



SVV Shares and Stock Brokers Pvt. Ltd.

Trading & Demat
(Know Your Client)

Client Code : _____

Client Name : _____

Jt Holder (1) : _____

Jt Holder (2) : _____

Demat A/c : _____







Corporate Member: NSE (CM& FO) Clg code: 00132 BSE (CM) Clg Code: 662
SEBI Registration No: INZ000238938
Depository Participant: CDSL DP id 12012000
SEBI Registration No: IN-DP-429-2019

Contact Details:	
Registered Office	A/1, Mandvi Navjeevan, 121/127 Kazi Syed Street, Masjid Bunder, Mandvi W, Mumbai – 400003 Ph: 022-23440244 / 022-23440149 Fax: 022-23449338 Email: svvcm662rediffmail.com Investor Grievances Email: svvig662rediffmail.com
Correspondence Office	603-A, 6 th Floor, P J Towers. Dalal Street, Fort, Mumbai – 400023 Ph: 022-22723133 / 022-22723137 Email: svvcm662rediffmail.com
Compliance Officer	Sneh Kirit Vakharia Ph: 022-22723133 / 022-22723138 Email: svvcm662rediffmail.com
CEO Details	Kirit Kantilal Vakharia Ph: 022-22723133 / 022-22723137 Email: svvcm662rediffmail.com

In case of any grievances/disputes, please contact us at the above details. If you are not satisfied with the response, you can contact the exchange(s) at:

Exchange	Email	Phone
NSE	ignse@nse.co.in	022-26598191
BSE	is@bseindia.com	022-22728097

Disclosure for Proprietary Trading – pursuance to SEBI Circular No SEBI/MRD/SE/Cir/42/2003 dated 19-Nov-2003, NSE Circular No NSE/INVG/PRE/2003/16 dated 25-Nov-2003 and BSE Circular No 20031125-7 dated 25-Nov-2003, we SVV Share Stock Brokers Pvt Ltd may do proprietary trading as and when we deem fit.

Symbol		No of Signatures
	First / Sole Holder Signature	42
	Second Joint Holder Signature (if any) – (Only for Demat)	22
	Third Joint Holder Signature (if any) - (Only for Demat)	22
	Non-Individuals – HUF/Company/Partnership/Trust etc (With Stamp & Signature)	40
	Witness	3
	SVV Authorised Signatory	8

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SVV Shares and Stock Brokers Pvt. Ltd.

CLIENT INTRODUCTION FORM

FOR OFFICE USE

Trading & Demat Account ☐ Only Trading Account ☐ Only Demat Account ☐ Margin Trading ☐

Type of Account opted: BSDA Account ☐ Regular Demat Account ☐

Date			
DP id			
Client id			
Client Code			
Client Name			
Dealer			
Introducer Name			
Introducer Address			
Introducer Phone			
Branch / Sub-broker / AP / Remisier / Existing Client / Others, please specify:			
	Documents verified with Originals	Client interviewed by	In-person verification done by
Name of Employee			
Employee Designation			
Date			
Signature			

I would like to introduce the above client and I state that I have verified the present residential & office address of the above client and the same are existing. I have also checked out his relationship /dealings with other brokers in the past and found them to be clear of any discrepancies or liabilities. The duly filled in client registration form is also attached herewith for your verifications kindly approve the same.

I / We undertake that I/we have made the client aware of 'Policy and Procedures', tariff sheet. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

If the client chooses to avail the demat facility from the same stock broker who is also a depository participant, the stock broker may use the same form and provide the details of the demat account opened for the said client to the client while providing a copy of the KYC documents.



Date _____

NOTE: This form is applicable for individual investors trading in the cash segment. If such investors wish to trade in segments other than cash segment and / or wish to avail facilities such as internet trading, running account, margin trading, Power of Attorney etc., they may furnish additional details required as per prescribed regulations to the concerned intermediary.

KYC Check List (Please tick wherever appropriate)

Acceptable Documents (Copies of all documents to be self-attested)			Please tick	
PAN Card	Account Holder & Joint Holder's (If any)			
Photograph	One Colored Front Face Photograph on photographic paper (Passport size)			
Additional Proof of Identity (Any One) (If PAN card not visible OR PAN Card sign & signature in KYC form are different)	1. Unique identification number (UID) (Aadhar)	KRA documents used (Email ID & Phone Number to be provided on given KRA FORM)		
	2. Valid Passport (Name, Address & Photo page)			
	3. Voter ID (Front and back)			
	4. Valid Driving license (front & back)			
	5. PAN Card			
	6. Other 1 (Pls. Specify)			
Proof of Address (Any one) Permanent / Correspondence	1. Valid Passport (Name, Address & Photo page)			
	2. Voter ID (Front and back)	1. Valid Passport (Name)		
	3. Valid Driving license (Front & back)	KRA document used		
	4. Unique identification number (UID) (Aadhar)			
	5. Bank Statement/Post Office Saving Bank A/c Passbook (not more than 3 months old must contain complete address of client)			
	6. Banker's Verification Letter			
	7. Electricity Bill (not more than 2 months old)			
	8. Resident Landline Tel. Bill (not more than 2 months old)			
	9. Registered Flat Sale Agreement of Resident			
	10. Registered Lease / Leave & License Agreement			
Bank Proof with MICR / IFSC Code (1st Holder only)	1. Bank Statement / Bank Pass book with cheque leaf (not more than 3 months old)			
	2. Banker's Certificate on letter head of the bank (ORIGINAL)			
	3. Cancelled Personalized Cheque leaf			
Demat Proof (Any one) (1st Holder only)	1. Client Master (CML copy duly attested by DP)			
	2. DP Statement / Transaction cum Holding Statement			
Proof of Income (Any One) (Mandatory for F&O Segment) (1st Holder only)	1. Copy of ITR Acknowledgement			
	2. In case of salary income - Salary slip, Copy of Form 16			
	3. Net-worth certificate (Not more than 1 year old)			
	4. Copy of Demat Account Holding Statement			
	5. Bank Account Statement for last 6 months reflecting income			

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self-attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole-time directors and persons authorized to deal in securities on behalf of company/firm/others.
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/PIO Card/ 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 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. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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.

