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**MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

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|   |   |
|---|---|
| Name of stock broker/trading member/clearing member | <b>KEDIA SHARES &amp; STOCKS BROKERS LIMITED</b>  |
| SEBI Registration No. and date                      | <b>INZ000229638 Date: 05/03/2019</b>  |
| Registered office & Correspondence office address:  | B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg, R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028, Maharashtra.<br>Phone: 022 46049268 • Website: <a href="http://www.kediashares.com">www.kediashares.com</a> |
| Compliance officer name: phone no. & email id:      | <b>Reshma A. Kalokhe</b><br>022 46049268 • <a href="mailto:compliance@kediashares.com">compliance@kediashares.com</a>   |
| CEO name: phone no. & email id:                     | <b>Narendra B Kedia</b><br>022 46049268 • <a href="mailto:narendrabkedia@gmail.com">narendrabkedia@gmail.com</a>  |

| <b>Clearing Member Details</b> |                        |                                  |   |
|--------------------------------|------------------------|----------------------------------|---|
| <b>Segment</b>                 | <b>Clearing Member</b> | <b>Sebi Regn. No. &amp; Date</b> | <b>Address</b>  |
| BSE CASH                       | NCL                    | INB010981437 Date: 31/12/1997    | NSE Clearing Limited  |
| NSE CASH                       | NCL                    | INB231108839 Date: 14/06/2000    | Exchange Plaza, Bandra Kurla Complex, Bandra East, Mumbai - 400051. |
| NSE F&O                        | NCL                    | INF231108839 Date: 06/08/2001    |   |
| BSE F&O                        | NCL                    | INFO10981437 Date: 05/05/2004    |   |
| BSE CDS                        | SMC                    | INZ000199438 Date: 01/06/2021    | 11/6B, Shanti Chamber, Pusa Road, New Delhi - 110005                |

For any grievance/dispute please contact **KEDIA SHARES & STOCKS BROKERS LIMITED** at the above address or email id: [grievance@kssbmail.com](mailto:grievance@kssbmail.com) and Phone no. 91-022 46049268. In case not satisfied with the response, please contact the concerned exchange(s) at BSE Tel.: 022 2272 8097 • E-mail Id: [is@bseindia.com](mailto:is@bseindia.com) • NSE Tel.: 022 2659 8190 • E-mail Id: [ignse@nse.co.in](mailto:ignse@nse.co.in) and on SEBI for filing complaints on SCORES Tel.: 1800 266 7575 or 1800 22 7575 • [www.scores.sebi.gov.in](http://www.scores.sebi.gov.in)

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

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

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

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

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

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

CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

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

1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 One the following is mandatory: **Spouse’s name or Father’s name and Mother’s name is Mandatory.**

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

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

Document Code Description

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

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

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

2 Email id (Mandatory)

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

1 Provide KYC number of related person, if available.

**E Clarification on Minor**

1 Guardian details are optional for minors above 10 years of age for opening of bank account only

2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

\*Strike out whichever is applicable

**Risk Assessment of Client in terms of PMLA 2002**

| Type of Client | High Risk | Low Risk | Medium Risk | CSC (Client Special Category) | PEP (Politically Exposed Person) |
|----------------|-----------|----------|-------------|-------------------------------|----------------------------------|
|----------------|-----------|----------|-------------|-------------------------------|----------------------------------|

at the time of account opening

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Kedia Shares & Stocks Brokers Limited

CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL **MANDATORY**

## MANDATORY

### **Important Instructions:**

- Important Instructions:**

  - A) Fields marked with '\*' are mandatory fields.
  - B) Tick '✓' wherever applicable.
  - C) Please fill the form in English and in BLOCK letters.
  - D) Please fill the date in DD-MM-YYYY format.
  - E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.

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

G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

H) List of two character ISO 3166 country codes is available at the end.

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

J) The 'OPT based E-KYC' check box is to be checked for accounts opened using OTP based EKYC in non face to face mode.

**Kedia Shares & Stocks Brokers Limited**





**For office use only**

Application Type\*  New  Update

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

Account Type\*  Normal  Minor  Aadhaar OTP based E-KYC (in non-face to face mode)

## 1. PERSONAL DETAILS (Please refer instruction A at the end)

|  |  |  |   |  |  |
|--|--|--|---|--|--|
| <input type="checkbox"/> Name* (Same as ID proof)  |  | Prefix   | First Name  | Middle Name                                | Last Name  |
|  |  | <input type="text"/>   | <input type="text"/>  | <input type="text"/>                       | <input type="text"/>                             |
| Maiden Name  |  | <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"/>   |  |  |  |
| 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            |  |
| PAN*   |  | <input type="text"/>   | <input type="text"/>  | <input type="checkbox"/> Form 60 furnished |  |
| 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"/> NRI  | <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) |   |  |  |
| PHOTO  |  |  |   |  |  |
| Signature/Thumb impression   |  |  |   |  |  |

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

(Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

|   |                 |             |       |
|---|-----------------|-------------|-------|
| <input type="checkbox"/> A- Passport Number                     | _____           | Expiry Date | _____ |
| <input type="checkbox"/> B- Voter ID Card                       | _____           | Expiry Date | _____ |
| <input type="checkbox"/> C- Driving Licence                     | _____           | Expiry Date | _____ |
| <input type="checkbox"/> D- NREGA Job Card                      | _____           | _____       | _____ |
| <input type="checkbox"/> E- National Population Register Letter | _____           | _____       | _____ |
| <input type="checkbox"/> F- Proof of Possession of Aadhaar      | X X X X X X X X | _____       | _____ |
| <input type="checkbox"/> G- KYC Authentication                  | X X X X X X X X | _____       | _____ |
| <input type="checkbox"/> H- Offline verification of Aadhaar     | X X X X X X X X | _____       | _____ |

NRI - PIS RBL approval number \_\_\_\_\_ date \_\_\_\_\_ (Mandatory for NRE & Optional for NRO)

**■ NRI - FIS RBI app**

|           |                |                    |                        |
|-----------|----------------|--------------------|------------------------|
| Line 1*   | Line 2         | Line 3             | City/Town/Village*     |
| District* | PIN/Post Code* | State /U. T. Code* | ISO 3166 Country Code* |

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NREGA Job Card
- E- National Population

|  |  |  |  |  |  |
|--|--|--|--|--|--|
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |





CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING LEGAL ENTITY/OTHER THAN INDIVIDUALS KYC APPLICATION FORM

## A Clarification / Guidelines on filling Entity Details section

- |   |  |   |
|---|--|---|
| 1 | Entity Constitution Type   |   |
|   | A - Sole Proprietorship  | H - Trust   |
|   | B - Partnership Firm   | I - Liquidator                                    |
|   | C - HUF  | J - Limited Liability Partnership                 |
|   | D - Private Limited Company  | K - Artificial Liability Partnership              |
|   | E - Public Limited Company   | L - Public Sector Banks                           |
|   | F - Society  | M - Central/State Government Department or Agency |
|   | G - Association of Persons (AOP)/Body of Individuals (BOI)   | N - Section 8 Companies (Companies Act, 2013)     |
| 2 | In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available. |   |

## B Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

- 1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
  - 2 Please refer to relevant instructions issued by the regulator regarding applicable documents for the legal entity.
  - 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
  - 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
  - 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
  - 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

## C Clarification / Guidelines on filling 'Proof of Address [PoA] section

- 1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
  - 2 Certified copy of document or equivalent e-document to be submitted.

#### **D 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.

## **E Clarification / Guidelines on filling 'Related Person details' section**

- ## 1 Personal Details

- The Name should match the name as mentioned in the F

- 2 Proof of Address (POA)

  - POA to be submitted only if the submitted POI does not have an address or address as per POI is invalid or not in force.
  - State / UT code and Pin / Post Code will not be mandatory for overseas addressers.
  - In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR.
  - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as the identity information available in the Current Identities Data Repository.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar while uploading on CKYCR.

