

<b>Name of Stock Broker/Trading Member/Clearing Member:</b>	<b>SHREE KANHA STOCK BROKING PVT. LTD.</b>				<b>ACCOUNT OPENING KIT</b>
Registered and Corporate / Correspondence Office :	406, Shail. Opp. NavrangpuraTele. Exchange, Nr. Madhusudan House, Ahmedabad-380009. <b>Phone</b> : 079-26464548 / 49 <b>E-mail</b> : compliance@shreekanha.com   <b>Website</b> : www.shreekanha.com				
Registration Details:	<b>EXCHANGES</b>	<b>SEGMENTS</b>	<b>TMID</b>	<b>CMID</b>	
	NSE / F & O	EQUITY, CASH	12162	12162	
	BSE	EQUITY, CASH	6382	6382	
	<b>CDSLDPID</b> : - 54300 Clearing Member in NSE Clearing Limited.				
Compliance Officer & Managing Director :	Saloni Shah   Ph. : 079-26460775   E-mail : compliance@shreekanha.com				
Contact for any Grievance/ Dispute	For any grievance/dispute please contact <b>SHREE KANHA STOCK BROKING PVT. LTD.</b> at the above address or <b>Phone</b> : <b>079-26464548 / 49</b> , <b>E-Mail Id</b> : <b>compliance@shreekanha.com</b>   In case not satisfied with the response, please contact the concerned exchange(s) Investor Grievance Cells at (NSE) ignse@nse.co.in, BSE Limited (BSE) is@bseindia.com or 022-2272 8138; Central Depository Services (I) Limited (CDSL), complaints@cdslindia.com  or 1800 22 5533				

This information is only to **SHREE KANHA STOCK BROKING PVT. LTD.** and would not be disclosed to anyone unless required by law or except with express permission of client.

You may visit [www.shreekanha.com](http://www.shreekanha.com) to view Soft Copy of Docket B Containing Rights & obligation, Uniform RDD and Guidance Note. Further, the above documents is also made available in vernacular languages, please visit our web site or download from BSE website Link [http://www.bseindia.com/investors/client\\_regislanguages.aspx?expandable=3](http://www.bseindia.com/investors/client_regislanguages.aspx?expandable=3)

KNOW YOUR CLIENT(KYC)APPLICATION FORM			INDEX
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
S.No.	Name of the Document	Brief Significance of the Document	Pg. Nos.
1.	Account opening Form	A. KYC Form-Document captures basic information about the constituent (for Individuals') and an instruction / check list	2 - 4
		B. Documents Captures the additional information about the constituent relevant to trading and demat account and an instruction/check list with Nomination details FEMA / FATCA	5 - 14
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker / trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading), and rights & obligation of DP & BO	Docket B
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Docket B
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	Docket B
5.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) And Demat services Charges with Conditions for charges	15 - 16
6.	Policy And Procedures	Document describing significant policies and procedures of the stock broker	17 - 18
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER - PART B			
9.	Additional clauses agreed between stock broker and client	Additional clauses agreed between stock broker and client for smooth operations and compliances	19 - 22
10.	Running Account Authorisation	Documents showing voluntary clauses for running account maintenance And intimation to Client and Noting	22
11.	FATCA confirmation	Declaration And Acknowledgment	10



## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

### Important Industries :

- 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) Type 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode

### For Office use only

(To be filled by financial institution)

Application Type ☐ New

☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type\*

☐ Normal

☐ Minor

☐ Adhaar OTP based E-KYC (in non-face to face mode)

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

Name* (Same as ID Proof)	<input type="text"/>	<input type="text"/>	Middle Name	<input type="text"/>	Last Name	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>		<input type="text"/>		<input type="text"/>
Father/Spouse Name*	<input type="text"/>	<input type="text"/>		<input type="text"/>		<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>		<input type="text"/>		<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )				
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished				

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

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 Register Letter
- ☐ F - Proof of Possession of Aadhaar

II ☐ E - KYC Authentication

III ☐ Offline verification of Aadhaar

### Address

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

PHOTO



☐ **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 Register Letter
- ☐ F - Proof of Possession of Aadhaar

II ☐ E - KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed Proof Address - Document Type code

V ☐ Self Declaration

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

☐ **4. CONTACT DETAILS** (All communication will be sent on provided Mobile no./Email-ID) (Please refer instruction C at the end)

Tel.(Off) - Tel.(Res) - Moible -

FAX - Email ID

☐ **5. REMARKS** (If any)

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.



Signature / Thumb Impression of Applicant

Date : -- Place :

**7. ATTESTATION / FOR OFFICE USE ONLY**

**Document Received** ☐ Certificate Copies ☐ E-KYC data received from UIDAI ☐ Digital KYC Process  
☐ Data received from Offline verification ☐ Equivalent e-document ☐ Video Based KYC

**KYC VERIFICATION CARRIED OUT BY**

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch



(Sign. of person who has done IPV / Attestation)

**INSTITUTION DETAILS**

Name : **SHREE KANHA STOCK BROKING PVT. LTD.**  
Code : **IN0326CVL1100054300**

**SHREE KANHA STOCK BROKING PVT. LTD.**  
406, Shail, Opp. Navrangpura Tele. Exchange,  
Nr. Madhusudan House, Ahmedabad-380009.  
**Phone : 079-26464548 / 49**

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS :

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for admin or, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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:

- 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).
- Unique Identification Number (UID)(Aadhaar) / Passport / Voter ID card/Driving license.
- 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.)

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill/Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.

- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank/Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For Fill/sub account, Power of Attorney given by Fill/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

(\*Sufficient documentary evidence in support of such claims to be collected.)