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.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill (Pipeline connections only) - Not more than 2 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. 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.
5. 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.
6. The proof of address in the name of the spouse may be accepted.

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. 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.

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"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • 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). • Photograph, POI, POA, PAN and DIN numbers of whole-time directors/two directors in charge of day-to-day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorized signatories list with specimen signatures. • Copy of Income Tax Return
Partnership Firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures and photographs.
Banks / Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.
Minor (Only demat)	<ul style="list-style-type: none"> • Date of birth certificate (Original or duly Notarised) • PAN cards of minor & guardian • Proof of identity & address of guardian • Photo of minor & guardian with signature • Guardian to sign for minor (across photograph) • Minor Stamp with Guardian's details & Signature
NRI	<ul style="list-style-type: none"> • Proof of Foreign address (with Post Box no) & Indian address (if any) • Passport/PIO Card/OCI card • Bank Pass book / Statement for PIS Account & NRE / NRO account (as applicable) • Declaration that client has & will continue to comply with FEMA regulations • PAN Card, Photograph, POA (if any)

SARAL FORM

ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT

PHOTOGRAPH

Please affix your recent
passport size photograph and
sign across it



I KYC - Please fill this form in BLOCK LETTERS

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Father's/ Spouse Name: _____
3. a. Gender: Male/Female b. Marital status: Single/Married c. Date of birth: _____ (dd/mm/yyyy)
4. Nationality: _____
5. a. PAN: _____ b. Aadhaar Number, if any: _____
6. Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

1. Residence/ Correspondence Address: _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel.(Off.) _____ Tel.(Res.) _____
Mobile No.: _____ Email id: _____
3. Permanent Address (if different from above address): _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
4. Specify the proof of address submitted for residence/correspondence /permanent address: _____

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.



_____ Date: _____



Originals verified and Self-Attested Document copies received



II OTHER DETAILS:

1. Bank account details:

Bank Name	Branch address	Bank account no.	Account Type: Saving / Current	MICR Number	IFSC code

2. Demat account details: (In case the client does not have DP account, this column may be crossed)

DP name	NSDL/CDSL	Beneficiary name	DP ID	BO ID

3. Whether DP account is also to be opened with the same intermediary (Yes/No)

4. Trading Preferences: Please sign the relevant boxes where you wish to trade.

Exchange	Sign	Exchange	Sign	Exchange	Sign
NSE		BSE		MCX-SX	

5. Mode of receiving Contract Note/ Statement of Account: Physical / Electronic (Please indicate your preference)

6. Standing instructions to receive credits automatically into my BO account (Yes/No)

7. Nomination details (Name, PAN, Address and Phone no. of nominee); relationship with the nominee (if nominee is a minor, details of Guardian like name, address, phone no. and signature of Guardian may be obtained)

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.



Date: _____ (dd/mm/yyyy)

SVV Shares and Stock Brokers Pvt. Ltd.

Important Instructions:

A) Fields marked with '*' are mandatory fields.

B) Please fill the form in English and in BLOCK letters.

C) Please fill the date in DD-MM-YYYY format.

D) Please read section wise detailed guidelines / instructions at the end.

E) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 may be obtained from our office.

F) List of two character ISO 3166 country codes may be obtained from our office.

G) KYC number of applicant is mandatory for update application.

H) For particular section update, please tick () 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 Number

(Mandatory for KYC update request)


Account Type*

☐

Normal

☐ Simplified (for low risk customers)☐ Small☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector)	
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			



Signature / Thumb Impression

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth*

ISO 3166 Country Code of Birth*

☐ 3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)	<input type="text"/>	
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

<input type="checkbox"/> 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)																													
<input type="checkbox"/> Same as Current / Permanent / Overseas Address details															<input type="checkbox"/> Same as Correspondence / Local Address details														
Line 1*																													
Line 2																													
Line 3																									City / Town / Village*				
State*										ZIP / Post Code*										ISO 3166 Country Code*									

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional) el. (Off)

[illegible]

9. ATTESTATION / FOR OFFICE USE ONLY	
Documents Received <input type="checkbox"/> Certified Copies	
KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 40px; height: 20px; display: inline-block;"></div>	Name SVV Shares and Stock Brokers Pvt. Ltd.
Emp. Name <div style="border: 1px solid black; width: 100px; height: 20px; display: inline-block;"></div>	Code <div style="border: 1px solid black; width: 200px; height: 20px; display: inline-block;"></div>
Emp. Code <div style="border: 1px solid black; width: 100px; height: 20px; display: inline-block;"></div>	<div style="border: 1px solid black; width: 100%; height: 100%;"></div>
Emp. Designation <div style="border: 1px solid black; width: 100px; height: 20px; display: inline-block;"></div>	
Emp. Branch <div style="border: 1px solid black; width: 100px; height: 20px; display: inline-block;"></div>	
<div style="border: 1px solid black; width: 100%; height: 100%;"></div>	<div style="border: 1px solid black; width: 100%; height: 100%;"></div>

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

General Instructions:

- 1 Fields marked with '*' are mandatory fields.
- 2 Tick wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two -digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which may be obtained from our office.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick () in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code Description

- | | |
|----|--|
| 01 | Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions. |
| 02 | Letter issued by a gazetted officer with a duly attested photograph of the person. |

D Clarification /Guidelines on filling 'Proof of address [PoA] -Current/ Permanent/Overseas address details'section

- 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

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 | Bank account or Post officesavings bank account statement. |
| 04 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 05 | Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation. |
| 06 | Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India. |

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

F 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).
- 2 Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [Pol] of Related Person' section

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

Note : In case of any correction in the Form - please sign next to the correction made. Further, the signature should match the original signature.

