

# StockKart

Invest Money To Make The Future!!

## ACCOUNT OPENING KIT

APPLICATION NO. : \_\_\_\_\_

UCC CODE : \_\_\_\_\_

CLIENT NAME : \_\_\_\_\_

BRANCH CODE : \_\_\_\_\_

INDEX - Equity & Commodity			
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# StocKart

## Name of Stock Broker/Trading Member/Clearing Member:

StocKart

EXCHANGE NAME	SEGMENT	SEBI REGISTRATION NO.	DATE
NSE	Cash	NA	
NSE	F&O	NA	
NSE	Currency	NA	
NSE	Commodity	NA	
BSE	Cash	INZ000178736	27/09/2021
BSE	F&O	INZ000178736	27/09/2021
BSE	Currency	INZ000178736	27/09/2021
BSE	Commodity		
MSEI	Currency Derivatives		
MCX	Commodity Derivatives	INZ000178736	27/09/2021
NCDEX	Commodity Derivatives	NA	
ICEX	Commodity Derivatives	NA	

## Depository Participant Details:

StocKart

DEPOSITORY NAME	SEBI NO	DATE
NSDL	NA	
CDSL	CDSL - IN-DP-695-2022	

## Clearing Member Details

## Registered Office Address

76, Saudagar Mohal Sadar, Lucknow, Uttar Pradesh

## Corporate Office

Kazmi Chambers (Second Floor), SF-01, 9A/5 Park Road Hazratganj, Lucknow - 226001, Uttar Pradesh

## Compliance Officer Details 1 :

Name: Mr. Kumar Shashank

Phone Number +91 0522-4026981

Email ID:support@stockart.co.in

## Managing Director

Name: Mr. Kumar Shashank

Phone Number +91 0522-4026981

Email ID:support@stockart.co.in

For any grievance/dispute please contact KSN Credence Commodities Trading Private Limited at the above address or email id: support@stockart.co.in and Phone No.+91 0522-4026981 In case not satisfied with the response, please contact the concerned exchange(s):

# Stockart

BSE Email: [is@bseindia.com](mailto:is@bseindia.com) & Tel.: (022) 2272 8097 | NSE Email: [ignse@nse.co.in](mailto:ignse@nse.co.in) & Tel.: (022) 2659 8190 | MCX Email: [customersupport@mcxindia.com](mailto:customersupport@mcxindia.com) & Tel No: (022) 6731 8888 | NCDEX Email: [askus@ncdex.com](mailto:askus@ncdex.com) & Tel No: (022) 6640 6899

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd.	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	+91- 22-26598190
Bombay Stock Exchange Ltd.	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	91- 22-22728097
Metropolitan Stock Exchange of India Ltd.		
MCX		
NCDEX		
CDSL		
NSDL		

1. Personal Details			
Name*			Lat/Long: \$Latlong\$
Maiden Name (If any*)			
Father/Spouse Name*			
Mother Name*			
Date of Birth*			
Gender*			
Marital Status*			
Citizenship*			
Residential Status*			
Occupation Type*			
Residence for Tax Purposes In Jurisdiction(s) Outside India*			
Country of Jurisdiction of Residence*			
Tax Identification Number or Equivalent(If issued by jurisdiction)*			
Place/City of Birth*			
Country of Birth*			
2. Proof of Identity			
PAN*			
AADHAAR*			
3. Proof of Address			
Address Type*			
Proof of Address*			
Correspondence Address			
Address Line 1*			
Address Line 2			
Address Line 3			
City/Town/Village*		State*	
Country*		PIN Code*	

<b>Permanent Address</b>			
<b>Address Line 1*</b>			
<b>Address Line 2</b>			
<b>Address Line 3</b>			
<b>City/Town/Village*</b>		<b>State*</b>	
<b>Country*</b>		<b>PIN Code*</b>	

<b>Signature</b>
------------------

#### 4. Contact Details

<b>Tel.(Off.)</b>		<b>Tel.(Res.)</b>	
<b>Mobile No.*</b>		<b>Fax</b>	
<b>Email ID*</b>			

#### 5. Details of Related Person

<b>Name</b>	
<b>Related Person Type</b>	
<b>PAN</b>	

#### 6. Applicant Declaration

<p>I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I under take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered number/email address.</p>		
<b>Date:</b>		<b>Place:</b>

#### 7. Attestation/For Office use only

<b>Document Received</b>			
<b>Intermediary/Institution Details</b>		<b>In-person verification (IPV), Documents verified with original &amp; Client interviewed by</b>	
<b>Name</b>	StocKart	<b>Employee/SB/AP name</b>	
		<b>Code</b>	<b>Designation</b>
<b>CKYC Institution Code</b>	xxxxxxxxxx	<b>Signature</b>	
		<b>Date</b>	

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) of Trading and Demat Account, 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 our website, if any, for the information of the clients.

## KNOW YOUR CLIENT (KYC) Application Form - For Non Individuals

☐ **NEW** ☐ **CHANGE REQUEST** (Please tick (✓) the applicant)

**Acknowledgment No.**

Please fill this form in ENGLISH in BLOCK LETTERS

(Please tick (✓) the box on left margin of appropriate row where CHANGE /CORRECTION is required and provide the details in the corresponding row)

### A. IDENTITY DETAILS

1. Name of the Applicant

2a. Date of commencement / / 2b. Place of incorporation

3. Date of commencement of business

4a. PAN

4b. Registration No, (e,g, CIN)

5. Status (Please tick the appropriate)

- |  |  |  |  |  |
|--|--|--|--|--|
| <input type="checkbox"/> Private Limited Co. | <input type="checkbox"/> Public Ltd Co           | <input type="checkbox"/> Body Corporate  | <input type="checkbox"/> Partnership                 | <input type="checkbox"/> Trust                 |
| <input type="checkbox"/> Chenrites           | <input type="checkbox"/> NGO's                   | <input type="checkbox"/> FI              | <input type="checkbox"/> FII                         | <input type="checkbox"/> HUF                   |
| <input type="checkbox"/> AOP                 | <input type="checkbox"/> Bank                    | <input type="checkbox"/> Government Body | <input type="checkbox"/> Non-Government Organization | <input type="checkbox"/> Defence Establishment |
| <input type="checkbox"/> BOI                 | <input type="checkbox"/> Society                 | <input type="checkbox"/> LLP             | <input type="checkbox"/> FPI - Category I            | <input type="checkbox"/> FPI-Category II       |
| <input type="checkbox"/> FPI - Category III  | <input type="checkbox"/> Others (Please specify) |  |  |  |

### B. ADDRESS DETAILS

1. **Address for Correspondence**

City/Town/Village

State

Country

Pin Code

2. **Specify the Proof of Address submitted for Correspondence Address**

3. **Contact Details**

Tel. (Off)

Tel. (Res.)

E-Mail Id

Fax Mobile No.

