

Client Registration Form (Trading Account)

• NSE • BSE • MSEI

NAME : _____

PAN NO. : _____

DPID : _____

CLIENT ID : _____

UCC NO. : _____



SS CORPORATE SECURITIES LIMITED

NDM 2, Block D, 3rd Floor, Netaji Subhash Place,
Pitam Pura, Delhi-110034

Tele. : 91 11 4700 3600 (30 Lines), Fax : 91 11 4700 3601

Website : www.sscorporate.com

WELCOME LETTER

M/s SS Corporate Securities Limited
NDM 2, Block D, 3rd Floor,
Netaji Subhash Place,
Pitam Pura, Delhi-110034

Dated _____

I/We hereby confirm:

1. That I/We have received photocopy of the Client Registration Form (KYC), Rights & Obligations, Guidance note, Policies & Procedures. Risk Disclosure Document and other 3 Voluntary Documents executed by me/us.
2. That Unique Client Code allotted to me/us is _____ and Email ID furnished by me/us is _____.
3. That I/We have been informed by you that you do client based trading & PRO Account trading.

Signature of Client:  _____

FOR OFFICE USE ONLY

IN PERSON VERIFICATION : Details of person doing verification

Name : _____

Designation _____

Signature : _____

Date : _____ Place : _____

Disclosure Information

In compliance to **SEBI circular reference No SEBI/MRD/SE/Cir-42/2003 dated 19.11.2003** and **NSE circular reference No NSE/INVG/PRE/2003/16 dated 25.11.2003** and **BSE circular reference No 20031125-7 dated 09.09.2003**

This is to inform you that we do client based trading and Pro-account trading in National Stock Exchange of India Ltd/ Bombay Stock Exchange Ltd. (BSE) / Metropolitan Stock Exchange of India Ltd.

NOTE : IF ANY INFORMATION REQUIRED TO BE GIVEN DOES NOT FIT IN THE FORM, AN ANNEXURE MAY BE USED.

Instruction to the Applicants for opening a Trading Account:

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

MANDATORY

Sr. No	Document to be Filled & Signed
1.	Know Your Client (Individual)
2.	Know Your Client (Non-Individual) HUF
3.	Know Your Client (Non-Individual)

NON MANDATORY

Sr. No	Document to be Filled & Signed
1.	Running Account Authorization
2.	Letter of Authority
3.	Authorization for Funds/Securities Transfer/Adjustment in Family Accounts

Pages to be signed	
For Individual	(i),(v),1,2,3,15,17,22,23,25,26,27,28,29,31
For Non-Individual	(i), (v),1,2,3,5,6,7,8,9,11,14,15,17,22,23,25,26,28,29,31

PLEASE DO NOT USE CORRECTION FLUID ON THE KYC KIT

INDEX

S.no	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	1-14
2	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	19-25
3	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	26
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES – to be provided to applicant			
4	Rights and Obligations of Stock brokers, Sub broker and Client	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	
5	Risk Disclosure Documents (RDD)	Document detailing risks associated with dealing in the securities market.	
6	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7	Running account Authorization	Document authorize member to maintain a running balance	27
		ECN	28
9	Consent for Availing the NSE-MFSS and BSE Star MF Facility	Document for availing the NSE-MFSS and BSE Star MF facility	31

All Financial Proof/Documents/Declaration subject to the Renewal of each and every year.

SS CORPORATE SECURITIES LIMITED

Exchange	Segment	SEBI Registration No.	Date
NSE TMID-07538	CASH	INZ 000219533	26/07/1995
	F&O	INZ 000219533	20/12/2001
	CDS	INZ 000219533	16/09/2008
BSE TMID-3268	CASH	INZ 000219533	04/12/2008
	F&O	INZ 000219533	14/08/2009
MSEI	CDS	INZ 000219533	01/06/2010

Registered office address: **NDM 2, Block D, 3rd Floor, Netaji Subhash Place, Pitampura, Delhi-110034**
 Ph: **91 - 11 - 4700 3600 (30 Lines)**, Fax: **91 - 11 - 4700 3601**
 Email: info@sscorporate.com Website: www.sscorporate.com

Correspondence office address: **NDM 2, Block D, 3rd Floor, Netaji Subhash Place, Pitampura, Delhi-110034**
 Ph: **91 - 11 - 4700 3600 (30 Lines)**, Fax: **91 - 11 - 4700 3601**
 Email: info@sscorporate.com Website: www.sscorporate.com

Compliance officer details:

Name: **Rajesh Gupta**

Phone No. : **91-11- 4700 3602/4700 3632**

Email Id: rajesh@sscorporate.com

CEO details:

Name: **Harshit Singhal**

Phone No. **91-11-47003600**

Email Id: harshit@sscorporate.com

For any grievance/dispute please contact stock broker SS Corporate Securities Ltd. at the above address or email id- investorgrievance@sscorporate.com and Phone no. 91-11-4700 3600 (30 Lines)
 In case not satisfied with the response please contact the concerned exchange(s) at

Exchange	Email ID	Phone No
National Stock Exchange of India Ltd	ignse@nse.co.in	022-26598190
BSE Ltd.	is@bseindia.com	022-22728097
Metropolitan Stock Exchange of India Ltd.	investorcomplaints@msei.in	022-61129000

NOTE:- WE DO NOT ACCEPT CASH, DRAW YOUR CHEQUE IN FAVOUR OF "SS CORPORATE SECURITIES LIMITED"

CONSENT FOR AUTHENTICATION

(AADHAAR, KRA & CKYC Fetch)

Date : __ __ / __ __ / __ __ __ __

To,
SS CORPORATE SECURITIES LTD
NDM 2, Block D, 3rd Floor
Netaji Subhash Place
Pitampura Delhi-110034

I/We _____

PAN No- __ __ __ __ __ __ __ __ __ __ give my/our consent to download/fetch KYC Record from the Central KYC Registry (CKYCR) and/or KYC Registration Agencies (KRA) only for the purpose of verification of identity and address from the database of CKYCR Registry and/or KRA as per the regulatory requirement of KYC compliances by SEBI registered Intermediaries.

I, the holder of Aadhar Number __ __ __ __ __ __ __ __ __ __, hereby give my consent to SS Corporate Securities Ltd to obtain my Aadhaar Number for authentication with UIDAI. I understand that the Biometrics and/or OTP I provide for authentication shall be used only for authenticating my identity through the Aadhaar Authentication system for that KYC purpose and for no other purposes.



(Signature)

Client Name _____

Know Your Client (KYC)**Application Form (For Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

....Exploring New Horizons

**SS Corporate Securities Limited**

Application Number: _____

Application Type*: ☐ New KYC ☐ Modification KYC**KYC Mode*:** Please Tick (✓)☐ Normal☐ EKYC OTP☐ EKYC Biometric☐ Online KYC☐ Offline EKYC☐ Digilocker**1. Identity Details** (please refer guidelines overleaf)

PAN* _____

Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name+ (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender*

☐ Male☐ Female☐ Transgender

Marital Status*

☐ Single☐ Married

Nationality*

☐ Indian☐ Other _____

Residential Status*

☐ Resident Individual☐ Non Resident Indian

Please Tick (✓)

☐ Foreign National☐ Person of Indian Origin+(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the individual)Recent passport size
Applicant Photo

Cross Signature across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐

A — Aadhaar Card

XXXX XXXX _ _ _ _

(Expiry Date) _____

☐

B — Passport Number

☐

C — Voter ID Card

☐

D — Driving License

☐

E — NREGA Job Card

☐

F — NPR

☐

Z — Others

_____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)**A. Correspondence/ Local Address***

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District+ _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1*

Line 2

Line 3

City/

Town/Village*

District+

Pin Code*

State*

Country*

Address Type*

☐

Residential/Business

☐

Residential

☐

Business

☐

Registered Office

☐

Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)☐

A — Aadhaar Card

XXXX XXXX _ _ _ _

☐

B — Passport Number

(Expiry Date)

☐

C — Voter ID Card

☐

D — Driving License

(Expiry Date)

☐

E — NREGA Job Card

☐

F — NPR Letter

☐

Z—Others

(any document notified by Central Government)

Identification Number

3. Contact Details (in CAPITAL)

Email ID*

Mobile No. *

Tel (Off)

Tel (Res)

4. Applicant Declaration

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

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

DATE: _____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN

Applicant Wet Signature

5. For Office Use Only

In-Person Verification (IPV) carried out by*

Intermediary Details*

IPV Date

Emp. Name

Emp. Code

Emp. Designation

☐

Self certified document copies received (OVD)

☐

True Copies of documents received (Attested)

AMC / Intermediary Name :

SS Corporate Securities Limited

Employee Signature and Stamp

Institution Name and Stamp

PAN Trading DP Code

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

Net Worth **Amount Rs.**..... Net Worth as on

(Net worth should not be older than 1 year)