Additional KYC Form for Opening a Demat Account For Individuals

I / We request you to open a Demat Account in my / our name as per following details: -

Holders Details

Sole / First Holder's Name		PAN															
		UID															
Second Holder's Name		PAN															
		UID															
Third Holders' Name		PAN															
		UID															

Name*:

*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc, although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

Type of Account (Please tick whichever is applicable)

Status	Sub-status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading a/c (MANTRA)	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (specify)_____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non - Repatriable <input type="checkbox"/> NRI Non - Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Others (Specify) _____	<input type="checkbox"/> Foreign National - Depository Receipts

Details of Guardian (In case the account holder is minor)

Guardian's Name:		PAN															
		UID															
Relationship with the applicant:																	

Holder Details: (Please tick whichever is applicable)

	1st Holder	2nd Holder	3rd Holder
Gross Annual income	<input type="checkbox"/> Below 1 lakh <input type="checkbox"/> 1-5 lakhs <input type="checkbox"/> 5-10 lakhs <input type="checkbox"/> 10-25 lakhs <input type="checkbox"/> Above 25 lakhs as on _____	<input type="checkbox"/> Below 1 lakh <input type="checkbox"/> 1-5 lakhs <input type="checkbox"/> 5-10 lakhs <input type="checkbox"/> 10-25 lakhs <input type="checkbox"/> Above 25 lakhs as on _____	<input type="checkbox"/> Below 1 lakh <input type="checkbox"/> 1-5 lakhs <input type="checkbox"/> 5-10 lakhs <input type="checkbox"/> 10-25 lakhs <input type="checkbox"/> Above 25 lakhs as on _____
Net-worth (not older than 1 year)	Rs. _____ as on _____	Rs. _____ as on _____	Rs. _____ as on _____
Education	<input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional <input type="checkbox"/> High school <input type="checkbox"/> Others _____	<input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional <input type="checkbox"/> High school <input type="checkbox"/> Others _____	<input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional <input type="checkbox"/> High school <input type="checkbox"/> Others _____
PEP Status	<input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> PEP Relative <input type="checkbox"/> Not Applicable	<input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> PEP Relative <input type="checkbox"/> Not Applicable	<input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> PEP Relative <input type="checkbox"/> Not Applicable
Mobile no.			
Mobile belongs to	<input type="checkbox"/> Self <input type="checkbox"/> Other - Name of person _____ PAN NO. _____ Relationship of Mobile Owner with Applicant: <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent		
Email ID			
Email ID belong to	<input type="checkbox"/> Self <input type="checkbox"/> Other - Name of person _____ PAN No _____ Relationship of Mobile Owner with Applicant: <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent		

	✓	✗
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PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years : _____

DEALINGS THROUGH SUB-BROKERS / AUTHORISED PERSON (AP)/ OTHER STOCK BROKERS


If Yes, please specify :	
Name of Stock Broker	
Name of SB /AP	
Name of Exchange	
Client Code (as given by other broker)	
Details of disputes/dues pending from/to such stock broker/sub- broker:	
Whether you are a Member / Sub-broker / AP of any Exchange <input type="checkbox"/> Yes <input type="checkbox"/> No	
If yes, provide SEBI Registration No.	

STANDING INSTRUCTIONS / OTHER DETAILS / E-MAIL, SMS ALERT / CONTRACT NOTE PREFERENCE

Contract Note	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Holding & Transaction Statement	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Smart SMS Alert Facility required	<input type="checkbox"/> Yes <input type="checkbox"/> No
Basic Services Demat A/c Flag (if not marked, default will be No)	<input type="checkbox"/> Yes <input type="checkbox"/> No
RGESS Flag (if not marked, default will be No)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transaction using Secured Texting Facility (TRUST)	<input type="checkbox"/> Yes <input type="checkbox"/> No
ECS of dividend/interest	<input type="checkbox"/> Yes <input type="checkbox"/> No
Receive Delivery Instruction Slip	<input type="checkbox"/> Yes <input type="checkbox"/> No
Receive Credit in Demat	<input type="checkbox"/> Yes <input type="checkbox"/> No
Accept all pledge in Demat	<input type="checkbox"/> Yes <input type="checkbox"/> No
Share Email ID with Registrar & Transfer Agent	<input type="checkbox"/> Yes <input type="checkbox"/> No
Receive Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both
DP Account Statement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> As per SEBI Regulations
Consolidated Statement required	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, then	<input type="checkbox"/> Physical <input type="checkbox"/> ECN
Standard Documents (incl. Policy & Procedure)	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Whether you wish to avail the facility of internet trading and Mobile Trading	<input type="checkbox"/> Yes <input type="checkbox"/> No

Notes :

- Dividend / Interest will be credited to bank account via ECS.
- In case Client does not opt for DIS Booklet, it would be issued on request at any later date.
- BO can view his ISIN balances, transactions & value portfolio online. To register for Easi, please visit website - www.cdslinda.com

	✓	✗
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BANK ACCOUNT AND DP RELATED DETAILS





For Individuals & Non-individuals

BANK ACCOUNT(S) DETAILS		
Particulars	Bank Details -(default)	Bank Details - II
Account No.		
Bank Name		
Micr Code		
Branch Add		
IFSC	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
Account Type	Saving Current	Saving Current

DEMAT ACCOUNT(S) DETAILS		
Particulars	DematAccount(s)Details -I(default)	Demat Account(s) Details - II
Depository	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
DP Name		
Beneficiary Name		
DP ID		
Client ID		

TRADING PREFERENCES

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

Segments	BSE	NSE
Cash		
F&O		

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

NRI DECLARATION BY CLIENT

I/We have complied and continue to comply with FEMA regulations and other applicable laws

	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
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FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name				
		First/Sole Holder	Second Holder (if any)	Third Holder (if any)
1.	Are you U.S. Person?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2.	Specify country of residence for tax purpose (Tax Residency)	<input checked="" type="checkbox"/> India <input type="checkbox"/> Other	<input checked="" type="checkbox"/> India <input type="checkbox"/> Other	<input checked="" type="checkbox"/> India <input type="checkbox"/> Other
3.	Specify country of citizenship	<input checked="" type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input checked="" type="checkbox"/> India <input type="checkbox"/> Other
<p>Note: If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration for is available at our office</p>				
 (First/Sole Holder Signature)		 (Second Holder Signature)	 (Third Holder Signature)	

INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002

Experience	Number of years of investment / trading Experience _____
Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 lac <input type="checkbox"/> 5-10 lac <input type="checkbox"/> 10-25 lac <input type="checkbox"/> >25 lac
	OR Net Worth in (*Net worth should not be older than 1 year) as on date DD / MM / YYYY
Occupation (please tick)	<input type="checkbox"/> Govt. Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> House wife <input type="checkbox"/> Student <input type="checkbox"/> Others _____
Nature of Business	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Service <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____
Is the client Politically Exposed Person (PEP) or Related to PEP <input type="checkbox"/> Yes <input type="checkbox"/> No	

DECLARATION BY CLIENT

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it and will render my account liable for termination and suitable action.