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

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

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

### F. Additional Documents in case of Trading in Derivatives Segments - Illustrative List:

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

### G. 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
<b>Corporate</b>	<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 Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<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>
<b>Trust</b>	<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 Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <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>
<b>Unincorporated Association or a body of individuals</b>	<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>
<b>Banks/Institutional Investors</b>	<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>
<b>Foreign Institutional Investors (FI)</b>	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>Self-certification on letterhead</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<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>

## TRADING / DEMAT ACCOUNT RELATED DETAILS

### HOLDERS DETAILS

### PAN / UID

<b>Sole / First Holder's Name</b>		PAN															
		UID															
		UCC															
		DP CLIENT ID :															
<b>Second Holder's Name</b>		PAN															
		UID															
<b>Third Holder's Name</b>		PAN															
		UID															

### TYPE OF ACCOUNT (Please tick whichever applicable) (INCASE OF INDIVIDUAL)

<b>STATUS</b>	<b>SUB STATUS</b>	
<input type="checkbox"/> <b>INDIVIDUAL</b>	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c. (mantra)	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Other (Specify)

### DETAILS OF GUARDIAN (In case the account holder is minor)

Guardian's Name		PAN												
Relationship with Applicant														

### BANK ACCOUNT (S) DETAILS : (For Payout of Funds through NEFT/RTGS)

Bank Name														
Bank Address														
Account Number														
Account Type	Saving			Current			Others (please specify)							
IFSC Code														
MICR Code														

I /We hereby declare that the above mentioned details are correct & SKSBPL shall not be held responsible for any kind of wrong transfer due to incorrect information given by me / us. Please provide cancelled cheque leaf for MICR & IFSC Code

### DEPOSITORY ACCOUNT (S) DETAILS :

DP Name	SKSBPL
DP ID	12054300
BO Client ID	
Depository	CDSL
DP Address	

### TRADING PREFERENCES :

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

Exchanges/Segments	BSE	NSE	F & O
Equity (CASH)	<del>✗</del> X	<del>✗</del> X	<del>✗</del> X

(If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter will be taken)

### DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

**If client is dealing through the sub-broker, provide the following details**

Sub-broker's Name			
SEBI Registration number			
Registered office address			
Phone		Fax	
		Website	

### Whether dealing with any other stock broker/sub-broker

(if case dealing with multiple stock broker/sub-broker provide details of all)


Name of stock broker			
Name of Sub-Broker, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker			

### PAST ACTIONS :

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/constituent or its Partners/promoters/ whole time directors/authorized persons in charge of dealing in securities during the last 3 years : ☐ Yes ☐ No If Yes, \_\_\_\_\_



**INTRODUCER DETAILS :**

Name of the Introducer	
Status of the Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing <input type="checkbox"/> Client <input type="checkbox"/> Employee <input type="checkbox"/> Others _____
Address and Tel No of the Introducer	

**INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002 & OTHER DETAILS**

Gross Annual Income	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs	OR
	Net Worth : _____ as on date : _____ (Net worth should not be older than 1 year)	
Occupation (Select One)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Homemaker <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others	
Investment / Trading Experience	Stocks : <input type="checkbox"/> Years/Months	Derivatives : <input type="checkbox"/> Years/Months Others: <input type="checkbox"/> Years/Months
Select, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
Geographical Code	<input type="checkbox"/> Metropolitan <input type="checkbox"/> Urban <input type="checkbox"/> Semi urban <input type="checkbox"/> Rural <input type="checkbox"/> Other	
Educational Details	<input type="checkbox"/> High School <input type="checkbox"/> Graduate <input type="checkbox"/> Post-Graduate <input type="checkbox"/> Doctorate <input type="checkbox"/> Professional <input type="checkbox"/> Other	

**STANDING INSTRUCTIONS**

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
I/we request you to send Electronic Transaction cum Holding Statement at E-mail ID	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I Would Like To Receive Rights & Obligation Of D.P And BO	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic	
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical & Electronic	
I/we wish to receive dividend / interest directly in to our bank account as given below through ECS (If not marked, the default option would be 'Yes') (ECS is mandatory for locations notified by SEBI from time to time)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Whether you wish to receive <input type="checkbox"/> physical contract note or <input type="checkbox"/> Electronic Contract Note (ECN) (please specify)		
Specify your Email id, if applicable		
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)		
Whether you wish to receive Docket B containing Rights & Obligation, Uniform RDD & Guidance Note in <input type="checkbox"/> Physical Form or <input type="checkbox"/> Electronic Form at above email		
Any other Information : _____		
<b>SMS Alert Facility</b> Refer to Terms & Conditions given as Annexure-2.4	MOBILE NO. <b>+91</b> <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"/> <input type="text"/> <input type="text"/> <input type="text"/> (Mandatory, if you are giving Power of Attorney (POA) (If POA is not granted & you do not wish to avail of this facility, Cancel this Option)	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>easi</b>	To register for easi. please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> easi allows a BO to view his ISIN balances, transactions and value of the portfolio online	<input type="checkbox"/> Yes <input type="checkbox"/> No