4. **Registered Address (If different from above)**

City/Town/Village

State

Country

Pin Code

### C. OTHER DETAILS (If space is insufficient, enclose these details separately (Illustrative format enclosed)

1. Name PAN, residential address and photograph of Promoters/Karta/Trustees and whole time directors :

City/Town/Village

State

2a. DIN of whole time directors :

2b. Aadhar number of Promoters/Partners/ Karta

## D. DECLARATION

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

Date : ...../...../.....

Name & Signature of the Authorised Signatory

## FOR OFFICE USE ONLY

In person Verification (IPV) Details :

Name of the person who has done the IPV :

Designation :                                      Employed ID :

Name of the Organization :

Date of IPV : ...../...../.....

Signature of the person who has done the IPV

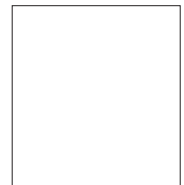
Seal/Stamp of the Intermediary

\* Originals verified and Self Attested Document copies received

Date : .....Signature of the Authorized Signatory

1. Name
  2. Relationship with Applicant (i.e. promoters whole time director etc.)
  - 3a. PAN                                      3b. DIN
  - 3.c Aadhar (UID) Number
  4. Residential Registered Address
- City/Town/Village                                      Pin Code  
State    Country

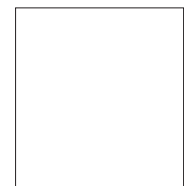
PHOTOGRAPH



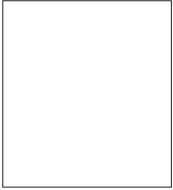
Please affix  
your recent passport  
size photograph and  
sign across it

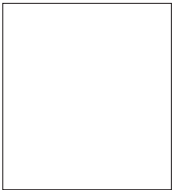
1. Name
  2. Relationship with Applicant (i.e. promoters whole time director etc.)
  - 3a. PAN                                      3b. DIN
  - 3.c Aadhar (UID) Number
  4. Residential Registered Address
- City/Town/Village                                      Pin Code  
State    Country

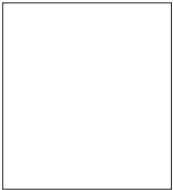
PHOTOGRAPH



Please affix  
your recent passport  
size photograph and  
sign across it

1.	Name		PHOTOGRAPH
2.	Relationship with Applicant (i.e. promoters whole time director etc.)		
3a.	PAN	3b. DIN	
3.c	Aadhar (UID) Number		
4.	Residential Registered Address		
	City/Town/Village	Pin Code	
	State	Country	Please affix your recent passport size photograph and sign across it

1.	Name		PHOTOGRAPH
2.	Relationship with Applicant (i.e. promoters whole time director etc.)		
3a.	PAN	3b. DIN	
3.c	Aadhar (UID) Number		
4.	Residential Registered Address		
	City/Town/Village	Pin Code	
	State	Country	Please affix your recent passport size photograph and sign across it

1.	Name		PHOTOGRAPH
2.	Relationship with Applicant (i.e. promoters whole time director etc.)		
3a.	PAN	3b. DIN	
3.c	Aadhar (UID) Number		
4.	Residential Registered Address		
	City/Town/Village	Pin Code	
	State	Country	Please affix your recent passport size photograph and sign across it

Name & Signature of the Authorized signatory (ies)

date :

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

- Self- attested copy of PAN card is mandatory (or all clients. including Promoters/Partnets/Karta/Trusleas and whole time directors and persons authorized to deal in commodity derivatives on behalf of company/firm/others.
- Copies of an 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 proper1y attested by entities Authorized for attesting the documents, as per the below mentioned list.
- If any proof of Identity or address is in a regional 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 8. capacity
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FIPB/FEMA guidelines and other applicable statutory approvals). copy of passport/PIO Card/Oel Card and overseas address proof is mandatory.
- For foreign entities. CIN is opllonal; and in the absence of DIN no. (or the directors. their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certifie l copy of coe (Continuous Discharge Certificate) is to be submitted along with other statutory approvals required for investment in commodities.
- 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 ot Stales 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): o Us! of documents admissible as Proof of Iden(i(y:

- Unique Identification Number (UID) (Aadhaar)/Passport/ Voter ID card/Driving license.
- PAN card with photograph.
- Identity card 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., 10 their Members: and Credit

cards/Debit cards issued by Banks.

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

(Note: Documents having an expiry date should be valid on the data 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- Nor more than 3 months old.
- Bank Account Statement/Passbook -Not more than 3 months old.
- 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/Parllament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, Issued by any of the (following: Centra/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.
- The proof of address in the name of the spouse may be accepted.

### D. Exemptions to PAN

(Note: Sufficient documentary evidence ill support of such claims lobe collected.)

- Transactions undertaken on behalf of Central Government and/or Slate Government and by officials appointed by Courts e.g. Official liquidator. Court receiver etc.
- Investors residing in the State of Sikkim (subject to the continued exemption granted by Government).

### 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, Indlan Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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

Types of entity	Documentary requirements
<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 lime 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 fo 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 commodity market, Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal In commodity derivatives on behalf of</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). Copy of partnership deed.</li> <li>Authorised signatories list with specimen signatures, Photograph, POI. POA PAN of</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 HUF PAN of HUF.</li> <li>Deed of declaration of HUF &amp; list ot coparceners. Bank pass-book/bank statement in the name of HUF, Photograph, POI, POA. PAN of Karta.</li> </ul>
<b>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. 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 aye Laws certified by the Chairman/Secretary</li> </ul>



## 8. Bank Account Details

<b>Primary Bank Details (For DP and Trading)</b>			
<b>Bank Name</b>			
<b>Account No.</b>		<b>Branch</b>	
<b>IFSC</b>		<b>MICR Code</b>	
<b>Address</b>			
<b>Account Type</b>		<b>Pay-Out Option</b>	

## 9. Depository Account Details

I/We already have Demat A/c			
<b>Depository Name</b>			
<b>DP ID</b>		<b>BO ID</b>	
<b>Name of Depository Participant</b>			
<b>Demat Account Proof Submitted</b>			

## 10. Trading Preference

Please sign in the relevant boxes where you wish to trade.

Exchange	Segment				
	Cash Market / Mutual Fund	F&O	Currency Derivatives	Commodities	Mutual Fund
<b>NSE</b>					
<b>BSE</b>					
<b>MCX</b>	NOT APPLICABLE	NOT APPLICABLE	NOT APPLICABLE		NOT APPLICABLE
<b>NCDEX</b>	NOT APPLICABLE	NOT APPLICABLE	NOT APPLICABLE		NOT APPLICABLE
<b>*If you wish to trade in derivatives (F&amp;O/Currency) segments, submit proof of financial details(Mandatory)</b>					

## 11. FACILITIES

<b>SMS and E-mail alerts from stock exchanges/depository</b>	
<b>Whether you wish to receive Contract Note &amp; Standard documents in physical or electronic mode</b>	
*Standard Documents Rights & Obligations, Risk Disclosure Document, Guidance Note and Policies & Procedures, other terms and conditions	
<b>I/We wish to avail facility of internet trading / wireless technology</b>	

## 12. Trading History

<b>Trading Experience / Number of Years of Investment</b>	
<b>Stock Profile</b>	
Details of disputes / dues pending from / to such stock broker / sub-broker In case dealing with multiple stock brokers, please provide details of all.	NOT AVAILABLE
<b>Client Code(UCC)</b>	<b>Exchange</b>
<b>Past Actions</b> Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / any other authority against the applicant / constituent or its partners / promoters / whole time directors / authorised persons in charge of dealing in securities during last 3 years.	