Provision for capturing signature of multiple authorised persons is to be made by the RE.

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

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

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

Regd./Residential Address: \_\_\_\_\_

Tel./Mobile No.: \_\_\_\_\_ DIN Number: \_\_\_\_\_

Unique Identification Number(UID) / AADHAAR if Any: \_\_\_\_\_

Relationship with Applicant: \_\_\_\_\_ PAN: \_\_\_\_\_

Signature  
across  
Photograph

Please tick, if applicable:

- Politically Exposed Person (PEP)
- Related to a Politically Exposed Person (RPEP)
- No

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

Regd./Residential Address: \_\_\_\_\_

Tel./Mobile No.: \_\_\_\_\_ DIN Number: \_\_\_\_\_

Unique Identification Number(UID) / AADHAAR if Any: \_\_\_\_\_

Relationship with Applicant: \_\_\_\_\_ PAN: \_\_\_\_\_

Signature  
across  
Photograph

Please tick, if applicable:

- Politically Exposed Person (PEP)
- Related to a Politically Exposed Person (RPEP)
- No

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

Regd./Residential Address: \_\_\_\_\_

Tel./Mobile No.: \_\_\_\_\_ DIN Number: \_\_\_\_\_

Unique Identification Number(UID) / AADHAAR if Any: \_\_\_\_\_

Relationship with Applicant: \_\_\_\_\_ PAN: \_\_\_\_\_

Signature  
across  
Photograph

Please tick, if applicable:

- Politically Exposed Person (PEP)
- Related to a Politically Exposed Person (RPEP)
- No

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

Regd./Residential Address: \_\_\_\_\_

Tel./Mobile No.: \_\_\_\_\_ DIN Number: \_\_\_\_\_

Unique Identification Number(UID) / AADHAAR if Any: \_\_\_\_\_

Relationship with Applicant: \_\_\_\_\_ PAN: \_\_\_\_\_

Signature  
across  
Photograph

Please tick, if applicable:

- Politically Exposed Person (PEP)
- Related to a Politically Exposed Person (RPEP)
- No

Name &amp; Signature of the Authorised Signatory(ies)

For Individual & Non-Individuals **TRADING ACCOUNT RELATED DETAILS****MANDATORY**

| <b>BANK ACCOUNT(S) DETAILS</b>  |                                     |   |                                     |                                     |           |
|---|-------------------------------------|---|-------------------------------------|-------------------------------------|-----------|
| No.   | Bank Name, Branch Add. & Tel. No.   | Account No.   | A/c Type                            | MICR No.                            | IFSC Code |
| 1   |                                     |   |                                     |                                     |           |
| 2   |                                     |   |                                     |                                     |           |
| Please provide Cancelled Cheque leaf for MICR & IFSC Code   |                                     |   |                                     |                                     |           |
| <b>DEPOSITORY ACCOUNT(S) DETAILS</b>  |                                     |   |                                     |                                     |           |
| Sr. No.   | Depository Participant Name         | DP ID No.   | BO ID                               | Depository Name                     |           |
| 1*  |                                     |   |                                     |                                     |           |
| 2   |                                     |   |                                     |                                     |           |
| *Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1   |                                     |   |                                     |                                     |           |
| <b>TRADING PREFERENCES</b>  |                                     |   |                                     |                                     |           |
| *Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.  |                                     |   |                                     |                                     |           |
| Exchanges   | BSE & NSE                           |   |                                     |                                     |           |
| All Segments  | Cash/Mutual Fund                    | F&O   | Currency                            | SLB                                 |           |
| <input checked="" type="checkbox"/>   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/>   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |           |
| If you do not wish to trade in any of segments/Mutual Fund, please mention here _____.  |                                     |   |                                     |                                     |           |
| <b>OTHER DETAILS</b>  |                                     |   |                                     |                                     |           |
| 1. Gross Annual Income details (please specify) : Income Range per annum  |                                     |   |                                     |                                     |           |
| <input type="checkbox"/> Upto Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/-<br><input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <b>OR</b> <input type="checkbox"/> Above Rs. 25,00,001/-<br>Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year) |                                     |   |                                     |                                     |           |
| 2. Occupation (please tick any one and give brief details)  |                                     | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student<br><input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others |                                     |                                     |           |
| 3. Is the entity involved/providing any of the following services <input type="checkbox"/> YES <input type="checkbox"/> NO <b>(For Non-Individuals only)</b>  |                                     |   |                                     |                                     |           |
| - For Foreign Exchange / Money Changer Services <input type="checkbox"/> YES <input type="checkbox"/> NO – Gaming / Gambling / Lottery Services<br>(e.g. casinos, betting syndicates) <input type="checkbox"/> YES <input type="checkbox"/> NO<br>- Money Lending / Pawning <input type="checkbox"/> YES <input type="checkbox"/> NO  |                                     |   |                                     |                                     |           |
| 4. Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)  |                                     |   |                                     |                                     |           |
| 5. Any other information  |                                     |   |                                     |                                     |           |
| <b>PAST ACTIONS</b>   |                                     |   |                                     |                                     |           |
| 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:  |                                     |   |                                     |                                     |           |
| <b>DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS</b>   |                                     |   |                                     |                                     |           |
| If client is dealing through the authorised person, provide the following details:  |                                     |   |                                     |                                     |           |
| Name  |                                     |   |                                     | BSE SEBI Reg. No.                   |           |
| Regd. Off.  |                                     |   |                                     | NSE SEBI Reg. No.                   |           |
| Address   |                                     |   |                                     | Remisier/AP (BSE)                   |           |
|   |                                     |   |                                     | Remisier/AP (NSE)                   |           |
| Signature<br>X  |                                     | Tel. No.  | Remisier/AP                         |                                     |           |
|   |                                     | Fax No.   |                                     |                                     |           |
|   |                                     | Website   |                                     |                                     |           |

Whether dealing with any other stock broker/authorised person (if in case dealing with multiple stock brokers/authorised person, provide details of all)

|                      |  |                              |  |             |  |          |
|----------------------|--|------------------------------|--|-------------|--|----------|
| Name of Stock Broker |  | Name of Auth. Person, if any |  | Client Code |  | Exchange |
|----------------------|--|------------------------------|--|-------------|--|----------|

Details of disputes/dues pending from/to such stock broker/authorised person:

**ADDITIONAL DETAILS**

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):  YES  NO

Specify your Email id, if applicable:

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):  YES  NO

Number of years of Investment/Trading Experience:

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company/firm/others: Provide details on Annexure-A attached.