	
<b>Sole / First Holder</b>	

	
<b>Sole / Second Holder</b>	

	
<b>Sole / Third Holder</b>	

**Nomination Form**  
**Annexure A**

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

Shree Kanha Stock Broking Pvt Ltd. 406, Shail Building, Opp Madhusudan House, Navrangpura, Ahmedabad-380009										Nomination Registration No.										Dated										
Date										DP ID	1	2	0	5	4	3	0	0	CLIENT ID											
UCC Code																														
I/We wish to make a nomination. [As per details given below]																														
<b>Nomination Details</b>																														
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 1 <sup>st</sup> Nominee							Details of 2 <sup>nd</sup> Nominee							Details of 3 <sup>rd</sup> Nominee						
<b>1</b>		<b>Name of the nominee(s)</b> (Mr./Ms.)																												
<b>2</b>		<b>Share of each Nominee</b>		Equally [If not equally, please specify percentage]						%							%							%						
										Any odd lot after division shall be transferred to the first nominee mentioned in the form.																				
<b>3</b>		<b>Relationship With the Applicant ( If Any)</b>																												
<b>4</b>		<b>Address of Nominee(s)</b>  City / Place: State & Country:																												
				PIN Code																										
<b>5</b>		<b>Mobile / Telephone No. of nominee(s)</b>																												
<b>6</b>		<b>Email ID of nominee(s)</b>																												
<b>7</b>		<b>Nominee Identification details –</b> [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																												
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>																														
<b>8</b>		<b>Date of Birth {in case of minor nominee(s)}</b>																												
<b>9</b>		<b>Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}</b>																												
<b>10</b>		<b>Address of Guardian(s)</b>																												
				PIN Code																										

11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN account no. Proof of Identity <input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)			Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

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

### Declaration Form for opting out of nomination

To				Date							
				D	D	M	M	Y	Y	Y	Y
Shree Kanha Stock Broking Pvt Ltd. 406, Shail Building, Opp Madhusudan House, Navrangpura, Ahmedabad-380009											
UCC		DP ID	1	2	0	5	4	3	0	0	
Client ID (only for Demat account)											
Sole/First Holder Name											
Second Holder Name											
Third Holder Name											
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demataccount and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.											
Name and Signature of Holder(s)*											
1. _____ 2. _____ 3. _____											
X _____ X _____ X _____											



## CLIENT DECLARATION

### FOR DEMAT ACCOUNT

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change( s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

### FOR TRADING ACCOUNT

- 1) I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- 2) I confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- 3) I further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Guidance Note' with 'Policy and Procedures'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information at [www.shreekanha.com](http://www.shreekanha.com)

		
<b>Sole / First Holder</b>	<b>Sole / Second Holder</b>	<b>Sole / Third Holder</b>

## INSTRUCTIONS TO THE APPLICANTS [BOs] FOR ACCOUNT OPENING

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate Annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

**FOR OFFICE USE ONLY :**

■ UCC Code allotted to the Client : \_\_\_\_\_

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

**For, SHREE KANHA STOCK BROKING PVT. LTD.**

**Signature of Authorised Signatory**Date :    -    -    

(Seal / Stamp)

**FEMA DECLARATION (In case of NRI(s) / Foreign Nationals)**

I / We hereby confirm that I am a /we are non-resident Indian/s / foreign national/s individual/s.

I / We also confirm that :

I / We have complied with FEMA (erstwhile FERA) regulations and I / we would continue to comply with FEMA (FERA) regulations.


**Signature of Authorised Signatory****FATCA/ CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL**

Client Name						
	First/Sole Holder		Second Holder (if any)		Third Holder (if any)	
<b>Are you U.S Person?</b> (Refer KYC Handout - Customer Copy)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Specify country of residence for tax purpose</b> (Tax Residency)	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> Other
<b>Specify country of citizenship</b>	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> Other
<b>If Other, Please Specify</b>	_____					
<b>Tax Identification Number</b>	1. _____ 2. _____ 3. _____		1. _____ 2. _____ 3. _____		1. _____ 2. _____ 3. _____	

**Note:** If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration form can be downloaded from website [www.shreekanha.com](http://www.shreekanha.com) or call at centralized at 079-26460775 or write to [sksbpl@gmail.com](mailto:sksbpl@gmail.com).



**Sole / First Holder**



**Sole / Second Holder**



**Sole / Third Holder**

(\* To be signed only if second and/or third holder/s is/are NRI/s or FN/s. Not to be signed if second and/or third holder/s is/are resident Indian/s.)

**DEFINITIONS :**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise :

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**AVAILABILITY :**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.

5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**RECEIVING ALERTS :**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.

6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

#### **FEES :**

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

#### **DISCLAIMER :**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

#### **LIABILITY AND INDEMNITY :**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any

third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

#### **AMENDMENTS :**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

#### **GOVERNING LAW AND JURISDICTION :**

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I / We consent to CDSL providing to the service provider such information pertaining to account/ transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I / we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable)

**I / We provide the following information purpose of REGISTRATION / MODIFICATION  
(Please cancel out what is not applicable)**

BOLD

1	2	0	5	4	3	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your & digit DPID)

(Please write your & digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which  
messages are to be sent

+91											
-----	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : \_\_\_\_\_

Email ID : \_\_\_\_\_

(Please write only ONE Valid email ID on which communication; if any, is to be send)

	
<b>Sole / First Holder</b>	

	
<b>Sole / Second Holder</b>	

	
<b>Sole / Third Holder</b>	

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

Date : 

--	--

 - 

--	--

 - 

2	0	2	
---	---	---	--

**UNDERTAKING FOR E-MAIL ID / MOBILE NUMBER FOR TRADING & DEMAT**

To,

**SHREE KANHA STOCK BROKING PVT. LTD.**

406, Shail. Opp. Navrangpura Tele. Exchange,

Nr. Madhusudan House, Ahmedabad-380009.