## 13. Income, Education & Others Details

<b>Gross Annual Income Detail</b>			
<b>Net-worth in</b>		<b>As on(date)</b>	
<b>Occupation</b>			
<b>Educational Details</b>			
<b>Politically Exposed Person/Related to a Politically Exposed Person</b>			
<b>Is the entity involved providing any of the following services</b>			
<b>- For Foreign Exchange / Money Changer Services</b>			
<b>- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)</b>			
<b>- Money Lending / Pawning</b>			
<b>FATCA &amp; CRS Declaration – Individuals</b>			
<b>Are you the TAX Resident of any country other than India</b>			

If yes please fill the following:

#Country	%Tax Identification Number	Identification Type
		NOT APPLICABLE
NOT APPLICABLE	NOT APPLICABLE	NOT APPLICABLE
<b>Foreign Address 1</b>		
<b>Foreign Address 2</b>		
<b>Foreign Address 3</b>		
<b>Foreign City</b>	<b>Foreign State</b>	
<b>Foreign Country</b>	<b>Foreign Pin</b>	

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you [ACML] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

<b>Signature of Client</b>	
----------------------------	--

## 14. Demat Account Opening - NSDL

I/ We request to open a Depository Account in my / our name as per the following details.

Date :

### 14a. Type of Account

Status	Individual	Sub-status	
--------	------------	------------	--

### 14b. Account Holder Details

Name of sole/1st Holder			
UID		PAN	
Name of sole/2nd Holder	NOT APPLICABLE		
UID	NOT APPLICABLE	PAN	NOT APPLICABLE
Name of sole/3rd Holder	NOT APPLICABLE		
UID	NOT APPLICABLE	PAN	NOT APPLICABLE
Nationality			

### 14c. NSDL - Details of Guardian (In case the account holder is minor)

Name of Guardian (Mr./Mrs/Ms.)	NOT APPLICABLE		
Relationship	NOT APPLICABLE	PAN	NOT APPLICABLE

### 14d. NSDL - Additional Detail

Account statement requirement	
I/We instruct the DP to receive each and every credit in my / our account	
I/We wish to receive dividend/interest directly into my/our Bank A/c through ECS (If not marked, the default option would be 'Yes'. ECS is mandatory for locations notified by SEBI from time to time.)	
I/We request you to send Electronic Transaction-Cum-Holding Statement through E-mail (Please mention E-mail ID in KYC form)	
SMS Alert Facility on Mobile Number as given in KYC Form (Mandatory, If you have given PoA. If POA is not granted and you do not wish to avail of this facility, cancel this option)	
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.	
I/We would like to share the E-mail ID with the RTA.	
I/We would like to receive the annual report (If not marked, default option will be 'Physical')	

### 14e. Declaration

I/We have received and read the Rights & 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.

	Sole / First Holder	Second Holder	Third Holder
Signature of Client		NOT APPLICABLE	NOT APPLICABLE

## 14. Demat Account Opening - CDSL

I/ We request to open a Depository Account in my / our name as per the following details.

Date :

### 14a. Type of Account

Status	Individual	Sub-status	
--------	------------	------------	--

### 14b. Account Holder Details

Name of sole/1st Holder			
UID		PAN	
Name of sole/2nd Holder	NOT APPLICABLE		
UID	NOT APPLICABLE	PAN	NOT APPLICABLE
Name of sole/3rd Holder	NOT APPLICABLE		
UID	NOT APPLICABLE	PAN	NOT APPLICABLE
Nationality			

### 14c. CDSL - Details of Guardian (In case the account holder is minor)

Name of Guardian (Mr./Mrs/Ms.)			
Relationship		PAN	

## 14d. CDSL - Additional Details

Account statement requirement	
I/We instruct the DP to receive each and every credit in my / our account	
I/We wish to receive dividend/interest directly into my/our Bank A/c through ECS (If not marked, the default option would be 'Yes'. ECS is mandatory for locations notified by SEBI from time to time.)	
I/We request you to send Electronic Transaction-Cum-Holding Statement through E-mail (Please mention E-mail ID in KYC form)	
SMS Alert Facility on Mobile Number as given in KYC Form (Mandatory, If you have given PoA. If POA is not granted and you do not wish to avail of this facility, cancel this option)	
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.	
I/We would like to share the E-mail ID with the RTA.	
I/We would like to receive the annual report (If not marked, default option will be 'Physical')	

## 14e. Declaration

I/We have received and read the Rights & 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.

## 15. Nominee Form for Demat / Trading Account

I the Sole Holder hereby declare that :

I do not wish to nominate anyone for this Trading account.

I nominate the following person who is entitled to receive security/funds balances lying in my account, particulars whereof are given below, in the event of my death. Only the first nominee will be considered as nominee for trading account.

Nominee	\$Nominee\$
---------	-------------

POA	\$POA\$
-----	---------

### 1st Nominee Details

Name of Nominee : Mr./Ms./Mrs.			
PAN OR AADHAAR NO.			
DOB (Mandatory in case of minor)			
Relationship with the BO (If any)			
Address of Nominee			
Address Line 1*			
Address Line 2			
Address Line 3			
City/Town/Village*		State*	
Country*		PIN Code*	
Phone		Email	

As the Nominee is a Minor as on Date, to receive the securities and fund in this account on behalf of the nominee in the event of the death of the sole holder/all joint holders, I / We appoint following person to act as Guardian

Name of Guardian : Mr./Mrs.			
PAN OR AADHAAR NO.			
Address Line 1			
Address Line 2			
Address Line 3			
City/Town/Village*		State*	
Country*		PIN Code*	
Phone		Mobile	
Email		Relationship of Guardian with Nominee	
Percentage of Allocation of Securities*			

2nd Nominee Details			
Name of Nominee : Mr./Ms./Mrs.			
PAN OR AADHAAR NO.			
DOB (Mandatory in case of minor)			
Relationship with the BO (If any)			
Address of Nominee			
Address Line 1*			
Address Line 2			
Address Line 3			
City/Town/Village*		State*	
Country*		PIN Code*	
Phone		Email	

As the Nominee is a Minor as on Date, to receive the securities and fund in this account on behalf of the nominee in the event of the death of the sole holder/all joint holders, I / We appoint following person to act as Guardian

Name of Guardian : Mr./Mrs.			
PAN OR AADHAAR NO.			
Address Line 1			
Address Line 2			
Address Line 3			
City/Town/Village*		State*	
Country*		PIN Code*	
Phone		Mobile	
Email		Relationship of Guardian with Nominee	



