIIs on their respective websites from time to time.

### Grievance Redressal Mechanism

The process of investor grievance redressal is as follows:

1.	Investor complaint/Grievances	<p>Investor can lodge complaint/grievance against stock broker in the following ways:  <u>Mode of filing the complaint with stock broker</u></p> <p>Investor can approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance</p> <p><u>Mode of filing the complaint with stock exchanges</u></p> <p>i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (<a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a>)</p> <p><u>Two level review for complaint/grievance against stock broker:</u></p> <ul style="list-style-type: none"> <li>• First review done by Designated body/Exchange</li> <li>• Second review done by SEBI</li> </ul> <p>ii. Emails to designated email IDs of Exchange</p>
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	<p>If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/grievance on SMARTODR platform for its resolution through online conciliation or arbitration.</p>
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ol style="list-style-type: none"> <li>1. Investor to approach Market Participant for redressal of complaint</li> <li>2. If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options:             <ol style="list-style-type: none"> <li>i. May escalate the complaint on SEBI SCORES portal.</li> <li>ii. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</li> </ol> </li> <li>3. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days.</li> <li>4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation.</li> <li>5. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute.</li> <li>6. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</li> <li>7. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.</li> </ol>

### Handling of Investor's claims/complaints in case of default of a Trading Member/Clearing Member (TM/CM) Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.
- Standard Operating Procedure (SOP) for handling of Claims of Investors in the Cases of Default by Brokers
- Claim processing policy against Defaulter/Expelled members
- List of Defaulter/Expelled members and public notice issued

**NACH/ECS/AUTO DEBIT - MANDATE INSTRUCTION FORM**

<b>TICK (✓)</b>	UMRN <input type="text"/>	Date <input type="text"/>
<b>CREATE</b> ✓	Sponsor Bank Code <input type="text" value="HDFC0000060"/>	Utility Code <input type="text" value="YESB00709000028661"/>
<b>MODIFY</b>	I/We hereby authorise <input type="text" value="ICCL"/> to debit (tick ✓) <input type="text" value="SB/CA/CC/SB-NRE/SB-NRO/Other"/>	
<b>CANCEL</b>	Bank A/c. Number <input type="text"/>	
With Bank <input type="text"/> IFSC <input type="text"/> or MICR <input type="text"/>		
an amount of Rupees <input type="text"/> ₹ <input type="text"/>		
Debit Type <input type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount      Frequency <input type="checkbox"/> Monthly <input type="checkbox"/> Qtly <input type="checkbox"/> H-Yrly <input type="checkbox"/> Yrly <input checked="" type="checkbox"/> As & when presented		
Reference 1 (Mandate Reference No.) <input type="text"/>		Phone No. <input type="text"/>
Reference 2 (Unique Client Code-UCC) <input type="text"/>		Email ID <input type="text"/>
<p>1) I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank. 2) This is to confirm that the declaration has been carefully read, understood &amp; made by me/us. I am authorizing the user entity/Corporate to debit my account, based on the instructions as agreed and signed by me. 3) I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the User entity/Corporate or the bank where I have authorized the debit.</p> <p style="text-align: right;">Maximum period of validity of this mandate is 40 years only</p>		
<b>PERIOD</b>		
From	<input type="text"/>	<input type="text"/>
To	<input type="text"/>	<input type="text"/>
Maximum period of validity of this mandate is 40 years only		
1. _____ 2. _____ 3. _____		
Phone No.: <input type="text"/>		

**RECEIPT OF KYC, RDD, RIGHTS & OBLIGATIONS, GUIDANCE NOTES, POLICIES & PROCEDURES**

To,

**STOCKPLUS FINANCIAL SERVICES**

811/814, Grohitam Building, Plot 14/B, Sector 19, Vashi, Navi Mumbai - 400 703.

Sub: Receipt of KYC, RDD, Rights & Obligations, Guidance Notes, Policies & Procedures, Tariff Sheet

Dear Sir,

This is to acknowledge the receipt of the following documents. I further state and confirm that I have read and understood all the clauses of following documents.

- a) Account Opening Form (Trading),
- b) Risk Disclosure document (RDD) for Capital, Derivatives and Currencies Segments
- c) Rights and Obligations Documents
- d) Guidance Note - Do's & Don'ts for trading on the Exchange(s) for investors
- e) Policies and Procedures document
- f) Tariff Sheet
- g) All voluntary documents

Client Name: \_\_\_\_\_

Signature of Client: \_\_\_\_\_

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SR. NO. \_\_\_\_\_



## **STOCKPLUS FINANCIAL SERVICES**

**MEMBER: BSE LIMITED**

**MEMBER: NATIONAL STOCK EXCHANGE OF INDIA LIMITED**

**MEMBER: METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED**

**SEBI REGI NO.: INZ000227218**

### **CLIENT REGISTRATION FORM FOR INDIVIDUAL/NON-INDIVIDUAL**

UCC Code : \_\_\_\_\_

Name : \_\_\_\_\_

**HEAD OFFICE:** 811/814, Grohitam Building, Plot 14/B, Sector 19, Vashi, Navi Mumbai - 400 703.  
Tel.: 022-4013 9909 • Email ID: [livecare@stockplus.co.in](mailto:livecare@stockplus.co.in) • [www.stockplus.co.in](http://www.stockplus.co.in)