Any other information

**"Pursuant to SEBI Circular dated August 3rd,2018, w.e.f. April 1st,2019 Sub-Broker has been migrated to AP."**

**INTRODUCER DETAILS (Optional)**

|           |  |           |  |
|-----------|--|-----------|--|
| Name      |  | Signature |  |
| Add./Tel. |  | X         |  |

Status of the Introducer: Sub Broker/Remisier/Authorized Person/Existing Client/Others, please specify \_\_\_\_\_

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

|       |  |           |   |
|-------|--|-----------|---|
| Name  |  | Signature |  |
| Place |  | Date      |   |

**DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003** KEDIA SHARES & STOCKS BROKERS LIMITED besides doing client based business also does its own investment and/or trading. "Proprietary Trading Disclosure noted" 

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client:

| Documents verified with Originals | Client Interviewed / Approved by | In person Verification done by |
|-----------------------------------|----------------------------------|--------------------------------|
| Name                              |                                  |                                |
| Signature                         |                                  |                                |
| Designation                       |                                  |                                |
| Employee Code                     |                                  |                                |
| Date                              |                                  |                                |

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

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

Authorised Signatory

10

Seal/Stamp of the stock broker

## NOMINATION FORM

(To be filled in by individual applying singly or jointly)

|   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
|---|--|---|---|---|---|---|---|---|------------------------|---|---|---|---|-----------------------------|------------------------|-------|---|-----------|---|---|---|---|---|---|---|---|
| TM/DP<br>Name & Address   | KEDIA SHARES & STOCKS BROKERS LIMITED<br>B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg, R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028. |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
|   |  |   |   |   |   |   |   |   |                        |   |   |   |   | Nomination Registration No. |                        | Dated |   |           |   |   |   |   |   |   |   |   |
| Date  | D  | D | M   | M | Y | Y | Y | Y | DP ID                  | 1 | 2 | 0 | 3 | 7                           | 1                      | 0     | 0 | Client ID | 0 | 0 |   |   |   |   |   |   |
| I/We wish to make a nomination. [As per details given below]  |  |   |   |   |   |   |   |   |                        |   |   |   |   | UCC                         |                        |       |   |           |   |   |   |   |   |   |   |   |
| Nomination Details  |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our death.   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| Nomination can be made upto three nominees in the account.  |  |   | Details of 1st Nominee  |   |   |   |   |   | Details of 2nd Nominee |   |   |   |   |                             | Details of 3rd Nominee |       |   |           |   |   |   |   |   |   |   |   |
| 1. First Name   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| Middle Name   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| Last Name   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| 2. Share of each Nominee<br>Equally (If not equally, please specify percentage)   |  |   | %      %  |   |   |   |   |   |                        |   |   |   |   |                             | %                      |       |   |           |   |   |   |   |   |   |   |   |
|   |  |   | Any odd lot after division shall be transferred to the first nominee mentioned in the form. |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| 3. Relationship With the Applicant (If Any)   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| 4. Address of Nominee(s)  |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| City  |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| State   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| Pin   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| Country   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| 5. Mobile No./Tele. No. of nominee(s) #   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| 6. E-mail ID of nominee(s) #  |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| 7. Nominee Identification details#<br>[Please tick any one of following and provide details of same]  |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar<br><input type="checkbox"/> Saving Bank account no.<br><input type="checkbox"/> Proof of Identity<br><input type="checkbox"/> Demat Account ID |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:   |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |
| 8. Date of Birth<br>(in case of minor nominee(s))   |  |   | D   | D | M | M | Y | Y | Y                      | Y | D | D | M | M                           | Y                      | Y     | Y | Y         | D | D | M | M | Y | Y | Y | Y |
| 9. Name of Guardian (Mr./Ms.)<br>(in case of minor nominee(s))  |  |   |   |   |   |   |   |   |                        |   |   |   |   |                             |                        |       |   |           |   |   |   |   |   |   |   |   |

|   |   |   |   |  |
|---|---|---|---|--|
| 10. Address of the Guardian(s)  |   |   |   |  |
|   |   |   |   |  |
|   |   |   |   |  |
|   |   |   |   |  |
| City  |   |   |   |  |
| State & Country   |   |   |   |  |
| Pin   |   |   |   |  |
| 11. Mobile/Tele. no. of Guardian#   |   |   |   |  |
| 12. E-mail ID of the Guardian#  |   |   |   |  |
| 13. Relationship of the Guardian with the Nominee   |   |   |   |  |
| 14. Guardian Identification details#<br>[Please tick any one of following and provide details of same]  |   |   |   |  |
| <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar<br><input type="checkbox"/> Saving Bank account no.<br><input type="checkbox"/> Proof of Identity<br><input type="checkbox"/> Demat Account ID |   |   |   |  |
|   | First/Sole Holder or Guardian<br>(in case of Minor)                                 | Second Holder   | Third Holder  |  |
| Name  |   |   |   |  |
| Signature*  |  |  |  |  |

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

# Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Note: This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

#### Declaration Form for opting out of nomination

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

|                                |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |           |  |  |  |  |  |  |  |     |
|--------------------------------|---|---|---|---|---|---|---|-------|---|---|---|---|---|---|---|---|-----------|--|--|--|--|--|--|--|-----|
| To,<br>TM/DP<br>Name & Address | <b>KEDIA SHARES &amp; STOCKS BROKERS LIMITED</b><br>B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg, R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028. |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |           |  |  |  |  |  |  |  |     |
| Date                           | D   | D | M | M | Y | Y | Y | DP ID | 1 | 2 | 0 | 3 | 7 | 1 | 0 | 0 | Client ID |  |  |  |  |  |  |  | UCC |

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.

|           |   |   |   |
|-----------|---|---|---|
|           | First/Sole Holder or Guardian<br>(in case of Minor)                                 | Second Holder   | Third Holder  |
| Name      |   |   |   |
| Signature |  |  |  |

Details of the Witness applicable for both Annexure A & B (Required only if the account holder affixes thumb impression, instead of signature)

|                      |   |
|----------------------|---|
| Names of Witness     |   |
| Address of Witness   |   |
| Signature of Witness |  |

=====( Please Tear here )=====

Received nomination from: **ACKNOWLEDGEMENT RECEIPT**

|                         |   |  |   |   |   |   |   |   |           |   |   |  |  |  |  |  |  |     |  |
|-------------------------|---|--|---|---|---|---|---|---|-----------|---|---|--|--|--|--|--|--|-----|--|
| DP ID                   | 1 | 2  | 0 | 3 | 7 | 1 | 0 | 0 | Client ID | 0 | 0 |  |  |  |  |  |  | UCC |  |
| Name                    |   |  |   |   |   |   |   |   |           |   |   |  |  |  |  |  |  |     |  |
| Address                 |   |  |   |   |   |   |   |   |           |   |   |  |  |  |  |  |  |     |  |
| Nomination in favour of |   |  |   |   |   |   |   |   |           |   |   |  |  |  |  |  |  |     |  |
| First Nominee           |   |  |   |   |   |   |   |   |           |   |   |  |  |  |  |  |  |     |  |
| Second Nominee          |   |  |   |   |   |   |   |   |           |   |   |  |  |  |  |  |  |     |  |
| Third Nominee           |   |  |   |   |   |   |   |   |           |   |   |  |  |  |  |  |  |     |  |
| No Nomination           |   | <input type="checkbox"/> Does not wish to nominate |   |   |   |   |   |   |           |   |   |  |  |  |  |  |  |     |  |
| Registration No.        |   | Registered on                                      |   | D | D | M | M | Y | Y         | Y | Y |  |  |  |  |  |  |     |  |

For **Kedia Shares & Stocks Brokers Limited**

### INSTRUCTIONS/ CHECK LIST

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

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

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

2. Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted. (Not more than 4 months old)
3. Demat master or recent holding statement issued by DP bearing name of the client.

#### 4. For individuals:

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

#### 5. For non-individuals:

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

## **MANDATORY**

### **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 conciliation/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 dispute through conciliation/arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the conciliation report/settlement agreement/arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

## **TERMINATION OF RELATIONSHIP**

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

## **ADDITIONAL RIGHTS AND OBLIGATIONS**

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

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

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

- id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
39. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
  40. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
  41. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/ e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/ stock exchanges.
  42. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/ stock exchanges and maintain the proof of delivery of such physical contract notes.
  43. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.
- LAW AND JURISDICTION**
44. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
  45. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
  46. The stock broker and the client shall abide by conciliation report/settlement agreement/arbitration award passed by the conciliator/Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
  47. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
  48. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
  49. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

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

## MANDATORY

### **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.

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

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

**TRANSACTIONS AND SETTLEMENTS**

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

of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
- 14. In case you have not opted for maintaining running account and payout of funds is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
- 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

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

- 16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
- 17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Byelaws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

#### **DISPUTES/ COMPLAINTS**

- 18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
- 19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
- 20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

## POLICIES & PROCEDURES

## MANDATORY

"The Policies & Procedures" adopted by Kedia Shares & Stocks Brokers Limited (hereinafter called KSSBL/Broker/ Member/Company) are as under.