3rd Nominee Details			
Name of Nominee : Mr./Ms./Mrs.			
PAN OR AADHAAR NO.			
DOB (Mandatory in case of minor)			
Relationship with the BO (If any)			
Address of Nominee			
Address Line 1*			
Address Line 2			
Address Line 3			
City/Town/Village*		State*	
Country*		PIN Code*	
Phone		Email	

As the Nominee is a Minor as on Date, to receive the securities and fund in this account on behalf of the nominee in the event of the death of the sole holder/all joint holders, I / We appoint following person to act as Guardian

Name of Guardian : Mr./Mrs.			
PAN OR AADHAAR NO.			
Address Line 1			
Address Line 2			
Address Line 3			
City/Town/Village*		State*	
Country*		PIN Code*	
Phone		Mobile	
Email		Relationship of Guardian with Nominee	
Percentage of Allocation of Securities*			

Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr./Ms.)	\$NOMINEE_APP_NAME_YES\$	\$SIGNATURE_NOM_YES\$
Second Holder (Mr./Ms.)		
Sole / First Holder (Mr./Ms.)		

**Note:**

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

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

## Declaration Form for opting out of nomination

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

		Date :
To StockKart 76, Saudagar Mohal Sadar, Lucknow, Uttar Pradesh		
UCC		
DP ID		
Client ID (only for Demat account)		
Sole/First Holder Name	\$NOMINEE_APP_NAME_NO\$	
Second Holder Name		
Third Holder Name		
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.		
Name and Signature of Holder(s)*		
1. \$SIGNATURE_NOM_NO\$	2.	3.

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

## 16. Declaration

I/we acknowledge the receipt of copy of document, "Rights and Obligations of the Beneficial Owner and Depository Participant". The rules and regulations of the Depository and Depository Participants pertaining to an account are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am/we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

Client Signature			
	First / Sole Holder	Second Holder	Third Holder
Signature of Client		NOT APPLICABLE	NOT APPLICABLE
Date:	Place:		

## 17. Brokerage Structure

Segment Type	
Margin Amount	
Advance Brokerage	

Segment	Brokerage Type	Value
Equity Cash-Intraday		
Equity Cash-Delivery		
F&O -Future		
F&O -Option		
Currency - Future		
Currency - Option		
Commodity Future		
Commodity Option		
Mutual Fund		

**Note:**  
According to the company policy there will be a deduction of Annual Maintenance Charges in a year of Rs.9999/-and the Software charges on monthly basis which is 6999/- If you have any query regarding this you can mail us on support@stockart.co.in within 15 days of account opening.

### Client Signature

	First / Sole Holder	Second Holder	Third Holder
Signature of Client		NOT APPLICABLE	NOT APPLICABLE

18. Account Opening Charge	
AOC Scheme Name	

BSDA	\$BSDA\$
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Client Signature			
	First / Sole Holder	Second Holder	Third Holder
Signature of Client		NOT APPLICABLE	NOT APPLICABLE

## 19. RISK DISCLOSURE DOCUMENT

The Exchange does not expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has the Exchange endorsed or passed any merits of participating in the Commodity Derivatives market/trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it. In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk. You must know and appreciate that investment in commodity futures contracts/ derivatives or other instruments traded on the Commodity Exchange(s), which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/ limited investment and/ or trading experience and low risk tolerance. You should, therefore, carefully consider whether such trading is suitable for you in the light of your financial condition. In case, you trade on the Exchange and suffer adverse consequences or loss, you shall be solely responsible for the same and the Exchange shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take the plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Client shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a commodity derivatives being traded on the Exchange. It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by FMC from time to time and circulars as may be issued by the Exchange from time to time. The Exchange does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any member of the Exchange and/ or third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same. In considering whether to trade, you should be aware of or must get acquainted with the following:-

### **1. Basic Risks involved in the trading of Commodity Futures Contracts and other Commodity Derivatives Instruments on the Exchange.**

i. Risk of Higher Volatility Volatility refers to the dynamic changes in price that commodity derivative contracts undergo when trading activity continues on the Commodity Exchange. Generally, higher the volatility of a commodity derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded commodity derivatives contracts than in actively traded commodities/ contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in real losses. ii. Risk of Lower Liquidity

a. Liquidity refers to the ability of market participants to buy and/ or sell commodity derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/ or sell commodity derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for commodity derivative contracts purchased or sold. There may be a risk of lower liquidity in some commodity derivative contracts as compared to active commodity derivative contracts. As a result, your order may b. because in such a situation, commodity derivative contracts may have to be squared-off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such commodities. iii. Risk of Wider Spreads a. Spread refers to the difference in best only be partially executed, or may be executed with relatively greater price difference or may not be executed at all. Buying/ Selling without intention of giving and/ or taking delivery of certain commodities may also result into losses buy price and best sell price. It represents the differential between the price of buying a commodity derivative and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid commodities/ commodity derivatives contracts. This in turn will hamper better price formation. iv. Risk-reducing orders a. Most of the Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc. Placing of such orders (e.g. "stop loss" orders or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

b. A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that commodity derivatives contract. c. A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the client received price protection, there is a possibility that the order may not be executed at all. d. A stop loss order is generally placed "away" from the current price of a commodity derivatives contract, and such order gets activated if and when the contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the contract approaches pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a contract might penetrate the predetermined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order. Risk of News Announcements a. Traders/Manufacturers make news announcements that may impact the price of the commodities and/or commodity derivatives contracts. These announcements may occur during trading and when combined with lower liquidity and higher volatility may suddenly cause an unexpected positive or negative movement in the price of the commodity/ commodity

derivatives contract. Risk of Rumors a. Rumors about the price of a commodity at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumors. System Risk a. High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation. b. During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in execution of order and its confirmation.

c. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a commodity due to any action on account of unusual trading activity or price hitting circuit filters or for any other reason. viii. System/ Network Congestion a. Trading on the Exchange is in electronic mode, based on satellite/ leased line communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

**2. As far as Futures Commodity Derivatives are concerned, please note and get yourself acquainted with the following additional features:- Effect of "Leverage" or "Gearing": a. The amount of margin is small relative to the value of the commodity derivatives contract so the transactions are 'leveraged' or 'geared'.**

Commodity Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in commodity derivatives contracts and also trade with caution while taking into account one's circumstances, financial resources, etc.

b. Trading in Futures Commodity Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading on the next day.

c. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate/square-up a part of or the whole position. In this case, you will be liable for any losses incurred due to such square-up/ Close Outs.

d. Under certain market conditions, an Investor may find it difficult or impossible to execute the transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

e. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

f. You must ask your Member of the Exchange to provide the full details of the commodity derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

**3. TRADING THROUGH WIRELESS TECHNOLOGY OR ANY OTHER TECHNOLOGY: Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology or any other technology should be brought to the notice of the client by the member.**

#### 4. General

i. Deposited cash and property: You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.

ii. Commission and other charges: Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss. iii. For rights and obligations of the Members/Authorized Persons/ clients, please refer to Annexure 3

iv. The term 'Constituent' shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the commodity derivatives through the mechanism provided by the Exchange.

v. The term 'member' shall mean and include a Trading Member or a Member/Broker, who has been admitted as such by the Exchange and got a Unique Member Code from FMC.