I/We confirm having read/been explained and understood the contents of the document on policy and procedures of SVV and the tariff sheet.

I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'.

I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

I/We declare that the particulars given by me/us above are true to the best of my/our knowledge as on the date of making this application.

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Nomination Form

☐ Demat ☐ Trading ☐ Demat & Trading

Dear Sir / Madam

I / We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- ☐ I / We do not wish to nominate any one for this demat account....
 [Strike out what is not applicable] [Signatures of all account holders should be obtained on this forms]
- ☐ I / we nominate the following persons who is entitled to receive security balance lying in my/our account particular whereof are given below, in the eventof the death of the Sole or death of all the joint Holders

DP ID	1	2	0	1	2	0	0	0	Client ID							
UCC ID																

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name*:			
Address*:			
City*:			
State*:			
Pin*:			
Country*:			
Mobile*:			
PAN No*:			
UID*:			
Email ID*:			
Relationship with the BO*:			
Nomination identification details* [tick any one of following and provide details] <input type="checkbox"/> Photograph <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of identity <input type="checkbox"/> Demat Account ID			
Name of Guardian (incase Nominee is minor)			
Date of birth (mandatory if Nominee is a minor):			

Address of the Guardian of nominee:			
Age			
Guardian Mobile			
Guardian Email ID			
Relationship of Guardian with Nominee			
Percentage of allocation of securities:			
Residual Securities* [please tick any one nominee. If not marked, default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


Note: Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation . if you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any


*** Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Place: _____

Date: _____

	First/Sole Holder	Second Holder	Third Holder
Name			
		✓	✗

Details of the witness	
Name of witness	
Address of witness	
Signature of witness	

(To be filled by DP)

Nomination Form accepted and registered with Registration No. _____ dated _____



For SVV Share & Stock Brokers Pvt Ltd
(Authorised Signatory)

Declaration form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated 23rd July 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To,	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
SVV Shares and Stock Brokers Pvt. Ltd. A/1, Mandvi Navjeevan, 121/127 Kazi Sayed Street, Masjid Bunder, Mumbai 400003									
UCC ID									
DP id									
Client ID (only for demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents/ information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
Name :									
Signature	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 30%; text-align: center;"> </div> <div style="width: 30%; text-align: center;"> </div> <div style="width: 30%; text-align: center;"> </div> </div>								

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

TARIFF SHEET FOR TRADING & DEMAT ACCOUNT

Trading Tariff Sheet

- * SVV will charge brokerage to the clients at a rate as may be mutually agreed from time to time.
- * Brokerage will be exclusive of Transaction charges, Stamp duty, STT, service tax, SEBI turnover fees, or any other levies/taxes imposed by Exchange/SEBI or any other Govt Organization.
- * The maximum brokerage charged will be 2.5% of the contract price exclusive of statutory levies.



Demat Account Tariff Sheet

Particulars	Charges
Account Opening Charges (Individual / Other than Individual)	Nil
Account Maintenance Charges	Rs. 400/- p.a. – For Individual Rs 1200/- p.a. – For Other than Individuals
Dematerialization Charges	Rs. 2/- per certificate
Rematerialisation Charges	Rs 15/- for every 100 securities or a part there of, subject to Maximum fee of Rs. 5,50,000/- or a flat fee of Rs. 10/- per certificate whichever is higher
Transaction Charges (Each Credit) / Custody Charges / Failed Instruction Charges	Nil
Transaction Charges for any debit	0.025% or Rs. 15/-, whichever is higher
Pledge / Unpledge / Confiscation Charges	Rs. 100/- per Transaction
Delivery Instruction Slip Charges	Rs. 2/- per Slip
POA (one time only)	Rs. 550/-
Other Charges	i) KYC Charges Rs. 60/- (Individual or Non-Individual) ii) BSDA – (a) No AMC till portfolio value is Rs. 50,000/- (b) portfolio Value or Rs. 50,001/- till Rs. 2,00,000/- AMC Rs. 100/- (c) Portfolio value above Rs. 2,00,001/- AMC as per Non BSDA Demat Account Tariff will be levied.
Additional Statement will be Charged extra	Rs. 15/- per Paper
Additional Statement & Instruction Slip book dispatch Charges	Rs. 20/- per Cover – Upto Mumbai Rs. 40/- per Cover – outside Mumbai
Advance Deposit	Advance Rs. 1500/- (To be adjusted against transaction / AMC/ and other charges as applicable. Bal, if any, to be refunded at the time of Account Closure)

- Service Tax as applicable.
- Courier Charges will be levied on actual basis.
- Sum of Dispatch Charges and Per Certificate Charges is subject to minimum of Rs. 50/-
Subject to Minimum of Rs. 1000/- per month of BSE CM Account
Subject to Minimum of Rs. 1500/- per month of NSCCL Account

	✓	✗
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KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR NON-INDIVIDUALS

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of Incorporation: _____ (dd/mm/yyyy) Place of Incorporation: _____
3. Date of commencement of business: _____ (dd/mm/yyyy)
4. a. PAN: _____ b. Registration No. (e.g. CIN): _____
5. Status (please tick any one):
☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust ☐ Charities
☐ NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government
Organization ☐ Defense Establishment ☐ BOI ☐ Society ☐ LLP ☐ Others (please specify) _____

B. ADDRESS DETAILS

1. Address for correspondence: _____

Landmark: _____ City/town/village: _____
Pin Code: _____ State : _____ Country : _____
2. Contact Details Tel. (Off.) _____ Tel. (Res.) _____
Mobile No.: _____ Fax: _____
Email id : _____
3. Specify the proof of address submitted for correspondence address: _____
4. Registered Address (if different from above): _____

Landmark _____
City/town/village: _____ Pin Code: _____
State: _____ Country : _____
5. Specify the proof of Address submitted for Registered Address: _____

C. OTHER DETAILS

1. Name, PAN, residential address and photographs of Promoters / Partners / Karta / Trustees and whole-time directors : As per annexure
2. a) DIN of whole-time directors : As per annexure
b) Aadhaar number of Promoters / Partners / Karta: As per annexure

DECLARATION




I / We hereby declare that the details furnished above are true and correct to the best of my / our knowledge and belief and I / we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I / we may be held liable for it.