**Phone** : 079-26464548 / 49

I/We request you to add/update below mention Email Id / Mobile Number in my Trading and Demat Account with you for all future communication. Kindly provide the Statement of Account (SOA) including transaction statement cum holdings statement, Consolidated Account Statement (CAS), margin statement, contract notes, retention statement, bills, ledgers and all other communication through email.

E-mail ID :
Mobile Number :

- I declare that all the above information is true and all future demat account communication can be sent on above E-mail ID/Mobile Number.
- I hereby declare that the aforesaid E-mail ID belongs to ☐ Me or My family ☐ spouse ☐ dependent children and ☐ dependent parents. Relationship with the applicant : \_\_\_\_\_
- I hereby declare that the aforesaid Mobile No. belongs to ☐ Me or My family ☐ spouse ☐ dependent children and ☐ dependent parents. Relationship with the applicant :

		
--	---	---



**Option form for issue of DIS booklet****Voluntary**

To,  
**Shree Kanha Stock Broking Pvt Ltd**  
406, Shail Building, Opp Madhusudan House,  
Navrangpura, Ahmedabad-380009

Dear Sir,

I/We hereby state that: [select one of the option given below]

**Option 1:**

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my/our CDSL account though I/we have issued a Power of Attorney (POA)/registered for eDIS/executed PMS agreement in favour of Shree Kanha Stock Broking Pvt Ltd. For executing delivery instructions for settling stock exchange trades (settlement related transactions) effected through such Clearing Member for executing delivery instructions through eDIS.

**Option 2:**

I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a POA/DDPI/registered for eDIS in favour of Shree Kanha Stock Broking Pvt Ltd for executing the delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Clearing Member/or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my / our request at any later date.

I/We hereby select Option 1 ☐ Option 2 ☐

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature *			



Client Id	1	2	0	5	4	3	0	0								
-----------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

Particulars	Normal Yearly AMC Scheme	One time AMC	BSDA Scheme
Please tick whichever applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Annual Maintenance Charges	Rs. 550/- (Individual/HUF/Partnership firm) Rs. 1000/-Corporate Rs.1500/-NRI	Not Applicable	Value of Holding upto Rs.400000- Nil & Rs.400001/- to Rs.1000000/- Rs.100. above Rs. 10 lakh value amc will be applicable For Rs.550 Pro-rata
One Time Charges (Non Refundable)	Not Applicable	Rs. 1500/- (Only For Individual)	Not Applicable
Demat / Remat Charges	Rs.5/- per cert. + Rs100/- for courier handling per ISIN	Rs.5/- per cert. + Rs100/- for courier handling per ISIN	Rs.5/- per cert. + Rs100/- for courier handling per ISIN
Destatementization	Rs.50/-	Rs.50/-	Rs.50/-
Market	Rs. 20/- per ISIN	Rs. 30/- per ISIN	Rs. 30/- per ISIN
Off Market Intra	Rs. 30/- per ISIN	Rs. 30/- per ISIN	Rs. 30/- per ISIN
Off Market Inter & Inter Depository Transfer	Min Rs. 100/- per ISIN or 0.04% of the value of the transaction whichever is higher	Min Rs. 100/- per ISIN or 0.04% of the value of the transaction whichever is higher	Min Rs. 100/- per ISIN or 0.04% of the value of the transaction whichever is higher
Pledge (Creation / Closure / Invocation)	Rs. 50/- Per ISIN	Rs. 50/- Per ISIN	Rs. 50/- Per ISIN
Margin Pledge Creation / Closure / Invocation)Request	Rs. 20/- Per ISIN	Rs. 30/- Per ISIN	Rs. 30/- Per ISIN
KRA Charges	Rs.50/-	Rs.50/-	Rs.50/-
Dis Book Charges	Rs.100 (Re-Issuance)	Rs.100 (Re-Issuance)	Rs.100 (Re-Issuance)
Modification Charges offline	Rs.30 per Request	Rs.30 per Request	Rs.30 per Request
Online	Nil	Nil	Nil
Demat/Remat rejection (postage or Courier Charges)	Rs.100/-	Rs.100/-	Rs.100/-

Whether you want to OPT BSDA Facility: YES ☐ NO ☐

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature *	X	X	X



**Other Charges on demand { GST. extra, as applicable)**

- One time non-refundable scheme is valid only if the client opts to receive transaction bills and all other communications/document(s) by email. If the email of the Client gets bounced. The AMC of Rs.550/- shall be charged extra. \* for scheme BSDA statements will be given first two quarters without charges and after that charges on request Rs.25 per statement. \*
- I/We agree to the following terms and conditions in this regards.
  - a) I/We are aware that I/We will not receive the transaction statements in paper form.
  - b) I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
  - c) I/We are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.
  - d) In case transaction statements are sent by email, I/We shall immediately inform you about change in email, if any.
  - e) I/We, the client and you, SKSBPL both shall have the right to terminate such service provided a written notice is given at least 30 days in advance to the other party.
  - f) In case, if my email account is closed due to any reason and new email details are not submitted, you may charge Rs 20/-extra for sending the transaction statements in paper form or Rs. 550/-p.a. As AMC, as the case may be.
  - g) DDPI Charge shall be charged extra as applicable one time only at the time of account opening.
  - h) There will be a charge of Rs. 500/- for dishonor of any cheque. The depository services are liable to discontinue if SKSBPL is unable to recover charges from the customer for any reason whatsoever. In such cases, we will be a charge of Rs.250/- for resumption of services and the services will be resumed after a minimum of three working days from the date of receipt of request at SKSBPL demat cell Ahmedabad.
  - i) Any Services that is not indicated above will be charged separately as per rates applicable from time to time.
  - j) SKSBPL reserves the rights to revise the tariff structure with 30 days prior notice to the clients.
  - k) The mentioned charges are exclusive of GST. and any other charges levied by govt, bodies/ statutory authorities etc from time to time.
  - l) Rs.10/- per extra transaction statement per page, Rs. 10/- per extra holding statement per page,
  - m) On request 5 DIS will be given free of cost on usage basis during accounting year then after on request of additional DIS Rs.100/- per book of 5 slips will be levied.
  - n) CUSPA-Unpaid Securities pledge/unpledge charges of Rs.20/- per isin/Instruction (For the securities which will be marked as CUSPA pledge)