Client Name	
Signature of Client	



## 20. Rights and Obligations & Voluntary Terms and Conditions

### Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depository General Clause

1) The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2) The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### Beneficial Owner information

3) The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4) The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### Fees/Charges/Tariff

5) The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"

6) In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7) The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### Dematerialization

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

### Separate Accounts

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

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

### Transfer of Securities

11) The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12) The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

### Statement of account

13) The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

14) However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

15) The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

16) In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

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

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

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

## **Default in payment of charges**

19) In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20) In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

## **Liability of the Depository**

21) As per Section 16 of Depositories Act, 1996,

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

## **Freezing/ Defreezing of accounts**

22) The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23) The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

## **Redressal of Investor grievance**

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

## **Authorized representative**

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

## **Law and Jurisdiction**

26) In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.



27) The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28) The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29) Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30) Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31) If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

## VOLUNTARY TERMS AND CONDITIONS (EQUITY & COMMODITY)

Whereas the client intends to open securities/commodities trading accounts with KSN Credence, (hereinafter referred as KSN) for the purpose of trading in Capital Market Segment, Futures & Options and Currency Derivative Segments and Commodities Futures & Options of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., the Metropolitan Stock Exchange of India Limited, Multi Commodity Exchange, National Commodity & Derivatives Exchange Limited and Mutual Fund transactions Facilities offered by Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by KSN and also the additional services that may be made available by KSN from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. Authorization to debit additional charges with regard to Trading and Demat Account: Without prejudice to the other rights and obligations of the parties, the client understands and agrees that KSN may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account / Counter Demat account for any service rendered by KSN and as may be required by the Client, and recover from the Client all reasonable costs, as maybe incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with KSN Credence.

2. Lien: All securities, commodities funds and/or properties (Any assets available with KSN) of the Client as may be permitted by the Exchange(s) from time to time to be placed with KSN shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of KSN. KSN shall be entitled to withhold such securities, commodities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, commodities, funds or properties at its sole discretion & at any point of time, without notice to client.

3. Authorization for delivering / pledging shares: The client understands and agrees that KSN may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of KSN to enforce, at its option, the collateral security in the securities to recover the debit balance at any time.

4. Authorization for Inter segment fund balance transfer and stock transfers: The client hereby authorizes KSN to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment including commodities segment to its ledger account in any other segment including commodities segment or to transfer any stock purchased/lying

in its account in any segment including commodities segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of KSN.

5. Disclaimer: The Client understands and agrees that neither KSN nor any other party disseminating any market data, message or information through the Website of KSN or in any other media shall be liable for:

- (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
- (b) 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 KSN 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 KSN or any disseminating party.

6. Manner/Mode of placing orders/instructions & Non-execution/delay/cancellation of Orders: The Client may communicate orders and other instructions to KSN or the sub-broker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. The client hereby agrees that KSN 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 online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading beyond the control of KSN or the Exchange.

7. Client not to act on representations of agents, employees: Client is aware that KSN 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 KSN.

8. Recording of Conversation: The client is aware and agrees that KSN may tape record the conversation between the client/client's representative and KSN, whether over the telephone or in person, as per applicable laws, rules and regulation s of SEBI/ Exchanges. KSN may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.

9. Confidentiality of Client Details: KSN may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by KSN to any person or entity including but not limited to any independent third parties or any entities of KSN Group, whether within or outside India, of any information and data relating to Client or rela ting to Client's trading account with KSN for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.

10. Disclosure as to Proprietary Trades by KSN: KSN may carry out proprietary trades in addition to trades on behalf of its Clients. download from the back office web site or by delivery of a hard copy). Client's failure to advice KSN of such a difficulty shall amount to valid delivery and viewing of the document by the Client.

18 Electronic Transmission of other Documents: The Client who have opted for ECN agrees that KSN may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices / communications document mandated by SEBI/Stock Exchange/Depository in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, KSN shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of KSN within reasonable time from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.

19 Electronic Payment Gateway for Net Banking Services: KSN may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with KSN. Client understands that KSN is only providing access to the electronic fund transfer facility provided by the banker of the Client through KSN's website 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 thereout. Client undertakes not to make KSN 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 t hat KSN's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Clie n t's account with the Bank.

20 Internet / Wireless Technology based Trading facility:

17.1. KSN offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond issues or any other issues of securities or services to apply/purchase/redeem/ sale/buyback or otherwise deal in the units of Mutual Funds (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to KSN over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by KSN by complying with the formalities prescribed therefore.

17.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as KSN may notify, the facility may be deactivated without notice and the

Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of KSN

11. Severance: In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.

12. No Waiver: No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.

13. Notices: All notices or communications issued by KSN shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:

13.1 (a) By ordinary post or (b) By registered post or (c) By express delivery post or (d) by SMS on registered mobile or by telephonic call or (e) By affixing it on the door at the last known business or residential address or (f) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (g) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (h) By publishing it on the website of KSN wherein secured log-id and password to Client is provided or (i) By a notice posted on the notice board of the Exchange if no address be known or (j) By electronic mail or fax or (k) By hand delivery or By Courier or any other approved mode as may be allowed for communication.

13.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between KSN and the Client may be made orally.

14. Electronic Contract Note (ECN):

14.1. Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing KSN in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent.

17.1 The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform KSN either in writing or via E-mail within reasonable time of the receipt of the same. KSN shall also publish the Contract Note on the Web site [www.ksncredence.com](http://www.ksncredence.com) or on any other designated location specified by KSN from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, KSN may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available 17.3. The client understands and agrees that KSN has different product of the Internet Trading /Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, KSN shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

17.4. Orders of Client subject to review by KSN: The Client agrees that the KSN may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client's order or may result in rejection of such order."

21 Extra Ordinary Events and termination/suspension of trading facility: KSN will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond KSN's control resulting in non- execution, partial or incomplete execution of orders and the resulting financial loss, if any KSN 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.

22 Amendments to the terms and conditions: KSN reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.

23 Mutual Fund Service System Facility / BSE Star MF: Client is registered with KSN Credence and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). In case client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities). Know Your Client details as submitted by the client for the stock Credence Commodity Trading shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure 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). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy). Client is aware that he/she can transact directly with the AMC without recourse to Distributor's name at any time under the folio(s) tagged with the Distributor's name /broker code. The Client agrees and authorizes KSN as distributor of mutual funds



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to communicate on his/her behalf with the AMCs for financial and /or non-financial transactions including for receiving investment details from the AMC.

24 Parties agree that all claims, differences or disputes between them, arising out of or in relation to this mandatory and voluntary client / registration document, any dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.