### 1. Refusal to deal in 'Penny stock'

The securities listed on the stock exchanges are classified into various groups by the stock exchange, based on certain points such as liquidity, impact cost, volatility index, etc. Investor should be aware about the same. On a monthly basis, stock exchanges issue the list of illiquid stocks in various notices and circulars. 'Penny Stock' has not been defined in the regulations. This is a common parlance terminology used for the stocks, which are less liquid in nature. Further illiquid stock per-se should not be mis-understood as penny stock. Investor should be careful while dealing in such stocks. The KSSBL reserves the right to refuse to execute trade in the stock, which it thinks is a 'penny stock' and client should take a note of the same. Further KSSBL may also refuse to deal in any Securities which are under Additional/Graded Surveillance Measures, Etc or any other surveillance Concerns which KSSBL think fit. The decision of the KSSBL will be taken in the wider interest of the smooth functioning of the market and the operations of the KSSBL.

### 2. Setting up client's exposure Limit

Based on the credit/debit balances in client's ledger +/- Stocklying in beneficiary account + Margin (security & cash) lying with KSSBL, it will set clients exposure limits. Further KSSBL reserves right to set additional exposure limit depending upon other parameter like • Financial position of Clients • Purpose of trading (Delivery based or intra-day trading) • Trading habits (delivery based or intra-day) • History of any previous default/s • Promptness in honoring the pay-in obligations for funds and the securities. Further the KSSBL may impose additional margin over and above the margin charged by Exchanges on the basis of assessment of the associated risks perception of the company. KSSBL may be unable to inform the client of such variation, reduction or imposition in advance. The client should be aware that the KSSBL shall not be responsible for such variation, reduction or imposition or the clients inability to route any order through trading system of the KSSBL on account of any such variation, reduction or imposition of limits. These limits are reviewed periodically. The authority to set or change the limit for the clients lies solely with KSSBL.

### 3. Applicable Brokerage rate

Brokerage will be charged as mutually agreed between KSSBL & Client from time to time & can be modified with mutual consent. Brokerage charged will be within the limits prescribed by SEBI / Exchange

### 4. Imposition of penalty / delayed payment Charges by either party, specifying the rate & the period

Client shall be liable to pay charges/penalties charged for non payment of margin money, short selling of securities/ units, non delivery of shares, auction charges & any other penalties levied by the Exchanges for orders / trades/ deals / actions by the client which are contrary to Rules/ Regulations/ Circulars/ Guidelines/ Agreements/ Bye laws of the Exchanges / SEBI or any other applicable law for the time being in force. All fines / penalties & charges levied upon the client due to its acts / deeds or transaction will be recovered by the KSSBL directly from the clients account. Client should make payments before the pay-in date. In case client not makes the payments towards its pay-in obligation, KSSBL is entitled to charge Delay Payment Charges @ 18% p.a. calculated on daily basis till the date of actual realization of money. The client should understand that such delay payment charges should not be assumed as financing / funding the client's settlement obligation by the KSSBL. The KSSBL will directly debit the delayed payment charges to the clients account at the end of the month / such other interval as decided by the KSSBL. Charges for dishonor of Cheque(s) issued by the client will be charged to Client. In case of clients is having credit balances in their account, no delayed payment / Interest will be paid to the client.

### 5. Right to sell clients' securities or close clients' positions, without giving notice to the client on account of non payment of clients' dues

The KSSBL has the right to sell/liquidate clients any or all securities / collateral placed as margin and close out/ liquidate or square off any or all open positions without prior notice to /approval from the client for non payment of its obligation towards purchase of shares, Mark To Market Margin, Mark To Market Losses or any other obligations/liabilities or non-delivery of shares sold by it. The proceeds of the same shall be adjusted against its obligation/liabilities & loss or any financial charges of such action shall be borne by the clients.

### 6. Shortage in obligation arising out of internal netting of trades

To determine the net obligation of a broker/trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a KSSBL's net obligation towards clearing house may be nil but due to default by one or more clients in fulfilling their obligation towards the KSSBL, the KSSBL internally might have shortages to fulfill its obligation towards the other client(s). In case of internal shortage of securities in BSE, company will request the exchange to conduct the Self auction (auction) on behalf of the KSSBL. The seller client will be debited at auction rate plus penalty charges by the exchange and if securities are received from the exchange same will be transfer to client other wise closeout as per exchange policy. If the self auction file is rejected or failed on account of technical or any other reason, then the securities

will be bought in the open market by the KSSBL in BSE on T+1 days or on settlement date. In case of internal shortage of securities in NSE, the securities will be bought in the open market by the KSSBL in NSE on T+1 days or on settlement day and if securities are received from the exchange same will be transfer to client other wise closeout as per exchange policy. In case for any other reason whatsoever, if KSSBL is unable to buy such quantity in BSE or NSE as the case may be, the outstanding security Pay-in obligation of the seller client shall be close out at the higher of.

**7. Conditions under which, a client may not be allowed to take further position or situation where the stock broker may close out the existing positions of a client**

In case client do not have sufficient Margin/Deposits with KSSBL or it has Debit Balance in Ledger, KSSBL may not allow taking further position. On non payment of its obligation towards purchase of shares, Mark To Market Margin, Mark To Market Losses or any other obligations/liabilities or non-delivery of shares sold by it, KSSBL has the right to sell/liquidate clients any or all securities/collateral placed as margin and close out/ liquidate or square off any or all open positions without prior notice to/approval from the client. The proceeds of the same shall be adjusted against its obligation/liabilities & loss or any financial charges of such action shall be borne by the clients.

**8. Temporary suspending and closing a client's account at a client's request**

Client may instruct the KSSBL in writing for temporary suspend the trading account stating the reasons for temporary suspension. Client should take a note that at the time of reactivation of the account, KSSBL reserves the right to ask for fresh details for the purpose of the KYC/ any other requirement/s from Exchanges/regulator or by KSSBL, in the wider interest to comply with prudent practice to KSSBL. A client if desires may close his account maintained with the KSSBL after servicing notice of 7 days, provided there is no debit balance in client's account and there are no outstanding issues between the parties. KSSBL will complete the procedure for closure of account within 7 days of the receipt of the written notice. On completion of this process, KSSBL will inform the client by written letter or a mail on its designated email Id or by way of any other communication.

**9. De-registering a client**

The KSSBL can de-Register / Inactive the client on the under mention ground with immediate effect (a) The client has breached the Agreement (b) upon SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market. (c) If the client is suspected of indulging in any illegal or criminal activities including fraud or money laundering & if the clients name is appearing in the UN list of prohibiting entities or SEBI debarred list. (d) The client fails to maintain the bank account details and/or the demat account details. (e) The client has misrepresented facts at the time of entering in to agreement. (f) As a part of surveillance measure, if a client appears to be indulging in manipulative practices & if client fails to comply with any Regulatory/Exchange / Broker/ETC requirement to keep its account active. (g) The client has found to be of unsound mind by the court of competent jurisdiction & the findings is in force or the client become un-discharged insolvent. Further where no transactions have taken place in clients account during last 12 month from the date of last transaction, then it will be considered as dormant account. KSSBL reserve the right to De-activate these clients. If the account is tagged as dormant account than to reactivate those account client has to make a written request to reactivate the same along with Proof of identity & proof of address etc.