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature *	x	x	x



## TARIFF SHEET

Branch Brokerage :	Client Code :		1 <sup>st</sup> Leg		2 <sup>nd</sup> Leg (Same day)	
			%age	Min.	%age	Min.
		Trading				
		Delivery				
		F&O				
		Call-Option				

### Notes:

- (1) Brokerage will be charged within the limits prescribed by SEBI/Exchanges and in %age on transaction value basis as shown above.
- (2) Apart from Brokerage various charges shall be levied on time to time basis.
- (3) **SHREE KANHA STOCK BROKING PVT. LTD.** may levy additional charge for any additional / extra service sought by you.

Client's Name : \_\_\_\_\_

I / we have read and understood the charges and condition's as above and agree to abide by the same.



Signature of Client

Date :   -   -

**1. Refusal To Take Orders**

The Client undertakes and agrees that member, may, as a risk containment measure, at any time, at its sole discretion, and without prior notice, prohibits, restricts or refuse the client's ability to place order or trade in penny stocks or such other stocks/contracts, as specified by Member, through the Member. The Client waives any and all claims for loss or damage arising directly or indirectly from any such refusal.

**2. Exposure Limits**

The client agrees and confirms to abide by the exposure limits, if any, set by Member or by the exchange or Clearing Corporation or SEBI from time to time. The Trading Member may from time to time, at its sole discretion, impose and vary limits on the orders that the client place (including but not limited to exposure limits, turnover limits, limits as to number, value and / or kind of securities / contracts in respect of which buy or sell orders can be placed etc.) The client is aware and agree that the trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of Member's risk perception and other factors considered relevant by Member and Trading Member may be unable to inform to the client of such variation, reduction, imposition in advance. The client agrees that the Trading Member shall not be responsible for such variation, reduction and imposition of limits.

**3. Brokerage Rate**

The Client confirms and agrees that the brokerage shall be paid in the manner intimated by the Member to the client from time to time, including as a percentage of the value of the trade or as a flat fees or otherwise, together with the GST or any other statutory tax as may be applicable from time to time on the same. The Client hereby agrees to the brokerage slabs / rates, as mentioned in this document, which do not exceed the maximum limits prescribed by the SEBI/exchange.

**4. Delayed Payment Charges**

The client understands and agrees that applicability of delayed payment charge by either party is solely at the discretion of the Trading Member. Without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from a client toward settlement obligation or margin obligation either in cash segment and/or Derivative segment may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined

by the Trading Member.

In case client has not opted for running account maintenance, any amount which are overdue from a Trading Member towards settlement pay out after meeting all pending settlement/ margin obligations or dues, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the Trading Member.

In case client has opted for running account maintenance, any amount which are overdue from a Trading Member towards the available undisputed credit balance in client ledger after meeting settlement and/or margin obligation and making provision for next 5 trading day settlement and / or margin obligation, calculated in the manner specified by the exchanges or amount as demanded by client, in writing, out of available ledger balance, whichever is less, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the Trading Member.

**5. Liquidation/Closeout of Positions**

Without prejudice to the member's other rights (including the right to refer a matter to arbitration), the Member shall be entitled to liquidate / close out all or any of the Client's positions for non payment of margins or settlement obligation after giving prior notice. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the Client. Further Compulsory Liquidation for shares lying in Client Unpaid Securities Account shall be governed by SEBI and Exchange Circulars issued from time to time based on members' risk perception. Client is liable to clear its settlement outstanding on or before 05th Trading Day from the date of Pay-out cut-off time 2.30 pm. In case of nonpayment before such cutoff date and time, clients share shall be liquidated at member's discretion to recover debit.

**6. Internal Shortage For Equity**

In case of purchase of securities by the Client, at times Member may be unable to deliver the securities to the said purchaser on the payout day due to non receipt of the said securities from another Client of Member who has sold the securities against the said purchase transaction. In such cases, member may buy the shares from the market on T+ 1 day or on settlement day and deliver the same to the client or he may give close out at the rate as determined by the member.

7. Internal Shortage for Commodity

Member shall not be obliged to deliver any commodities or pay any money to the client until the same has been received by the Member from the Exchange, the clearing corporation/clearing house. Clients are required to make Commodities/Funds pay-in on or before Settlement day. In case of default in pay-in by the client and the shortage is at member level i.e. internal shortage, a penalty as applicable from time to time (not exceeding the percentage prescribed by the exchange for auctioned trades), will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client.

8. Close Out

The Client hereby agrees that if he/she/it has short delivered any securities/commodities against his/her/its payin obligation which resulted into internal shortage (i.e. buy position of another client of Member and could not be auctioned in the market), close out shall be debited to his account at the rate which is in the range of 5% to 20% above the purchase price or the closing price on auction day or such other percentage as may be revised by Member and intimated to client time to time.