Name & Signature of the Authorised Signatory

Date :

**DETAIL OF PROMOTERS / PARTNERS / KARTA / CO-PARCENERS /
TRUSTEES AND WHOLE TIME DIRECTORS / TWO DIRECTORS IN CHARGE OF
DAY-TO-DAY OPERATIONS**

Particulars	1st	2nd	3rd
Name			
Designation			
PAN			
Proof of Identity submitted			
Proof of Address submitted			
DIN of whole time directors			
Aadhaar number of Promoters / Partners / Karta			
Residential Address			
Mobile			
Email			
Shareholding %			
	<p style="text-align: center;">PHOTOGRAPH</p> <p>Please affix the recent passport size photograph and sign across it</p> 	<p style="text-align: center;">PHOTOGRAPH</p> <p>Please affix the recent passport size photograph and sign across it</p> 	<p style="text-align: center;">PHOTOGRAPH</p> <p>Please affix the recent passport size photograph and sign across it</p> 

Note: Use additional sheet, if required.

BENEFICIAL OWNER DECLARATION

(Only for Non-Individual Client)

With reference to SEBI Master Circular No CIR/ISD/AML/3/2010 dated December 31, 2010 & CIR/MIRSD/2/ 2013 dated January 24, 2013 it has been mandated to obtain, sufficient information from clients in order to identify and verify the identity of persons who beneficially own or control the account being opened by broker. The beneficial owner has been defined in the circular as the natural person or persons who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement. Intermediaries have been asked to comply with following guidelines:

Please find below the type of BO and criteria applicable.

Type of beneficial Owner (BO)	Criteria
Company (Un-listed)	Holds more than 25% of shares or capital or profits of the Client
Partnership	Having more than 15% of the capital or profits of the Client
An unincorporated association or body of individuals or HUF	Having more than 15% of the property or capital or profits of the Client
Trust	Settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

- ☐ In case no beneficial owner is identified as given above then the person who exercises control through other means i.e. by voting rights, agreement and arrangements or in any other manner shall be called a BO.
- ☐ Where no natural person is identified under aforesaid clauses then the natural person who holds the position of senior managing official shall be termed a BO.

Kindly provide below mentioned details of the BO individual/non-individual/Partner/Karta/Trustee etc.

I/we confirm the below mentioned details to be correct and that I/we will be solely responsible for any incorrect information provided herein.

Type of BO	Name of BO	PAN of BO	Address of BO



Client's stamp & signature of authorized signatory

VOLUNTARY

Date: _____

To
SVV Shares and Stock Brokers Pvt. Ltd.
A/1, Mandvi Navjeevan, 121/127,
Kazi Syed Street, Masjid, Mumbai - 400 003

Dear Sirs,

Subject: Authority Letter for Dealing

I (individual) / We (Huf/Partners/LLP) do hereby give our consent that the aforesaid viz

1. _____
2. _____

would operate & execute above mentioned BO id/trading account and execute order on my/our behalf of and deal on the National Stock Exchange of India Ltd. And/or the Bombay Stock Exchange of India Ltd. and any dealing actions done on my/ our behalf by above mentioned person's account shall be acceptable to me/us subject to the Bye Laws, Rules and Regulations of the Exchanges from time to time.

We further confirm that the authorised person can jointly / severally issue instruction to you as our broker for securities trades, fund, etc. and to do all such acts, deals and things as may be necessary for the purpose of operating this account.

The Specimen Signature of the Authorised person is given below:

Specimen signature in full _____

PAN _____

Relationship with me/us _____

Thanking you,
Yours faithfully,



Name _____

VOLUNTARY

Date :

To

SVV Shares and Stock Brokers Pvt. Ltd.
A/1, Mandvi Navjeevan, 121/127,
Kazi Syed Street, Masjid, Mumbai - 400 003.

Dear Sir,

Sub: Digital Contract notes/account statements/Transaction cum holding Statement

Client code no _____ Demat A/c No.: 12012000_____

I/We agree to receive contract notes/ statements/securities transaction statements / demat statements/ margin statement, confirmation slips, notices, circulars, etc. in respect of my /our dealings in Cash, currency derivatives, F&O segments of the exchanges and/or IPO products. I/we wish to register for digital contract notes only through email from you in accordance with the SEBI circular SMDRP/POLICY/CIR-56/00 dated December 15, 2000. I/We also authorize the member to stop issuing physical copies of contracts unless required by me / us and if deemed suitable to the member.

I/We also agree that the dispatch of the digital contract note from the member's end shall constitute deemed delivery of the same unless bounced back and it shall be my /our responsibility to check my / our emails for the same. I/We also agree to bring to the member's notice any discrepancy at the earliest after receipt of the statement or any sort of document failing which the contract shall be considered as accepted and acknowledged in total without any discrepancies, save and except typographical and technical errors.

I/We also authorize the member to send quarterly financial account statements/securities transaction statements / other statements periodically through the email mode and in physical mode only under specific requests from me / us. The email address or addresses to be used for the purpose of sending digital contracts and other documents such as account statements/securities transaction statements / confirmation slips/ demat statements/ margin statement, notices, circulars, etc. is/are mentioned below

Email id: _____

Alternate Email id (if any): _____

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

In case of any change in email id, same will be communicated by me in writing to SVV.

I also have noted that the digital contracts would also be available to me on www.svvkv.in.

This authority is valid till we continue to maintain association with your company or can be revoked by me / us at any point of time.