<b>Client Name</b>	
<b>Signature of Client</b>	

## **21. GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS & ADDITIONAL - VOLUNTARY TERMS AND CONDITIONS ( COMMODITY**

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

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

### **TRANSACTIONS AND SETTLEMENTS**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
  - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

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

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker,

particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

## DISPUTES/ COMPLAINTS

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

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

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

## ADDITIONAL - VOLUNTARY TERMS AND CONDITIONS ( COMMODITY)

### 1. Setting up of Exposure Limits:

1.1. KSN may sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of funds / securities / bank guarantees / fixed deposit receipts. KSN at its sole discretion may refuse to accept any security as collateral/margin. KSN shall from time to time publish a list of securities which would be acceptable as collateral / margin. In setting exposure limits for the Client, KSN shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of KSN and such other factors or conditions which KSN may consider relevant for the purpose. KSN reserves liberty to vary the trading / exposure limits of the Client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions bearing on the risk profile of the Client.

1.2. Neither KSN, nor any affiliate of KSN nor their respective directors, officers, employees, agents shall in any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees and expenses) arising from any variation or reduction of exposure or turnover limits by KSN.

2. Client to have a Mobile connection: Client agrees to have a mobile connection as a pre-condition to opening & maintaining the a/c with KSN & undertakes to notify KSN promptly whenever he/she/it obtains a new mobile connection in replacement of a mobile previously notified to KSN

3. Aggregation of open market positions of the Client by the Exchange: Client agrees that if the Exchange directs / advise KSN to reduce the exposure of the Client in any outstanding open interest in any contract, because the market exposure of the client in the contract, individually, or taken together with that of related parties, exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of KSN in the contract, KSN may square off the open market positions of the client in the contract as directed by the Exchange. client also agrees that, though KSN may on a best effort basis inform the client of the direction given by the Exchange, it is under no obligation to inform the client and/or obtain client's consent prior to squaring off the positions under this clause and all losses, if any, arising from such squaring off shall be to the account of the client.

4. Payment of Full Contract Value: Client agrees to pay KSN for all open buy positions, excepting both side option contract positions, full contract value less the free surplus fund of the client, if any, already with KSN, one day prior to the commencement of the tender period for the respective contract, and if that day is a bank holiday, on the day immediately preceding that day which is bank working day. If the Client makes a default in making payment as above, KSN at its discretion may square off all or part of the open positions of the Client and all and any losses arising thereout shall be to the account of the client.

5. Execute / Self / Wash / Match trades: Orders of buy and sell placed at such rates and within such time intervals / frequencies, and particularly in contracts considered illiquid, may be rejected or cancelled by KSN without prejudice to its other rights to impose penalty on the client and/or deregister the client. KSN may also report such instances to the Exchange or the Regulator for appropriate action at their end.

Note:- All the lines written above have been clearly read by me and I accept all the policies of the exchange regulator and the company and I am fully aware of the financial losses in the stock market and commodity market. I also agree to receive

contract notes and activity notes related to online trading, I don't want any call from office staff and inform me about my trading in any way as I am able to view all trading details through email id Therefore, the trading account should be sent to me only by email and not in any other way. If any loss and profit is received in future trading, then the customer will be solely responsible for that, therefore I will not be entitled to demand any kind of damages on the stock broker company or exchange or SEBI in this regard

I/We hereby state & confirm that I have read & understood the terms & conditions as mentioned above & agree to abide by the same.

For KSN Credence Commodities Trading Pvt. Ltd.

## **RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED TO CLIENTS (VOLUNTARY)**

1. KSN is permitted to extend MTF to the clients on such terms and conditions as specified by the Stock Exchanges / SEBI from time to time and as mutually agreed by and between KSN and the Clients. This Rights and Obligation comprises the terms and conditions applicable to MTF and KSN and clients shall abide by the same and any other requirements of the margin trading framework, including other rights and obligations, if any, prescribed by the Stock Exchange/ SEBI/ KSN from time to time. Any modifications to the terms and conditions, other than those prescribed by SEBI/Stock Exchanges, shall be intimated to the Clients giving 15 days' notice in advance.
2. Equity Shares that are classified as 'Group I Security' by SEBI only shall be eligible for MTF. KSN, at its discretion, may not provide funding under MTF to certain equity shares though classified to be "Group I Security" by SEBI. Equity shares shortlisted by KSN for funding (Approved List) shall be as displayed on KSN's trading website from time to time.
3. Initial margin, increased margin, margin shortage, margin calls, maximum allowable exposure, maximum stock specific exposure, trade confirmation, square off intimation and such other information in relation to MTF shall be communicated to the Clients electronically through one or many or all of the following modes, viz email, SMS, WhatsApp, mobile notifications, and additionally through telephone calls.
4. In order to avail of margin facility, the minimum initial margin required to be provided by the Clients, as prescribed by SEBI/Stock Exchanges, is as under:  
VaR + 3 times of applicable ELM in case of F & O Stocks (i.e., stocks available for trading in the F&O Segment).  
VaR + 5 times of applicable ELM in case of stocks other than F & O Stocks.  
VaR and ELM shall mean VaR and ELM as applicable to respective stocks in the cash segment.
5. Client shall be required to provide the minimum initial margin as applicable for a particular stock to buy that stock under MTF. The margin shall never be lower than that prescribed by the Stock Exchange/SEBI. However, KSN shall have the right to demand a higher initial margin than the margin prescribed by SEBI/Stock Exchanges.
6. Subject to the initial margin as aforesaid, KSN may, at its sole and absolute discretion, revise and increase from time to time the margin required for any stock permitted to be traded under MTF. Where client has exposure in the stock in respect of which margin has been revised but does not already have sufficient credit in the account to meet increase in margin, Client shall pay margin found short within the time prescribed for making margin payment.
7. Applicable minimum initial margin, increased margin, margin shortfall, if any, can be paid in the form of cash, cash equivalent, or Group I equity shares with appropriate hair cut as specified in SEBI Master Circular No. SEBI/HO/MRD/DP/CIR/P/2016/135, DTD. 16/12/2016. Client shall have the right to change collateral securities provided under the MTF with other collateral securities provided that such other collateral securities are approved and sufficient to meet the margin required.
8. Margin requirement on shares purchased under MTF shall be computed by grossing applicable margin i.e., minimum initial margin plus increased margin, if any, on each stock and shortage computed accordingly by deducting available margin from gross margin. Collateral shares and shares purchased under MTF (Funded Shares) shall be marked to market daily for the purpose of computing the margin/shortage of margin.
9. Applicable minimum initial margin and increased margin, if any, shall be kept supplied at all times by the clients in respect of the stocks purchased under the MTF. Client shall pay any shortage in the required margin immediately on receiving demand (margin call) and in any case not later than 11.00 P.M on the trade day following the day of making the margin call (prescribed time) failing which KSN shall be at liberty to liquidate the funded shares and/or collateral shares to recover the dues outstanding in the account of the Clients. In case of extreme volatility in the market, KSN may demand payment of margin forthwith and prescribed time for making margin payment shall be construed accordingly. Decision of KSN in relation to market volatility shall be final and binding without KSN having to provide any reason for the decision to the Client.
10. If required margin is not provided within the prescribed time, Client shall be treated as client in margin default. KSN shall not be obliged to notify the client in margin default of the liquidation of shares, ahead of liquidation. KSN shall not be obliged to liquidate shares proportionate to the shortage in margin.
11. Client in margin default shall continue to be in margin default, until the required margin is furnished in full to eliminate the



shortage. Partial payment of margin or a change in the required margin shall not extend the time stipulated for making margin payment which will run from the time of making margin call to the Client.