Kindly note that the policy may have been revised over time. Latest version of the policy would be available on our website [www.kediashares.com](http://www.kediashares.com)

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Client's Signature

## TARIFF SHEET

| CASH SEGMENT  |             |          |          |             |         |
|---------------|-------------|----------|----------|-------------|---------|
|               | Trading     |          |          | Delivery    |         |
|               | Minimum Rs. | Percent  |          | Minimum Rs. | Percent |
|               |             | 1st side | 2nd Side |             |         |
| General Rates |             |          |          |             |         |
| Special Rates |             |          |          |             |         |

| EQUITY FUTURES |             |          |          |             |                  |
|----------------|-------------|----------|----------|-------------|------------------|
|                | Same Day    |          |          | Any Day     |                  |
|                | Minimum Rs. | Percent  |          | Minimum Rs. | Percent 2nd Side |
|                |             | 1st side | 2nd Side |             |                  |
| General Rates  |             |          |          |             |                  |
| Special Rates  |             |          |          |             |                  |

| EQUITY OPTION |             |          |          |             |                  |
|---------------|-------------|----------|----------|-------------|------------------|
|               | Same Day    |          |          | Any Day     |                  |
|               | Minimum Rs. | Percent  |          | Minimum Rs. | Percent 2nd Side |
|               |             | 1st side | 2nd Side |             |                  |
| General Rates |             |          |          |             |                  |
| Special Rates |             |          |          |             |                  |

| CURRENCY FUTURES |             |          |          |             |                  |
|------------------|-------------|----------|----------|-------------|------------------|
|                  | Same Day    |          |          | Any Day     |                  |
|                  | Minimum Rs. | Percent  |          | Minimum Rs. | Percent 2nd Side |
|                  |             | 1st side | 2nd Side |             |                  |
| General Rates    |             |          |          |             |                  |
| Special Rates    |             |          |          |             |                  |

| CURRENCY OPTION |             |          |          |             |                  |
|-----------------|-------------|----------|----------|-------------|------------------|
|                 | Same Day    |          |          | Any Day     |                  |
|                 | Minimum Rs. | Percent  |          | Minimum Rs. | Percent 2nd Side |
|                 |             | 1st side | 2nd Side |             |                  |
| General Rates   |             |          |          |             |                  |
| Special Rates   |             |          |          |             |                  |

- The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax, GST, Sebi Fees, Cm Charges & any Other Applicable Charges which will be charged extra at the rate prevailing from time to time.

↗

Client's Signature

Authorised Signatory

X

Signature of Sub-broker /  
Authorised Person / Introducer

**Most Important Terms and Conditions (MITC)**  
(For non-custodial settled trading accounts)

**MANDATORY**

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

Signature of the Client



First Holder's Signature

**Introduction**

In compliance with NSE circular NSE/INSP/62528 dated June 21, 2024, and BSE circular 20240622-2 dated June 22, 2024, this policy outlines the management of Good Till Cancelled (GTC), Good Till Triggered (GTT), Good Till Date (GTD), and similar order types provided to clients of Kedia Shares & Stocks Brokers Ltd. (KSSBL).

**Scope**

This policy includes:

1. Detailed descriptions of GTC, GTT, and GTD orders, including validity parameters.
2. Procedures for managing such orders during corporate actions, including cancellations, price resets, and retention of unexecuted orders.
3. Client notification timelines for corporate actions affecting unexecuted orders, ensuring notifications are sent at least one day before the ex-date.

**Good till Triggered (GTT) Orders****Definition and Features**

Good till Triggered (GTT) orders allow clients to place buy and sell limit orders that remain active until a specific price-based trigger condition is met. These orders can be applied to equity cash products, index futures, and index options.

**Eligibility**

- GTT orders are available to all current and new clients eligible to trade in equity cash products and derivatives.
- This facility is not available for products like Margin and Spot.
- Any new segments where GTT orders are introduced will be updated on the KSSBL website and reflected in this policy.

**Validity**

- GTT orders must be placed at a limit price and cannot be submitted at market price.
- Unexecuted quantities of GTT orders will be placed as new orders on subsequent trading days until the validity expires or the order is executed or cancelled.

**Placement**

- GTT orders can be placed during pre-open and regular trading hours. Orders for scrips not enabled during the pre-open session will be treated as overnight orders.
- Orders may also be placed via the Call and Trade facility.

**Order Modification and Limits**

- Clients may modify the quantity or limit price of GTT orders when they are in 'Ordered' or 'Requested' status. Orders in 'Blocked' status can only be cancelled.
- A maximum of two GTT orders can be placed per scrip, with an overall cap of thirty orders across all eligible scrips.

**Client Obligations**

- Clients must ensure sufficient funds or margins are available to cover unexecuted quantities of GTT orders.

**Exclusions**

- GTT orders cannot be placed for debt securities, NCDs, bonds, or illiquid securities.

**Handling of GTT Orders During Corporate Actions**

In the event of a corporate action affecting a security, all GTT orders will be validated against the Daily Price Range (DPR) issued by the exchange. Orders that do not meet the updated criteria will be marked as "GTT Blocked" and retried on subsequent trading days. Notifications will be sent to clients via email and SMS in cases where GTT orders are blocked due to price limitations or insufficient funds/securities.

**Client Notification of Upcoming Corporate Actions**

KSSBL will notify clients with unexecuted GTT orders of all relevant corporate actions, such as dividends, bonuses, and splits, at least one day before the ex-date. Clients are responsible for reviewing, modifying, or cancelling their orders in response to these actions.

**Policy Communication**

This policy is included in the Account Opening Form/Kit under "Policy on Handling of Good Till Cancelled Orders of Clients." It is also available on the KSSBL website for client reference.

**Policy Review**

This policy will be reviewed annually to incorporate any changes required by regulatory updates or operational needs.

**No Liability for Non-Execution or Opportunity Loss**

Kedia Shares & Stocks Brokers Limited will not be liable for Non-execution of any GTT order. Partial or full rejection of any leg of the order. Any opportunity loss resulting from such non-execution.

Cancellation or non-placement of orders due to system or regulatory constraints.

Signature of the Client



First Holder's Signature

To,  
**KEDIA SHARES & STOCKS BROKERS LIMITED**  
B-3505, 35th Floor, Central Tower,  
Kohinoor Square, N. C. Kelkar Marg,  
R. G. Gadkari Chowk, Shivaji Park,  
Dadar (W), Mumbai - 400028.

**VOLUNTARY**

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

Dear Sir,

I/We am/are operating with you as your constituent in Capital Market & Derivative Market Segment of BSE & NSE with respect of same, I/We hereby confirm and declare that :

❖ I/We hereby agree and give my consent to accept the Digitally Signed Electronic Contract notes/trade confirmation of the trades executed by me/us / bills / account statements / security register / margin holding statement / notices / circulars / amendment / such other correspondence / documents in electronic form to my email ids as mentioned in my client registration form (KYC). I/We further consent that the dispatch of Digitally Signed Electronic Contract notes at your end shall constitute delivery of the same and it shall be my/our responsibility to check the same. Discrepancies in terms of transactions & dispatch of Contract notes, if any, shall be brought to your notice within reasonable time of dispatch of electronic contract notes/ transactions, failing which the contract shall be considered as accepted and will not be the reason of disputing the contract notes at any times. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on me/us. I/We understand that you shall be discharged of its obligation of sending contract notes, if you send the same on the email Ids provided in my client registration form (KYC). Further if you do not receive bounced mail intimation, it shall be construed as a valid delivery. I/We understand that non receipt of bounced mail intimation to you shall be considered as a valid delivery to me/us and you shall not be responsible for the consequences thereof. I/We hereby also agree that if there is any change in the E mail address from my side, I/We will inform you in writing from time to time.