	✓	✗
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Date:

To
SVV Shares and Stock Brokers Pvt. Ltd.
A/1, Mandvi Navjeevan, 121/127,
Kazi Syed Street, Masjid, Mumbai - 400 003.

Dear Sir,

Ref. BO ID No. 12012000000 _____

Sub: Authority Letter to Collect DRF/Holding Statement / Delivery Instruction Book

I / We am / are the Single holder / joint holders of the above - mentioned Client ID.

I / We hereby authorize Mr./Mrs. _____ to collect
the DRF / Holding Statement / Delivery Instruction Book on my/our behalf.

The signature of Mr./Mrs. _____ is as below.







Signature of Mr. _____

Thanking you,
Yours faithfully,

		
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Demat Debit and Pledge Instruction
(Franking required)

To all to whom these presents shall come I/ we:

	Sole/First Holder: _____	
	Second Holder: _____	
	Third Holder: _____	













residing at/ having its registered office at _____, states that.

Whereas I/ we hold benef icial owner account number 12012000_____with Central Depository Services (India) Limited (CDSL), through SVV Share & Stock Brokers Pvt Ltd. (here in after called as DP) bearing DP ID 12000, having DP office at A/1, Mandvi Navjeevan, 121/127 Kazi Sayed Street, Masjid Bunder, Mumbai - 400003 registered with Securities and Exchange Board of India (SEBI)

And Whereas I/ we am/ are desirous to buy and sell securities through SVV Shares & Stocks Brokers Pvt Ltd who is a stock broker registered with SEBI and member of recognized stock exchange/s of BSE Ltd in cash segment and National Stock Exchange of India Ltd in cash and derivatives segments.

And Whereas I/ we am/ are hereby authorise SVV Share & Stock Brokers Pvt Ltd. to operate my/ our benef icial owner account on my/ our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

I/we am/are further authorize SVV Share & Stock Brokers Pvt Ltd . (hereinafter referred to as "the stock broker") to perform the following functions on my /our behalf:

Sr no	Purpose	Signature of all holders
1	To instruct the DP to debit securities to the said account and /or to transfer the securities from the said accounts to the extent of securities sold through SVV Share & Stock Brokers Pvt Ltd for Pay-in obligations towards the recognized stock exchanges in any segment.	  
2	To pledge/re-pledging of the securities in favor of theTrading member (TM) and or Clearing member (CM) , stock broker for the limited purpose of meeting my/our upfront margin, MTM margin or any other margin requirements in connection with the trades executed by me/us on any recognized Stock Exchange through the Stock Broker.	  
3	Mutual Fund transactions being executed On Stock Exchange order entry platforms.	  
4	Tendering shares in open offers through Stock Exchange Platforms.	  

In the presence of – Witness Name & Signature



I/We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the DDPI shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at Mumbai. However such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation for DDPI.

Demat Account of the Stock Broker

Name of the DP	Demat Account Number	Type of Account
SVV Share & Stock Brokers Pvt Ltd	12012000-00000677	BSE Principal (CDSL)
SVV Share & Stock Brokers Pvt Ltd	12012000-00000681	BSE Pool (CDSL)
SVV Share & Stock Brokers Pvt Ltd	12012000-00044776	CUSA (CDSL)
SVV Share & Stock Brokers Pvt Ltd	12012000-00045522	NSE CM Pool (CDSL)
SVV Share & Stock Brokers Pvt Ltd	12012000-00002621	NSE CM (CDSL)
SVV Share & Stock Brokers Pvt Ltd	12012000-00045157	Client Security Margin Pledge (CDSL)
BOISL	11000010-00012754	BSE Early-Payin
BOISL	11000011-00014967	NSE Early-Payin
HDFC Bank	IN300126-10003141	BSE Pool (NSDL)
ICICI Bank	IN301348-20003092	NSE Pool (NSDL)
HDFC Bank	IN300126-11283361	Client Security Margin Pledge (NSDL)

By the within named Beneficial Owner/s

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In the presence of – Witness Name & Signature



For SVV Shares & Stocks Brokers Pvt Ltd



Director/Authorized Signatory

**FORMAT OF DECLARATION BY THE PROPRIETOR OF SOLE
PROPRIETORSHIP FIRM**

(On Letter-head of the firm)

Date :

To

SVV Shares and Stock Brokers Pvt. Ltd.
A/1, Mandvi Navjeevan, 121/127,
Kazi Syed Street, Masjid, Mumbai - 400 003.

Dear Sir,

I refer to the trading account opened with you in the name of _____

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account no. _____ with the depository _____ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfer (s) to/from the above-mentioned account. I recognize and accept transfer made by you to the aforesaid beneficiary account as completion of obligations by you in respect of trade executed in the above trading account of the firm.

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advise you in writing of any change that take place in the constitution of the firm and will be personally liable to you for all the obligation that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

The cheques/DDs (electronic/physical) shall be issued by me from my individual account with any bank and the amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s _____ with your company.

Yours truly,

Name of the Proprietor: _____



HUF DECLARATION

(On Letter-head of the HUF)

Date :






To

SVV Shares and Stock Brokers Pvt. Ltd.
A/1, Mandvi Navjeevan, 121/127,
Kazi Syed Street, Masjid, Mumbai - 400 003.

Dear Sir,

I hereby request you to open our trading account with you, for our HUF.

Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. _____

SR.NO.	NAME OF FAMILY MEMBERS	RELATIONSHIP	DATE OF BIRTH	CO-PARCENERS SIGN.
				
				
				
				
				

I hereby also declare that the particulars given by me stated above are true to the best of my knowledge as on date for making this Application to open new 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 any changes in the constitution of HUF will be intimated by me.

Thanking you, Yours truly,



Karta of HUF

FORMAT OF DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM
(On Letter-head of the partnership firm)

Date :

To
SVV Shares and Stock Brokers Pvt. Ltd.
A/1, Mandvi Navjeevan, 121/127,
Kazi Syed Street, Masjid, Mumbai - 400 003.

Dear Sir,





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 the depository _____ having demat a/c no _____ as a joint account in the names of the partner 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/from 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 may be necessary to enter into the agreement and engage in business with **SVV Shares & Stock Brokers Pvt. Ltd.** 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 for adjustment of balances in family accounts.