9. Restrictions/Prohibition To Take Further Position or Closing Existing Position The Member may, in its sole discretion, not allow taking further position to the client or may close the existing position of a client due to any restrictions in relation to volume of trading / outstanding business or margins stipulated by the exchange, clearing corporation/clearing house and/or the Member and / or any other extraordinary event warranting such restrictions. The Client waives any and all claims for loss or damage arising directly or indirectly from any such restrictions.

10. Suspension / Closure at the Client's Request

The Client may suspend or close his/her/its trading account temporarily by giving written request to the member. Such temporary closing or suspending of trading account will not affect the rights and obligation incurred prior to such suspension or closure. Any request for temporary suspension or closure shall not be processed by the member unless all the dues are paid by the client.

11. Deregistering the Client

The Member may, at its sole discretion, deregister client's account to protect his interest which might include (but not limited to)

1. Member is compelled to by law;
2. Client has not used account for a significant period of time;

3. Member has reasons to believe that account is being used for fraudulent purposes.

4. Any other reason which member thinks reasonable for deregistering the account.

The Client waives any and all claims for loss or damages arising directly or indirectly from such deregistering. The deregistering will not affect any liability of the Client resulting directly or indirectly from any transactions made at anytime before such deregistering.

12. In case the Trading account of the client is not operated by the client for a continuous period of one year the same will be considered to be 'Inactive Account. Such Inactive Account may be reactivated for trading or receipt of application for re-activation from the client along with necessary supporting documents and may carry out in-Person' Verification of the Inactive Client and shall validate the supporting documents submitted by the client with the originals.

Further if Client has not reactivated his account after two years, he must required to give new KYC form with all required sup-orting documents to activate his account.

I/We Have Thoroughly Read and Understood the Contents of the aforesaid Mandatory Document and thereafter put my Signature Herein Below.





## ADDITIONAL CLAUSES AGREED BETWEEN STOCKER AND CLIENT FOR SMOOTH OPERATIONS AND COMPLIANCE (VOLUNTARY DOCUMENTS)

I, voluntarily and unconditionally hereby state and declare that I/We have read and understood the terms and conditions mentioned hereinafter governing securities trading and broking services of Member Shri Kanha Stock Broking Pvt. Ltd. (here-inafter referred to as SKSBPL) and agree to be bound by the same.

- 1) Internet Based Trading Services: E-Broking Services, Wireless Securities Trading & Dial & Trade Services The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party.

The CLIENT agrees that the STOCK BROKER/TRADING MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/ STOCK BROKERS/TRADING MEMBERS/ EXCHANGE end.

- 2) Electronic Payment Gateway for Net Banking Services: Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with SKSBPL. Client understands that SKSBPL is only providing access to the electronic fund transfer facility provided by the banker of the Client through SKSBPL's web-site by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make SKSBPL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that SKSBPL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank. The SKSBPL expressly excludes liability for consequential loss or damage or loss of profit, business, revenue, goodwill or anticipated saving which may arise in respect of (i) the payment gateway services offered by such bank (ii) the payment Mechanism

- 3) PMLA Declaration

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002,

I further declare that I shall adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that; I do not have any links with any known criminal. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner. I am not a party to any agreement or arrangement to facilitate any segment of my transaction with SKSBPL.

- 4) Order Placement Instructions

I understand that you require written instructions from me for placing / modifying/ cancelling orders. However, since it is not practical for me to give written instructions for placing / modifying / cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ Emailing the Call centre/ branch specified for the said purpose SKSBPL in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my or my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify SKSBPL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

- 5) Errors and Omissions

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances SKSBPL shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold SKSBPL responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by SKSBPL.

Extra Ordinary Events and termination/suspension of trading facility: SKSBPL will not be liable for losses caused directly or indirectly by government restriction. Exchange rulings, suspension of

system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond SKSBPL's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any SKSBPL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non-performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by SKSBPL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of SKSBPL or any disseminating party.

6) Non-execution/delay/cancellation of Orders:

The client hereby agrees that SKSBPL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the trading services, disruptions or congestion of communication networks, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of SKSBPL or the Exchange.

Client not to act on representations of agents, employees: Client is aware that SKSBPL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of SKSBPL.

7) Indemnification :

I hereby indemnify and hold SKSBPL, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the SKSBPL directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and

documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

8) Indemnity of Joint Holdings :

I hereby agree to indemnify and hold the SKSBPL harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and /or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

9) Mutual Fund Service System (MFSS) Facility: I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

10) NRI Declaration :

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to SKSBPL every time the investment is made. Further, I /we undertake to update any status change and shall abide by FEMA , RBI and SEBI guidelines with regard to NRI investment.

11) Third-Party Payments : SKSBPL shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along-with adequate proof thereof as per proforma prescribed by SKSBPL shall not be responsible for any loss or

damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by SKSBPL and the credit for the same has been given in the client's ledger and P&L shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case SKSBPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client SKSBPL, its Directors and employees shall not be responsible for any consequential damages or losses.

12) No Dealings In Cash :

SKSBPL as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds incash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/SubBroker/Remisier/Employee/Authorised Person of SKSBPL.

13) No Market Manipulation :

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, SKSBPL has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

14) Authorization to debit additional charges with regard to Trading and DematAccount:

Without prejudice to the other rights and obligations of the parties, the client understands and agrees that SKSBPL may levy charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by SKSBPL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients' Trading ledger account maintained with SKSBPL for the demat charges payable to SKSBPL as Depository for providing depository services.

15) Authorization for Inter Segment/Inter Exchange Fund Balance Transfer:

The client hereby authorize SKSBPL to transfer fund/ pay out resulting on account of sale of shares/contract/or margin refunds from

NSE/BSE/MSE and adjust the same towards debit balances in any segment of NSE/BSE/MSE. Further, I/we hereby authorise to consider credit available in one segment/ exchange towards margin / settlement obligation in another exchange/segment with or without passing journal entries.