❖ As regards to funds, I hereby request you to maintain my account on running account basis which will facilitate me/us in my/our transactions with you. Also you may retain/adjust my/our funds with you towards margin/ mark to market losses, my/our gross exposure, anticipated further debits, my/our obligations in subsequent settlement in BSE/NSE & for capital market & derivatives market segment and make the balance payment of funds only on my/our oral/written request with in one / three working day of the request as the case may be. You may also utilise my/our funds/securities lying with you for the purpose of margin to be placed to exchange or clearing house. The actual settlement of funds shall be done by you every monthly/ quarterly interval. You will send monthly/quarterly statement of funds & Securities and I/we shall bring any discrepancy within 7 working days from the receipt of statements.

Further I have noted the following: a) The Authorization shall be signed by me only & not by any authorized person on my behalf or any holder of the Power of Attorney. b) I may revoke the authorization at any time by giving request in writing.

❖ I/We further agree that Intersettlement/DP transaction Charges arising out of purchase/sell transaction effected by me will be debited to my account.

❖ If I/We am/are maintaining a depository account with you, I/We hereby agree and authorise you to debit charges for depository services in my running trading account.

❖ Further for the purpose of facilitating better management of operations with you, I /We hereby agree in principal to the adjustments of funds and securities across all segments on all the exchanges (BSE/NSE). I/ We hereby authorized you to set off the debit balances/margin requirements in my/our account, by way of passing Journal entries against credit irrespective of the fact that such credits in the accounts may pertain to transaction in any Segment of any exchange and/or against the value of cash margin.

❖ I hereby also declare that I am aware that you are doing proprietary Trading.

❖ I/We do hereby declare that I/We have not been involved in any terrorist activity & I/We have not been declared as defaulter or my / our name is not appearing in defaulter database as per SEBI / Various Exchanges / Regulatory bodies, Etc.

❖ I/We do hereby declare that mobile no. which is mention in my KYC may be used for giving me any information / alert / sms / call etc.

- ❖ I/We agree that I/We am/are aware that the Stock broker may tape-record the conversation between the client/the client's representative and Stock broker, over phone, and the client specifically permits the Stock broker to use the said recording to resolve the dispute in connection with the transaction, as and when required.
- ❖ I/We hereby agree that I/We shall not deposit excess payment cheques, if any, received from the Stock broker for any reason whatsoever and bring it to the notice of the Stock broker & return the same to the Stock broker.

I/We request you to kindly give suitable instruction to you back office staff to deal in my/our case in the above manner. If you require any further clarification please let me/us know.

Thanking you,

Yours faithfully

Signature of Clients 

Name \_\_\_\_\_

**VOLUNTARY**

**Family Declaration - Email/Mobile Updation in Family Codes**

(Compulsory in case having common email & mobile in more than one account in Kedia Shares & Stocks Brokers Ltd.)

To,

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

**KEDIA SHARES & STOCKS BROKERS LTD.**

B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg,  
R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028.

Dear Sir/Madam,

Subject: Family Declaration for registering common Mobile/Email details

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

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

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

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

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

Thanking You,



## Policy Framework for Voluntary Freezing/Blocking Trading account

VOLUNTARY

Risk Management Policy of Kedia Shares & Stocks Brokers Limited

Process for clients to freeze or block online access to their trading accounts as per SEBI Circular No. SEBI/HO/MIRSD/POD-1/P /CIR/2024/4 dated January 12, 2024

### How to Freeze or Block Trading Account:

Whenever client of KEDIA SHARES notice any suspicious activities in their online trading account and/or suspect that login credential of their trading account are breached/hacked and there is an urgent need to address the situation and block/freeze the access and/or activities in their trading account, the client can choose any of the following mode of communication to intimate/send a request to KEDIA SHARES for Voluntary Freezing/Blocking of their online Trading Account.

**Option A:** Clients can call on **9819961981** from their registered Mobile Number.

**Option B:** Clients can send an email to [compliance@kediashares.com](mailto:compliance@kediashares.com) from their registered email ID.

### Processing of Requests:

Upon receipt of the email/sms, the KEDIA SHARES team will carry out the validation process as under;

1. Verify the sender's email Id/Mobile Number:

### Acknowledgement and Actions Steps:

1. An acknowledgement of the freezing/blocking request will be sent to the client's registered email address.
2. Details of any open positions will be provided.
3. All pending orders will be cancelled.

### Account Reactivation Steps:

Clients wishing to unfreeze/unblock their account must send an email to [compliance@kediashares.com](mailto:compliance@kediashares.com) or message on 9819961981 from their registered email ID/ Mobile No.

Upon receipt of the email/ Message the KEDIA SHARES team will contact the client to confirm the identity of client and genuineness of request, reset the login access credentials to the system default and communicate it to clients through its registered email Id / Mobile Number and unfreeze the trading account.

### This facility is live as of 1st July, 2024.

This policy is in accordance with Exchange Circular NSE/INSP/61529 and 20240408-12 (BSE) and can be viewed as part of our Risk Management Policy.

If you have any specific questions about this process, feel free to ask at [admin@kssbmail.com](mailto:admin@kssbmail.com) or call on **9819961981**



First Holder's Signature

Signature of the Client \_\_\_\_\_

[Download Consent Form](#)

VOLUNTARY

Dear Sir/Madam,

I, \_\_\_\_\_ S/o/D/o/W/o \_\_\_\_\_,

give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

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

Date:



First Holder's Signature

Signature of the Client \_\_\_\_\_

Self-Certification for Entities (non-individuals who are not listed/not an Indian Financial Institution)

VOLUNTARY

To,

**Kedia Shares & Stocks Brokers Ltd.**

B-3505, 35th Floor, Central Tower, Kohinoor Square,  
N. C. Kelkar Marg, R. G. Gadkari Chowk, Shivaji Park,  
Dadar (W), Mumbai - 400028.

I hereby declare that

- The account holder is not a Government body/International Organization/ listed company on recognized stock exchange
- The account holder is not tax resident of any country other than India
- The account holder is not an Indian Financial Institution as defined under Rule 114F(3)of the Income Tax Rules, 1962 as amended
- The substantial owners or controlling persons in the entity or chain of ownership is/are
  - not resident for tax purpose in any country outside India
  - are Indian citizen(s)

Under penalty of perjury, I/we further certify that:

- I/We understand that the Kedia Shares & Stocks Brokers Ltd is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Kedia Shares & Stocks Brokers Ltd is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities the Kedia Shares & Stocks Brokers Ltd may also be required to report, reportable details to CBDT or close or suspend my account.
- I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

|                                      |   |
|--------------------------------------|---|
| Signature (as per MOP)               |  |
| Names and designation of Signatories |   |
| Name of Account Holder               |   |
| Date                                 |   |
| PAN of Account Holder                |   |

(Company Seal, if applicable, to be affixed)

## REQUEST FOR UPDATION OF AADHAAR NUMBER IN TRADING/MF LINKED ACCOUNTS

## **VOLUNTARY**

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

To,

KEDIA SHARES & STOCKS BROKERS LTD.

B-3505, 35th Floor, Central Tower, Kohinoor Square,  
N. C. Kelkar Marg, R. G. Gadkari Chowk, Shivaji Park,  
Dadar (W), Mumbai - 400028.

## **Sub: Updation of Aadhaar Number in TRADING/MF linked accounts**

Dear Sir / Madam,

Please update my/ our below mentioned Aadhaar Number to my/our below mentioned accounts.