12. In case margin is reduced by an amount equal to applicable ELM component of the total margin due to market volatility within a trading day (i.e., available margin becomes equal to or less than applicable VAR margin), KSN reserves the right to liquidate the collaterals and/or funded shares forthwith without prior notice to the client.

13. MTF Clients purchasing shares not specified in KSN Approved List of Group 1 securities shall be required to 100% margin upfront for such purchases.

14. If any shares are delisted from KSN Approved List, Client shall be required to make payment of full purchase consideration against such shares on receiving margin call within the prescribed time, failing which KSN shall be at liberty sell such shares without further notice to the Client.

15. If a client is debarred by orders of lawful authority from trading in the securities market, KSN shall liquidate collateral and funded shares of the client to recover its dues to the full extent forthwith.

16. In case of death of a client, KSN shall be entitled to liquidate the collateral and funded shares under MTF and recover the unpaid outstanding due. Any loss arising from liquidation of the shares shall be account of the Client. Client shall forthwith pay KSN any unpaid dues outstanding in the account after liquidation of the shares.

17. KSN reserves the right to withdraw MTF with respect to any Client without assigning any reason after giving a reasonable notice to the Client in which case dues if any outstanding in the account of the Client shall become payable immediately. Failure to make payment of the outstanding dues shall result in liquidation of collateral and/or funded shares held in Client's account.

18. Client may terminate the MTF account after paying all dues in the MTF account.

19. KSN shall not use the funds and securities of one client to provide MTF to another client, even on the authority of the client. 20. The stocks deposited as margin collateral and funded stock shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount.

21. KSN may at its option allow client to buy further shares under MTF on the basis of increase in the value of collateral shares, subject to applicable hair cut. Further purchase shall not be permitted on the basis of increase in the market value of funded shares.

22. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.

23. KSN shall restrict the maximum gross exposure as well as individual stock-wise exposure of a client under the MTF at any point in time according to its internal policies and market views without assigning any reasons to the client. Furnishing applicable margin shall not by itself entitle the client to seek exposure beyond the limit restricted by KSN.

24. Admitting clients for MTF shall be at the discretion of the Stock Broker/Trading Member. Clients request for admission to MTF may be disallowed without assigning any reason.

25. By agreeing to avail of MTF, the client shall be deemed to have authorized KSN to retain and/or pledge the shares purchased under MTF (funded shares) and collateral shares provided as margin till the amount due in respect of the purchase and all other dues are paid in full by the Client.

26. All outstanding dues under MTF shall carry interest @18% p.a, compounded at fortnightly rest.

27. Outstanding dues shall not be carried in the books beyond 90 days from the date of accrual and in case Client fails to pay up the dues within the said 90 days, collateral and/or funded shares shall be sold to liquidate the dues, even though applicable margin is available in the MTF account of the Client. For this purpose, 90 days shall be computed with respect to each debit entry in respect of purchases under MTF separately and liquidation shall be carried out accordingly. KSN shall have discretion to sell any stock/stocks to liquidate the outstanding dues older than 90 days.

28. Client shall be free to take delivery of the shares purchased under MTF anytime, but not later than 90 days, from the date of funding by making full payment of the outstanding dues in relation to the shares purchased.

29. Until full payment of the outstanding dues in the MTF A/c is made by the Client, collateral shares and funded shares, as far as may be required, shall be retained in the Demat A/c of KSN, separately identified as collateral shares and funded shares.

30. Daily margin statement sent to the MTF clients shall identify margin/collateral for MTF transaction separately.

31. MTF account where there is no transaction under MTF for more than 90 days shall be settled immediately on expiry of said 90 days provided there are no dues outstanding in the MTF account. Dues if any outstanding in the normal trading account shall be first adjusted against the settlement amount and the remainder shall be paid to the Client.

32. KSN shall declare and communicate to the Client risk management policies that it will follow with respect to MTF transactions. KSN may amend the policies from time to time according to its risk perceptions and inform the Clients of the amendments made.

33. Any disputes arising between the client and KSN in connection with the margin trading facility shall be resolved through the investor grievance redressal mechanism and/or arbitration mechanism of the stock exchanges as in the case of normal trades.

34. The Rights and Obligations prescribed hereinabove shall be read in conjunction with the rights and obligations as prescribed under SEBI circular No. CIR/ MIRD/ 16/ 2011 dated August 22, 2011, SEBI Circular No. CIR/MRD/DP/54/2017 Dtd. June 13, 2017, the Circulars relating to MTF issued by the respective Stock Exchanges, any modifications thereto from time to time and the Policies and Procedures prescribed by KSN and the terms and conditions of client's agreement with KSN. In case of any inconsistencies between the Rights and Obligations herein and the provisions in the aforesaid SEBI





and/or Stock Exchange Circulars, the later shall prevail to the extent of such inconsistencies.

I would like to avail of Margin Trading Facility and agree to the above Rights & Obligation

Client Name	
Signature of Client	

## 22. Authorisation for maintaining Running Account

I/We are dealing through you as a client in commodities and equity segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1- I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in /other future obligation(s) at any segment (s)of any or all the Exchange (s)/ Clearing corporation unless I/We instruct you otherwise.

2- I/We request you to settle my fund account.

(i) Once in calendar Month

(ii) Once in every Calendar Quarter except the funds given towards collaterals/ margin in form of bank Guarantee and fixed deposit receipt.

3- In case I/We have an outstanding obligation on the settlement date you may retain the requisite commodities/funds towards such obligations and may also retain the funds expected to the required to meet margin obligation for next 3 trading days, calculated in the manner specified by the exchanges.

4- I/We confirm you that will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/commodities or equity or settlement of account or statement related to it ,as the case may be at your registered office.

5- I/We confirm you that I can revoke the above-mentioned authority at any time.

**This running account authorisation would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below:**

Once in a Calendar Month	
Once in a Calendar Quarter	
Client Name	
Signature of Client	

23.

## DECLARATION OF SETTLEMENT

To,  
**Stockart**  
**Kazmi Chamber Park Road**  
**Hazratganj Lucknow-226001**

Sub- Regarding holding of minimum margin fund by the Member  
Sir/Ma'am

In respect of the above subject ,I provide some necessary instruction and permission to the member which are given below:  
1- Member can keep a deposit of maximum Rs. 9,999 in my trading account, If my trading account is not traded. For which through my member N.O.C is being provided, I have no objection to the member having my fund held in my own trading account.