16) Deliveries :

The client shall ensure that the shares are properly transferred to the designated demat account of SKSBPL for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/SKSBPL In case the client fails to transfer the shares on time to SKSBPL, SKSBPL shall not be responsible for any loss/damages arising out of such delayed transfers.

17) Portfolio Management :

Further any investment views given by the Trading member are market views only. Reacting on the same will not render member liable for the same. All risk will be of client only. Members do not intend to manage the portfolio of client.

18) Close Out :

The Client hereby agrees that if he/she/it default in daily margin, MTM's or any outstanding debt occurs in their/our account, SKSBPL is irrevocably authorize to close out/liquidate whole or any part of their/our position without prejudice to their right to refer the matter to arbitration. Any and all losses and financial charges on account of such liquidation/closing out etc. shall be charged to and borne by client.

I am / we are understand and aware that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my / our client account with you as our broker. Further, these standing instructions are valid from the date the client / trading account is opened with you and will be valid and operational until revoked by me /us by giving notice in writing to your compliance officer only. Any entries / transactions and acts, deeds, things etc. carried out by broker in accordance with this authorization shall be binding on me / us.

  
Signature

## RUNNING ACCOUNT AUTHORIZATION

I am aware that as per the SEBI / Exchange requirements, the settlement of funds / securities is to be done within one working day of the pay-out. I am also aware and understand that it is difficult to manage repeated payments/delivery with respect to all secondary market transactions. Also, I desire to use my securities and monies as margin / collateral without which I cannot deal / trade.

Therefore, I hereby request and authorize you to maintain my account as a running account(s) which will entail that funds due to us on pay-out shall be withheld with yourselves beyond the stipulated deadlines and given to us only on specific request. You shall transfer the funds lying in my credit within one working day of my request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation.

Notwithstanding anything contained in this authorization, the actual settlement of funds, except for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR), at least once in a

☐ Month

☒ Quarter

as allowed by Exchange and SEBI from time to time. In case I have an outstanding margin/settlement obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner as per the applicable guidelines prescribed by the Exchanges.

I acknowledge that I can revoke the above mentioned running account authority at any time by sending a written signed instruction through registered post (RPAD). I confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it. as the case may be in writing at your registered office. Any clause which is not in conformity with SEBI and Exchange circular on settlement of fund shall stand amended/modified to that extent. There shall be no inter-client adjustments for the purpose of settlement of the "Running Account".

Thank You

  
Signature

Date : --202

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

## INTIMATION TO CLIENTS AND NOTING - MANDATORY

**VOLUNTARY**

To,  
**SHREE KANHA STOCK BROKING PVT. LTD.**  
406, Shail. Opp. Navrangpura Tele. Exchange,  
Nr. Madhusudan House, Ahmedabad-380009.  
**Phone : 079-26464548 / 49**  
Sir(s),

### Re.: Confirmation of noting

I / We confirm that we have made note of the following:

1. That you trade in your OWN/PRO account
2. That your investor grievance email ID is compliance@shreekanha.com
3. That I / we have read all the mandatory and voluntary terms and conditions and do consent for the same.
4. That I / we have to furnish/update Financial Details every year to the Member as per SEBI / PMLA requirement.
5. That I / we have read / understood the Anti Money Laundering Policy & Procedure and I know that the same is made available on your website www.shreekanha.com
6. That I / we agree/s that I / we am / are responsible for clearing out my debit ledger balance to NIL at least once in every month / quarter.
7. That any Voluntary terms and conditions which is in violation of exchange/SEBI rules and regulations and circular issued from time to time shall become null and void.

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

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

  
Signature

Date : --202



Shree Kanha



# SHREE KANHA STOCK BROKING PVT. LTD.

406, Shail. Opp. NavrangpuraTele. Exchange, Nr. Madhusudan House, Ahmedabad-380009.  
Ph. : 079-26464548 / 49 | E-mail : compliance@shreekanha.com | Web. : www.shreekanha.com

Membership No.: NSE - 12162 | BSE - 6382

CDSL DP ID No.: 12054300

## ACKNOWLEDGEMENT

- [ ] I/we hereby acknowledge receipt of following documents within 7 days of its execution :
- [ ] Welcome Letter along with Unique Client Code and DIS book
- [ ] A copy of dully filled KYC and complete set of client registration Document [ NSE]
- [ ] A copy of Rights & Obligations of Client and depository participant as prescribed by SEBI and depositories along with Additional Rights & Obligations for IBT & Wireless Trading
- [ ] A copy of Guidance Note, Policy & Procedure and Tariff Sheet
- [ ] A copy of Voluntary Terms & Conditions, Confirmation & Notings etc.
- [ ] A copy of Running Account Authorization and other documents and Authorization executed by me/us.
- [ ] Nomination Form
- [ ] A copy of Power of Attorney (POA)

I/we also aware that Copy of DP- BO Rights and Obligation, Broker Rights and Obligations, Do's and Don'ts and Policy and Procedures is also made available on DP's Website i.e. www.shreekanha.com

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



Sole / First Holder

Date :   -   -

## Annexure

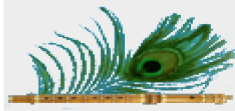
<b>C. TRADING PREFERENCES</b>					
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.					
Exchanges	NSE, BSE & MSEI				MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
			X	X	X
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____					



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

(For non-custodial settled trading accounts)