Client Name (1st holder):

Aadhaar Number 1st holder

Client Name (joint holder 1):

Aadhaar Number joint holder 1 X X X X X X X X

Client Name (joint holder 2):

**Please update Aadhaar number to below accounts as required:**

DP ID:

\_\_\_\_\_

Client ID:

\_\_\_\_\_

## UCC Code

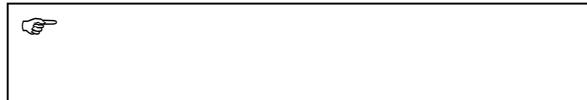
\_\_\_\_\_

I submit my above Aadhaar number and voluntarily give my consent to:

- Update my/our Aadhaar/UID number issued by UIDAI, Govt. of India in my/our name with my/our aforesaid accounts.
  - Use my/our Aadhaar details to authenticate me/us from UIDAI
  - Use my/our mobile number mentioned in my/our account for sending SMS alerts to me/us
  - Consent for Authentication: I/We, the holder of the above stated Aadhaar number, hereby give my/our consent to Kedia Shares & Stocks Brokers Ltd., to obtain my/our Aadhaar number, Name and Fingerprint/Iris for authentication with UIDAI. Further, i/we am/are aware that my/our identity information would only be used for demographic authentication / validation / e-KYC purpose and also informed that my/our biometrics will not be stored / shared and will be submitted to CIDR only for the purpose of authentication.
  - I/We hereby submit my/our Aadhaar number as issued by Government of India, to Kedia Shares & Stocks Brokers Ltd. and voluntarily give my/our consent to link them to all my/our accounts/relationships (existing and new) maintained with Kedia Shares & Stocks Brokers Ltd. in my/our individual capacity and/or as an authorized signatory in non- individual accounts. I/We, holder of the above stated Aadhaar number, hereby voluntarily give my/our consent to Kedia Shares & Stocks Brokers Ltd. to obtain and use my/our Aadhaar number, Name and Fingerprint/Iris and my/our Aadhaar details to authenticate me/us with UIDAI as per Aadhaar Act, 2016 and all other applicable laws. Kedia Shares & Stocks Brokers Ltd. has informed me/us that my/our Aadhaar details and identity information would only be used for demographic authentication, validation, e-KYC purpose, OTP authentication including; for availing trading/demat/mf services, operation of my/our accounts / relationships and for delivery of subsidies, benefits and services and / or any other facility relating to trading/demat/mf operations. Kedia Shares & Stocks Brokers Ltd. has informed that my/our biometrics will not be stored / shared and; will be submitted to Central Identities Data Repository (CIDR) only for the purpose of authentication. I/We have been given to understand that my/our information submitted to the Kedia Shares & Stocks Brokers Ltd. herewith shall not be used for any purpose other than mentioned above. I/We also authorize Kedia Shares & Stocks Brokers Ltd. to link and authenticate my/our Aadhaar number to all my/our accounts / relationships with the Kedia Shares & Stocks Brokers Ltd. as may be opened in future in addition to those mentioned below. I/We will not hold Kedia Shares & Stocks Brokers Ltd. or any of its officials responsible in case of any incorrect information provided by me/us.

I/We have been given to understand that my/our information submitted herewith shall not be used for any purpose other than mentioned above, or as per requirements of law.

## Signatures



**FATCA-CRS****Annexure for Individual Accounts**

(Individual Sole Proprietor) (Refer to instructions)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

**First/Sole Applicant/Guardian****PAN** **Client Code** **Name**  **Gender**  M  F  O

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA &amp; notify the changes

**Type of address given at KYC KRA**  Residential & Business  Residential  Business  Regd. Off.**Permissible documents are**  Passport  Election ID Card  PAN Card  Govt. ID Card  Driving Licence  
 UIDAI Card  NREGA Job Card  Others**Date of Birth**  **Place of Birth** **Country of Birth** **Nationality** **Are you a tax resident of any country other than India?**  Yes  No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

| <b>Country*</b> | <b>Tax identification Number#</b> | <b>Identification Type<br/>(TIN or Other, please specify)</b> |
|-----------------|-----------------------------------|---|
|                 |                                   |   |
|                 |                                   |   |
|                 |                                   |   |
|                 |                                   |   |

\* To also include USA, where the individual is a citizen / green card holder of The USA

# In case Tax identification Number is not available, kindly provide its functional equivalent \$

**Second Applicant****PAN** **Client Code** **Name**  **Gender**  M  F  O

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA &amp; notify the changes

**Type of address given at KYC KRA**  Residential & Business  Residential  Business  Regd. Off.**Permissible documents are**  Passport  Election ID Card  PAN Card  Govt. ID Card  Driving Licence  
 UIDAI Card  NREGA Job Card  Others**Date of Birth**  **Place of Birth** **Country of Birth** **Nationality** **Are you a tax resident of any country other than India?**  Yes  No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

| <b>Country*</b> | <b>Tax identification Number#</b> | <b>Identification Type<br/>(TIN or Other, please specify)</b> |
|-----------------|-----------------------------------|---|
|                 |                                   |   |
|                 |                                   |   |
|                 |                                   |   |
|                 |                                   |   |

\* To also include USA, where the individual is a citizen / green card holder of The USA

# In case Tax identification Number is not available, kindly provide its functional equivalent \$

### Third Applicant

PAN

Client Code

Name  Gender  M  F  O

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Type of address given at KYC KRA  Residential & Business  Residential  Business  Regd. Off.

Permissible documents are  Passport  Election ID Card  PAN Card  Govt. ID Card  Driving Licence  
 UIDAI Card  NREGA Job Card  Others

Date of Birth

Place of Birth

Country of Birth

Nationality

Are you a tax resident of any country other than India?  Yes  No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

| Country*             | Tax identification Number# | Identification Type<br>(TIN or Other, please specify) |
|----------------------|----------------------------|---|
| <input type="text"/> | <input type="text"/>       | <input type="text"/>                                  |
| <input type="text"/> | <input type="text"/>       | <input type="text"/>                                  |
| <input type="text"/> | <input type="text"/>       | <input type="text"/>                                  |
| <input type="text"/> | <input type="text"/>       | <input type="text"/>                                  |

\* To also include USA, where the individual is a citizen / green card holder of The USA

# In case Tax identification Number is not available, kindly provide its functional equivalent \$

### Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

### Signatures







First/Sole Applicant/Guardian

Second Applicant

Third Applicant

DATE  D  M  M  Y  Y  Y  Y

PLACE

### FATCA & CRS Terms & Conditions

Details under FATCA & CRS. The Central Board of Direct Taxes has notified Rulers 114F to 114H, as part of the Income-Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the propose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days.

Please note that you may receive more than one request for information. If you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or function equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing documents as mentioned below:

| FATCA & CRS Indicia observed (ticked)                   | Documentation required for Cure of FATCA / CRS indicia   |
|---|--|
| U.S. Place of Birth                                     | <ol style="list-style-type: none"><li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li><li>2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below) AND</li><li>3. Any one of the following documents:<ul style="list-style-type: none"><li>• Certified Copy of "Certificate of Loss of Nationality"; or</li><li>• Reasonable explanation of why the customer does not have such a certificate despite renouncing citizenship; or</li><li>• Reason the customer did not obtain U.S. citizenship at birth</li></ul></li></ol>                    |
| Residence/mailing address in a country other than India | <ol style="list-style-type: none"><li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident of any other country other than India; and</li><li>2. Documentary evidence (refer list below)</li></ol>  |
| Telephone number in a country other than India          | <p><b>If no Indian telephone number is provided</b></p> <ol style="list-style-type: none"><li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li><li>2. Documentary evidence (refer list below)</li></ol> <p><b>If Indian telephone number is provided along with a foreign country telephone number</b></p> <ol style="list-style-type: none"><li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; or</li><li>2. Documentary evidence (refer list below)</li></ol> |
| Telephone number in a country other than India          | <ol style="list-style-type: none"><li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li><li>2. Documentary evidence (refer list below)</li></ol>  |

List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorised Government body \*
  2. Valid Identification issued by authorised Government body \* (e.g., Passport, National Identity Card, etc.)
- \* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

**For Non-Individuals****Details of ultimate beneficial owner including additional FATCA & CRS information****\*Name of the entity** \_\_\_\_\_**Type of address given at KYC KRA**  Residential & Business  Residential  Business  Regd. Off.