Name of Partners	Signature of Partner with stamp
	
	
	
	

(To be signed by all Partners)



SHARE HOLDING PATTERN
(On Letter-head of the company)

Name of shareholder holding more than 5% of the Share Capital of the Company	% of holding

(Attach separate Sheet)

For Company name



(Signature of Director/Authorised Signatory/Trustee with Company /Trustees Stamp)

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DRAFT OF BOARD RESOLUTION FOR CORPORATE CLIENTS
(On Letter-head of the company)

CERTIFIED COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF _____
HELD ON _____ OF _____, 20____ AT _____

“RESOLVED THAT the Company is empowered to deal on the Capital Market Segment, Futures and Options Segment, Retail Debt Segment or any other Segment or any other segment that may be introduced by Bombay Stock Exchange Ltd And/or the National stock Exchange and in pursuance of the same do enter into agreement with SVV Shares & Stock Brokers Pvt. Ltd., Mumbai a Member of the Bombay Stock Exchange Ltd. and National stock Exchange the said Trading Member be and is hereby authorised to honour instructions, oral or written, given on behalf of the Company by anyone of the under noted authorised signatories:

1) Mr. _____ - Director/Co. Sec/Authorised Signatory etc

2) Mr. _____ - Director/Co. Sec/Authorised Signatory etc

Who is authorised to sell, purchase, transfer, negotiate documents and / or otherwise deal through SVV Shares & Stock Brokers Pvt. Ltd., Mumbai on behalf of the Company.”

“RESOLVED FURTHER THAT Mr. _____ and/or Mr. _____ be and are hereby authorised to sign., execute and submit such applications, undertakings, agreements and other requisite documents, writing and deeds as may be deemed necessary or expedient to open an account and give effect to this resolution”



Director /Auth. Signatory (Stamp & sign)

Annexure A

To be submitted by all the Partners/Directors/Trustees/Authorised Signatories/Karta authorised by resolution to act on behalf of the Firm/Company/Trust/HUF

In connection with the Client Registration Application Submitted to you by of which I am the Partner / Director / Trustee / Authorised signatory / Karta I furnish you the following personal details relating to me :

Please affix photograph of Karta/Director etc & Sign across the Photograph



Name:		
Address (Residence)		
City:		Pin:
State:		Country:
PAN:		Date of Birth:
Telephone:		Mobile
Designation		Male <input type="checkbox"/> Female <input type="checkbox"/>
Investment Experience		Annual Income Range
Years in Stocks		Below 1 Lac <input type="checkbox"/>
Years in Derivatives		Rs, 1 Lac-5Lacs <input type="checkbox"/>
Years in any other related field		Rs. 5 Lacs-10 Lacs <input type="checkbox"/>
		Rs. 10 Lacs-25 Lacs <input type="checkbox"/>
Particulars of Bank A/c.		Above 25 Lacs <input type="checkbox"/>
Name of Bank		
Branch (Address, Fax and Telephone No.)		
Bank Account No.		
Whether registered with any other Broker : Yes/No		
If Yes, Name of Member		
Name of Exchange		
Client Code No.		

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting I am aware that I may be held liable for it.



Note: If any of the above information required does not fit in the form an annexure may be used.

**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.



ELECTRONIC CONTRACT NOTES (ECN)

37. 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.
38. 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.
39. 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.
40. 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.
41. 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.
42. 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

43. 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.
44. 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.
45. 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.
46. 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.
47. 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.
48. 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.



Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*".
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

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Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account


17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

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Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance


24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. 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 Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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Annexure – 5

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 & Don't's 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.exchange.com and SEBI website 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. 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. 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. 6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. 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 the facility of Trade Verification is available on stock exchanges' websites, where details of trades 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 or delivery of securities (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 and securities 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 brokers shall send 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 securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, 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 and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/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/securities 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 pay-out of funds/securities 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 Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investor's 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 OF SVV Shares & Stock Brokers Pvt. Ltd.

This document outlines various policies and procedures framed and followed by SVV Shares & Stock Brokers Pvt. Ltd. ("SVV") with respect to its dealing with its clients and as a Stock Broker on Bombay Stock Exchange Ltd. (BSE) & National Stock Exchange (NSE).

The policies and procedures as stated herein below are subject to change from time to time at the sole discretion of SVV, depending upon regulatory changes, its risk management framework, other market conditions, etc.

Refusal Of Orders for Penny Stocks:

There are shares of certain companies which are known as "Penny Stocks". There is no formal list of "Penny Stocks" issued by the Exchanges or SEBI. However, from time to time the Exchanges issue a list of "Illiquid Stocks" and "Penny Stocks" may form a part of them but not necessarily so.

SVV recognizes that it is the client's privilege to choose shares in which he/she/they would like to trade. With respect to trading in "Penny Stocks":

- SVV may allow solely on its own discretion, acceptance of orders of the client in "Penny Stocks". Prior to acceptance of such orders, SVV reserves the right to ask the client for compulsory settlement/ pay full upfront margin/upfront delivery of securities for settlement. It is known that trading in "Penny Stocks" are highly risky and that any financial obligations/losses thus aroused will be borne exclusively by the client alone.
- SVV may refuse to execute any client's orders in "Penny Stocks" without assigning any reason for the same.
- Clients must ensure that trading in "Penny stocks do not result in creation of artificial volume or false or misleading appearance of trading.
- Clients are expected not to place orders in "Penny Stocks" at prices which are substantially different from the prevailing market rates.
- SVV will not be responsible for any loss of opportunity by the client on our refusal to execute client's orders in "Penny Stocks".

Setting up Client's Exposure limits:

Exposure limits for each client is determined by the Risk Management System based on the Net Worth information, clients financial capacity, prevailing market conditions and Margin deposited by the client in form of funds/securities with SVV.

SVV may at its sole and absolute discretion allow clean exposure limits up to a certain amount to the client without insisting for any credit balance and/or margin. The quantum of clean exposure limit will be decided by SVV.

SVV retains the discretion to set and modify from time to time any client's exposure limits as decided above. SVV will not disclose their rationale/logic of their decision about fixation of limits.