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



*Shree Kanha Stock - Broking Pvt. Ltd.*

# **SHREE KANHA STOCK BROKING PVT LTD**

**Policy Framework for voluntary freezing/blocking the online access  
of trading account for clients**

**Annexure to  
Risk Management Policy**

<b>Policy created by :</b>	Compliance Team
<b>Policy last reviewed by :</b>	Compliance Officer
<b>Approval authority :</b>	Compliance Officer
<b>Policy approved by :</b>	Compliance Officer
<b>Periodicity of Review periodicity :</b>	Review as and when required as per amendments in the applicable rules, regulations.
<b>Effective date of implementation :</b>	01-July-2024
<b>Officer responsible for implementation :</b>	Compliance Officer

## 1. INTRODUCTION

In order to enhance the ease of doing business and ease of doing investments for investors and to enhance protection of investors from suspicious activities; SEBI, has vide its circular ref. No.SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 has mandated that a framework shall be laid down by stock exchanges for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients. Accordingly, stock exchanges has issued circulars providing a framework for trading members for the facility of voluntary freezing/blocking the online access of the trading account for clients.

In accordance with the above, Trading Members are required to frame a policy in line with the exchange prescribed framework, which shall be part of the trading member's Risk Management Policy and shall be displayed on its website along with the process and mode(s) through which the client can place the request to freeze/block & unfreeze/unblock the trading account along with the timelines that will be followed by the trading members for the same.

## 2. SCOPE AND APPLICABILITY

- A. Trading Members providing internet based trading/ mobile trading/ other online access for trading are required to make available to the clients at least two modes of the following communications through which the client may request for voluntary freezing/ blocking the online access of trading account if any suspicious activity is observed in the trading account: -
  - a) Email from registered e-mail ID
  - b) SMS from registered mobile number
  - c) IVR/tele calling
  - d) Chatbot
  - e) Trading Member's App / website
  - f) Any other legally verifiable mechanism
- B. The policy shall be applicable with effect from July 01, 2024.
- C. The policy shall be provided to new onboarded clients as part of account opening kit with effect from applicable date, July 01, 2024.
- D. It shall be communicated to all existing clients via email or any other suitable mechanism which can be preserved by July 01, 2024. In case, communication gets bounced/undelivered, the same shall be communicated through alternate channels to such clients. Other suitable mechanism may include physical delivery/SMS/electronic instant messaging services after adhering with the safeguards prescribed on Issuance of Electronic Contract Notes (ECN) through SMS/electronic instant messaging services.

## 3. Mode of receipt of request for freezing/blocking the trading A/c:

Following modes shall be provided by company for receipt of request for freezing/blocking the clients trading A/c:

- A. An e-mail ID [stoptrade@shreekanha.com](mailto:stoptrade@shreekanha.com) shall be is provided to clients for this purpose, the said e-mail ID shall be dedicated for receipt of communication for voluntary freezing/ blocking of the online access of the clients' trading account.
- B. Tele Calling- Clients can call on our office numbers 079-26421896, 079-26464435 to place such requests. Upon successful verification the request shall be placed for freezing/blocking their trading A/c.

## 4. Procedure to be followed on receipt of request for freezing/blocking the trading A/c.:

On receipt of request from clients through any of the prescribed modes of communications; for freezing/blocking of

the online access of the trading account from the client:

- a. Company shall validate that the request is received from a registered client as per and issue an acknowledgement as well as freeze/block the online access of the client's trading account and simultaneously cancel all the pending orders of the said client.
- b. (i) To validate that the request for freezing/blocking of the online access of the trading account is received from the respective client; company shall verify, whether request is received from the registered e-mail Id of the client; and wherever request is received from other than registered e-mail Id of the client, company shall authenticate the client with 2 Factor Authentication.  
  
(ii) To validate the request received on tele calling; company shall verify the client by authenticating that request is received from registered mobile no. of client and with 2 Factor Authentication.
- c. The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading.	Within 15 minutes
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

- d. Post freezing/blocking the client's trading account, company shall send a communication on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account.
- e. Company shall also communicate / provide the details of open positions of client (if any) along-with contract expiry information within one hour from the freezing/blocking of the trading account.
- f. Company shall maintain the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients.
- g. In case of failure of in freezing/ blocking the online access within the prescribed timelines, there is a risk that company may be held responsible for any trades executed from the time of receipt of such request till such time the online access is blocked / frozen.

#### 5. Re-enabling the client for online access of the trading account: -

Company shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

#### 6. Clarification for clients:

1. Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of company.
2. The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the records of respective Exchanges.

**7. Record Management:**

1. Company shall maintain a verifiable record of communication of this policy to all existing clients and obtain a confirmation of providing a copy of this policy from all new on boarded clients with effect from July 1, 2024.
2. Company shall maintain a verifiable record of all such requests received for freezing/ blocking of online access to trading account received from clients as per record management guidelines prescribed by the exchanges/regulator.

**8. Reporting of freezing / blocking of the online access of the clients trading account:**

The data relating to freezing / blocking of the online access of the clients trading account shall be reported as per compliance requirement prescribed by SEBI / Exchanges, if any.



---

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

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, **\*2018**, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

**Beneficial Owner information**

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

**Fees/Charges/Tariff**

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

**Dematerialization**

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

**Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, **2018** and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. 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.

### **Statement of account**

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

### **Manner of Closure of Demat account**

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

Public

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

**Default in payment of charges**

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

**Liability of the Depository**

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

**Freezing/ Defreezing of accounts**

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

**Redressal of Investor grievance**

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

**Authorized representative**

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

Public

**Law and Jurisdiction**

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

Public