2- I am instructing the member that the fund invested is mine and I am responsible for it's security. I am fully aware of the fluctuation of the market, so I am trading only by putting 100% margin of the commodity, please do not refund the rest of the fund to me by holding the minimum margin of the exchange by the company every 3 month. I have deposited this money in my trading account voluntarily, so unless I request to pay out by myself , none of fund should be returned

76, Saudagar Mohal Sadar,Lucknow, Uttar Pradesh

Kazmi Chambers (Second Floor), SF-01, 9A/5 Park Road Hazratganj,Lucknow - 226001, Uttar Pradesh

<b>Client Name</b>	
<b>Signature of Client</b>	

24.

## Undertaking Cum Authority Letter

To,  
**Stockart**  
**Kazmi Chamber Park Road**  
**Hazratganj Lucknow-226001**

Dear Sir/Madam,

I am dealing in securities with M/s KSN Credence Commodities Trading Pvt. Ltd. at National Stock Exchange of India Limited/ Bombay Stock Exchange Limited ('Exchange') and in order to facilitate ease of operation, I undertake and authorize you as under:

1. I authorize you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin provided to you by us.
2. I hereby authorize you not to provide me Order confirmation / Modification/Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paperwork. I shall get the required details from contract notes issued by you.
3. I hereby authorize you to keep all the securities which I give you in margin including the payout of securities received by us, for meeting margin / other obligation in stock exchange in whatever manner for meeting margin / pay - in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.
4. I hereby authorize you to retain credit balance in any of my account and to use the idle funds towards our margin/future obligations at any or both the Exchanges unless I instruct you otherwise. I also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I also authorize you to debit delayed payment charges upto 24% p.a. for the debit balances if any, in my account.
5. I request you to retain securities in your Demat account for my margin/future obligations at all Exchanges, unless I instruct you to transfer the same to my account.
6. I request you to consider my telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me all the confirmation on telephone unless instructed otherwise in writing. I will get required details from contracts issued by you.
7. Trading of all Exchanges is in electronic mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems/fault. I understand that the member reserves the rights of refusing to execute any particular transaction.
8. I confirm that I will never sublet the trading terminal on any term of connectivity, from my place to any other place without your prior approval.
9. I am agreeable for inter-settlement transfer of securities towards settlements.
10. I am agreeable for & authorize you to with-hold funds pay-out towards all the applicable margins and debits.
11. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.

Thanking You.

Yours Faithfully

Client Name	
Signature of Client	

## 25. Option for issuance of DIS booklet along with account opening

To be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker / Portfolio Manager and do not intend to open a Basic Services Demat Account

Client Name	
Date	
Pan	
I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.	
Signature of Client	

## 26. Request for updation of same mobile number / email id

Client Name	
Mobile No	
Email Id	

I hereby declare that the aforesaid mobile number belongs to :

I hereby declare that the aforesaid E-mail ID belongs to :

Signature of Client	
---------------------	--

## 27. Request for updation of same mobile number / email id

To,

**Stockart**

Kazmi Chamber Park Road

Hazratganj Lucknow-226001

Sub: Request for updation of same mobile number / email id

Dear Sir,

1. Mandate to issue contracts and statement of account in Electronic format I/We hereby agree and consent to accept the contract notes for transaction carried on by me/us with all of you or any one of you, in terms of the agreement entered into between us, us in electronic form, Electronic contracts issued by you as per the terms and conditions specified shall be binding on me, I/We undertake to check the contract notes and bring the discrepancies to your notice within 7 days of such issuance of contract notes. The instruction to issue, not-verification or not accessing the contract notes on regular basis shall not be reason for disputing the contract notes at any time. This instruction to issue Electronic contract note is applicable with immediate effect. This instruction is several to all parties mentioned above.

2. We authorize you for the following :

a. I/We hereby authorize you to send all my contract notes, bills and other delivery position, ledger and statement of account on my e-mail id as mentioned in KYC from.

b. I consent that non-receipt of bounced back mail notification by trading member amounts to delivery of contract notes. Also any change in the email ID shall be communicated by me/us through a physical letter to yourselves.

c. Transfer my/our debit/credit balance to my/our another account maintained in capital market / derivative segment with you.

d. I do not require separate confirmation slip for order/trade alteration/modification/cancellation/confirmation. Thanking You.  
Yours faithfully

<b>Client Name</b>	
<b>Signature of Client</b>	

## 28.

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.

2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/ SEBI.

3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.

5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.

7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.

8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.



# StockKart

9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.

10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/ Exchange end for any reason beyond the control of the stock broker/Exchanges.

Client Signature			
	First / Sole Holder	Second Holder	Third Holder
Signature of Client		NOT APPLICABLE	NOT APPLICABLE

## 30. Commodity Categorization

With reference to the SEBI Circular No. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 Dated, January 04, 2019, In order to enhance transparency to the public in Commodity Derivatives Markets and also as recommended by Commodity Derivatives Advisory Committee (CDAC), we request your consent for each Commodity on Self Declaration basis for the following to report to Exchange.

Sr. No.	Commodity	Client Category
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Client Name	
Signature of Client	

## 31. ECN DECLARATION

To,  
**StocKart**  
76, Saudagar Mohal Sadar, Lucknow, Uttar Pradesh

Dear Sirs,

I/We, \_\_\_\_\_ a client with M/s  
**StocKart**, Member of NSE/BSE/MCX undertake as follows.

- I/We am/are aware that the Member has to provide contract note in respect of all the trades placed by me unless I/We myself/ourself want the same in the electronic form.
- I/We am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me/us.
- I/We have access to a computer and I/We am/are regular internet user, having sufficient knowledge of handling email operations.
- My/our email ID is\*. This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English or any other language known to me
- I/We am/are aware that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the above e-mail ID.
- I/We am/are responsible to update, if any change in My Email ID will be intimated to **StocKart**

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

Client Name	
Email ID	
Signature of Client	

**32. CLIENT DECLARATION CUM UNDERTAKING**

'All the lines written above have been clearly read by me and I accept all the policies of the exchange regulator and the company and I am fully aware of the financial losses in the stock market and commodity market. I also agree to receive contract notes and activity notes related to online trading, I don't want any call from office staff and inform me about my trading in any way as I am able to view all trading details through email id . Therefore, the trading account should be sent to me only by email and not in any other way.

If any loss and profit is received in future trading, then the customer will be solely responsible for that, therefore I will not be entitled to demand any kind of damages on the stock broker company or exchange or SEBI in this regard"

'Digitally Signed by: '.

Signature of Client	
---------------------	--

# StockKart

Invest Money To Make The Future!!

## CORPORATE OFFICE

Kazmi Chambers (Second Floor), SF-01, 9A/5 Park Road Hazratganj,  
Lucknow-226001 Uttar Pradesh  
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Ph : 0522-4026981