Applicable Brokerage Rate:

SVV will charge brokerage to the clients at a rate as may be mutually agreed from time to time. Brokerage will be exclusive of Transaction Charges, Stamp Duty, Security Transaction Tax, Service Tax, SEBI Turnover fees or any other tax/levy imposed by the Exchange/SEBI/or any other government agencies.

The maximum brokerage chargeable shall be 2.5% of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale/purchase value of a share is Rs10/- or less a maximum brokerage of 25 paise per share may be collected.

Imposition of penalty/delayed payment charges by either party specifying the rate and the period not resulting in funding by the broker in contravention of the applicable laws.

Any Penalty and other charges levied by Exchanges or any authority in connection with /or as a consequence of /in relation to any orders/trades/deals/actions of the client the same will be borne/ recovered from the respective client.

All clients who have agreed to have a "Running Account" with SVV will have to make payments due to the Company on or before the due date.



SVV is not in the business of funding client's positions, hence delayed payment charges will not be charged.

However continuous or recurring instances of delayed payment by the client in any three-month period SVV may consider to de-register that particular client.

In cases of cheque bouncing, SVV will recover the bank charges plus applicable taxes from the clients. Clients will also be liable to return the securities delivered by SVV to their DPs through auto payout system.

No interest or charges will be paid by SVV to any client on retention of funds or securities towards meeting future settlement obligations and in respect of "Running Account" authorizations.

The right to sell client's securities or close client's positions, without giving notice to the client on account of non-payment of client's dues:

In the event a client fails to make payment on the due date then SVV reserves the right to liquidate/ close out /square off any open positions (limited to the extent of settlement/margin obligation) without giving prior notice, all or any of the clients positions as well as securities /collaterals placed as margin for non payments of margin or other amounts due from such client in respect of settlement or any other dues that are recoverable from the particular client by SVV. The proceeds will be adjusted towards the client's liabilities/obligations.

Any loss or financial charges on account of such close-out/liquidation shall be debited to the clients account.

The Client is aware and understands that if the selling of such shares is not enough to recover the dues/debit balance if any in the clients account, SVV can legally send a notice to the client to clear the outstanding balance to avoid further legal proceedings.

The stock broker may, in his absolute and sole discretion, square-off any outstanding position of the client due to any restriction in relation to volume of trading/outstanding business or margins stipulated by the Exchange, clearing corporation/clearing house and/or the stock broker and/or any other extra ordinary event warranting such square off, without prior intimation the client.

The stock broker may, in his absolute and sold discretion, square-off any outstanding position of the client due to any restriction in relation to volume of trading/outstanding business or margins stipulated by the Exchange, clearing corporation/clearing house and/or the stock broker and/or any other extra ordinary event warranting such square off, without prior intimation the client.

Shortages in obligations arising out of Internal netting of trades

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- SVV will endeavor to collect the securities from the selling client and deliver the same to the purchasing client within 48 hours of the settlement date.
- In case the selling client is unable to deliver the securities within 48 hours then SVV shall attempt to purchase the security latest by T +3 day from the market and deliver the same to the purchasing client.
- If SVV is unable to purchase the security from the market due to any force majeure condition, then the transaction will be closed out as per the rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and the same will be debited to the selling client.

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

SVV shall have absolute discretion and authority to limit client's volume of business or to close any existin position of a client without giving any prior notice to the client under the following mentioned conditions:

- If the particular client is a Defaulter of an amount due to SVV. Value of collateral is insufficient to meet losses incurred by the client. If there are insider trading restrictions on the client



- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If the particular client is barred from trading on the exchange by any Exchange and or SEBI
- If in view of the management of SVV the market conditions turn extremely volatile or unfavorable. Breach of member/client agreement/rules, Bye Laws, Rules and Regulations of the Exchanges and/or SEBI directives.
- Breach of market and/or client-wise permitted position limit. Any other reasons as may be provided by SVV from time to time.

Temporarily suspending or closing a client's account based at the Client's request:

A client may request SVV to temporarily suspend his account through a written request stating the reason for temporary suspension and period of suspension. Whenever, any suspended account wants to resume trading, a request will have to be made in writing and SVV may ask for updated financial information and other details before reactivating such an account.

Deregistering a client:

Notwithstanding anything to the contrary stated in the agreement SVV shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

SEBI or any other regulatory body has passed an order against such a client, prohibiting or suspending such client from trading in Securities Market.

Such client has been indicted by SEBI or the Exchanges or any other regulatory body in a case of market manipulation or insider trading.

Such clients name appears in the UN list of prohibiting entities or SEBI debarred list If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal functioning of the market, either alone or in conjunction with others. If there is any commencement of a legal process against the Client under any law in force On death/lunacy or other disability resulting in inaction of the client.

If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy law or being a

Company goes into liquidation or has a receiver appointed in respect of its assets or refers itself the Board of Industrial and Financial Reconstruction or any other law providing protection as a relief undertaking.

The particular client has defaulted in making payment on the due date, if there is reasonable apprehension that the client is unable to pay, or the Client has admitted its inability to pay its debts. If the client is in breach of any term, condition or covenant of this agreement. If any covenant or warranty of the client is incorrect or untrue in any material respect. Continuous and recurring instances of delayed payment by the client in any three month period SVV may consider to de-register that particular client.

A client's account may be treated as inactive if there is no activity in an account for a period of more than 18 months. Reactivation of such clients will be only done after due diligence by SVV. Breach of member/client agreement/rules, Bye Laws, Rules and Regulations of the Exchanges and/or SEBI directives.

Delivery failure of important communication from SVV such as Contract cum Bills, statements of accounts for funds/securities, etc., sent to the clients registered correspondence address, email id, etc as per record.

Client's inability to provide important financial/non financial documents/any such mandatory documents as may be required by SVV from time to time and/or as directed by the Exchanges/ SEBI.

I/We have fully understood the above and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses of this document. These policies and procedures may be amended/changed unilaterally by SVV, provided the amendment/change is informed to me/us. These policies and procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute or claim between me/us and SVV before any Regulator or any Court of Law/judicial adjudicating authority including an arbitrator.