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA &amp; notify the changes

**Customer ID/Folio Number** \_\_\_\_\_**PAN** \_\_\_\_\_**Date of Incorporation**  DD /  MM /  YY YY YY**City of incorporation** \_\_\_\_\_**Country of incorporation** \_\_\_\_\_

**Entity Constitution Type**  
 Please tick as appropriate

Partnership Firm  HUF  Private Limited Company  Public Limited Company  
 Society  Aop/BoiSociety  Trust  Liquidator  Limited Liability Partnership  
 Artificial Judicial Person  Others specify \_\_\_\_\_

**Please tick the applicable tax resident declaration**  Yes  No1. Is Entity\* a tax resident of any country other India.  Yes  No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

| Country | Tax identification Number# | Identification Type<br>(TIN or Other, please specify) |
|---------|----------------------------|---|
|         |                            |   |
|         |                            |   |
|         |                            |   |
|         |                            |   |

# In case Tax identification Number is not available, kindly provide its functional equivalent \$

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation/Tax residence is U.S. but entity is not a Specified U.S. Person, mention Entity's exemption code here \_\_\_\_\_

**FATCA & CRS Declaration**

(Please consult your professional tax advisor for further guidance on FATCA &amp; CRS classification)

**PART A (to be filled by Financial Institutions or Direct Reporting NFEs)**

1. We are a,  
Financial institution   
or  
Direct reporting NFE   
(please tick as appropriate)

**GIIN** \_\_\_\_\_**Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below**Name of sponsoring entity** \_\_\_\_\_

\_\_\_\_\_

**GIIN not available (Please tick as applicable)**  **Applied for**If the entity is a financial institution,  Not required to apply for-please specify 2 digits sub-category  Not obtained-Non participating FI

**PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")**

|    |   |   |
|----|---|---|
| 1. | Is the Entity a publicly traded company' (that is, a company whose shares are regularly traded on a established securities market)            | Yes <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded)<br>Name of stock exchange _____  |
| 2. | Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) | Yes <input checked="" type="checkbox"/> (If yes, please specify name of the listed company any one stock exchange on which the stock is regularly traded)<br>Name of listed company _____<br>Name of relation: <input type="checkbox"/> Subsidiary of the listed Company or <input type="checkbox"/> Controlled by a listed Company<br>Name of stock exchange _____ |
| 3. | Is the Entity an active NFE   | Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section)<br>Nature of Business _____<br>Please specify the sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>  |
| 4. | Is the Entity an passive NFE  | Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section)<br>Nature of Business _____   |

**UBO Declaration**

Category (Please tick applicable category)  Unlisted Company  Partnership Firm  
 Limited Liability Partnership Company  Unincorporated association/body of individuals  
 Public Charitable Trust  Religious Trust  Private Trust  
 Others (please specify) \_\_\_\_\_

Please list below the details of controlling person(s), confirming ALL countries of tax residency/permanent residency/citizenship and ALL Tax identification Numbers for EACH controlling person(s).

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

| Name - Beneficial owner / Controlling person            | Tax ID Type - TIN or other, please specify  | Tax ID Type - TIN or other, please specify  |
|---|---|---|
| Country - Tax Residency                                 | Beneficial Interest - in percentage   | Beneficial Interest - in percentage         |
| Tax ID No. - or functional equivalent for each country" | Type Code - of controlling person"  | Type Code - of controlling person"          |
| 1. Name   | Tax ID Type   | Address                                     |
| Country   | Type Code   |   |
| Tax ID No.  | Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business<br><input type="checkbox"/> Registered Office | ZIP [ ] [ ] [ ] [ ] State: [ ] Country: [ ] |
| 2. Name   | Tax ID Type   | Address                                     |
| Country   | Type Code   |   |
| Tax ID No.  | Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business<br><input type="checkbox"/> Registered Office | ZIP [ ] [ ] [ ] [ ] State: [ ] Country: [ ] |
| 3. Name   | Tax ID Type   | Address                                     |
| Country   | Type Code   |   |
| Tax ID No.  | Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business<br><input type="checkbox"/> Registered Office | ZIP [ ] [ ] [ ] [ ] State: [ ] Country: [ ] |

# If passive NFE, please provide below additional details.

|  |                 |  |  |
|--|-----------------|--|--|
| <b>PAN/Any other Identification Number</b><br><small>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)</small><br><b>City of Birth - Country of Birth</b> |                 | <b>Occupation Type - Service, Business, Others</b><br><b>Nationality</b><br><b>Father's Name - Mandatory if PAN is not available</b> | <b>DOB - Date of Birth</b><br><b>Gender - Male, Female, Others</b> |
| 1. PAN   | Occupation Type | DOB <input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY YY YY  |  |
| City of Birth  | Nationality     | Gender <input checked="" type="checkbox"/> Male <input checked="" type="checkbox"/> Female <input type="checkbox"/> Others           |  |
| Country of Birth   | Father's Name   |  |  |
| 2. PAN   | Occupation Type | DOB <input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY YY YY  |  |
| City of Birth  | Nationality     | Gender <input checked="" type="checkbox"/> Male <input checked="" type="checkbox"/> Female <input type="checkbox"/> Others           |  |
| Country of Birth   | Father's Name   |  |  |
| 3. PAN   | Occupation Type | DOB <input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY YY YY  |  |
| City of Birth  | Nationality     | Gender <input checked="" type="checkbox"/> Male <input checked="" type="checkbox"/> Female <input type="checkbox"/> Others           |  |
| Country of Birth   | Father's Name   |  |  |

# Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.  
\* To include US, where controlling person is a US citizen or green card holder  
" In case Tax Identification Number is not available, kindly provide functional equivalent.

**FATCA & CRS Terms and Conditions**

The Central Board of Direct Taxes has notified Rulers 114F to 114H, as part of the Income-Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the propose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days.

Please note that you may receive more than one request for information. If you have multiple relationships with (*Insert FI's name*) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

**Certification**

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

**Name**

**Designation**

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

First Director/Partner/Trustee Second Director/Partner/Trustee Third Director/Partner/Trustee

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

### **VISION**

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

### **MISSION**

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

### **Services provided to Investors**

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

### **Rights of Investors**

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

### **Various activities of Stock Brokers with timelines**

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

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

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

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

## Grievance Redressal Mechanism

The process of investor grievance redressal is as follows:

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

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

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

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

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

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

Date:

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

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

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

To,

**Kedia Shares & Stocks Brokers Ltd.**

B-3505, 35th Floor, Central Tower, Kohinoor Square,  
N. C. Kelkar Marg, R. G. Gadkari Chowk,  
Shivaji Park, Dadar (W), Mumbai - 400028.

Dear Sir,

Sub.: Confirmation of Receipt of executed documents.

With reference to my/our registration as Client with you for BSE, NSE capital and derivatives market segment, I/we hereby confirm that I/we have received copies of the following executed documents:

- 1) Rights & Obligations
- 2) Risk Disclosure Document
- 3) Guidance Note
- 4) Policies & Procedures
- 5) Tariff Sheet
- 6) PMLA Note
- 7) Copy of KYC

Thanking you,

Yours faithfully,

Signature of Client 

Name of the Client \_\_\_\_\_