Occupational ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
Detail ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐ Not a Politically Exposed Person (RPEP) ☐

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

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

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform SS Corporate Securities Limited for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Sign here : (I) 

Date :

Place :

For Investor convenience, SS Corporate Securities Limited collecting this mandatory information for updating across all Group Companies of SS Corporate Securities Limited whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest SS Corporate Securities Limited branch or you can dispatch the hard copy to-

SS Corporate Securities Limited
NDM 2, Block D, 3rd Floor, Netaji Subhash Place,
Pitam Pura, Delhi-110034

General Instructions:

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

A Clarification / Guidelines on filling 'Personal Details' section

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

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

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

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

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

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

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

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

Document Code	Description
---------------	-------------

1. Gross Annual Income Details Please Tick ()
- 01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- ☐ Below ₹ 1 Lac ☐ ₹ 1-5 Lac ☐ ₹ 5-10 Lac ☐ ₹ 10-25 Lac ☐ ₹ 25 Lac - 1 Crore ☐ ₹ More than 1 Crore

2. Net-worth (Net worth should not be older than 1 year) Amount ₹ _____ as on (date) / /

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

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

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

F Clarification / Guidelines on filling 'Contact details' section

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

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

- 1 Provide KYC number of related person if available.

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

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

A. FINANCIAL DETAILS

1. Gross Annual Income Details (Please Specify) income range per annum:

Below ₹1 Lac ☐ ₹1-5 Lac ☐ ₹5-10 Lac ☐ ₹10-25 Lac ☐ More than ₹25 Lacs ☐

OR

Net-worth (Net worth should not be older than 1 year) Amount ₹ _____ As on Date _____

2. Occupation (Please tick any one and give brief details) :

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired
☐ Housewife ☐ Student ☐ Others (Please specify) _____

B. BANK ACCOUNT(S) DETAILS (attach proof)

Bank Name (1) _____
 Branch Address _____
 City _____ PIN Code _____
 State _____ Country _____
 Bank Account No. _____
 Account Type ☐ Saving ☐ Current ☐ Others - In case of ☐ NRI ☐ NRE ☐ NRO
 MICR Number _____ IFSC Code _____

Bank Name (2) _____
 Branch Address _____
 City/Town/Village _____ PIN Code _____
 State _____ Country _____
 Bank Account No. _____
 Account Type ☐ Saving ☐ Current ☐ Others - In case of ☐ NRI ☐ NRE ☐ NRO
 MICR Number _____ IFSC Code _____

C. DEPOSITORY ACCOUNT(S) DETAILS (attach proof)

Depository Participant Name (1) _____
 Depository Name ☐ NSDL DP ID _____ BO ID _____
☐ CDSL DP ID _____ BO ID _____
 Beneficiary Name _____
 Depository Participant Name (2) _____
 Depository Name ☐ NSDL DP ID _____ BO ID _____
☐ CDSL DP ID _____ BO ID _____
 Beneficiary Name _____

D. TRADING PREFERENCES

Exchange	NSE & BSE		
All Segment <input type="checkbox"/>	Cash/ Mutual Fund <input type="checkbox"/>	F&O <input type="checkbox"/>	Currency <input type="checkbox"/>
If you do not wish to trade in any of the segments / Mutual Fund, Please mention here:			

D. PAST ACTIONS

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

1. _____
2. _____
3. _____

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

◆ If Client is dealing through the sub-broker, provide the following details:

Sub-broker's Name _____ SEBI Regn. No. _____
Registered Office Address _____
City/Town/Village _____ PIN Code _____
State _____ Country _____
Phone _____ Fax _____ Website _____

◆ Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker _____
Name of Sub-broker (if any) _____
Registered Office Address _____
City/Town/Village _____ PIN Code _____
State _____ Country _____
Client Code _____ Exchange _____
Details of disputes/dues pending from/to such stock broker/sub broker _____

F. ADDITIONAL DETAILS

- ◆ Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)
☐ Physical Contract Note ☐ Electronic Contract Note
- ◆ Specify your Email id, if applicable _____
- ◆ Whether you wish to avail the facility of internet trading/ wireless technology (please specify) ☐ Yes ☐ No
- ◆ Number of years of Investment/ Trading Experience Years ☐
- ◆ In case of non individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of ☐ Company ☐ Firm ☐ Others _____
- ◆ Any other information _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer _____
Status of the Introducer ☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Others, please specify _____
Address of Introducer _____
City/ _____ PIN Code _____
State _____ Country _____
Phone No. _____

H. NOMINATION DETAILS (for Individuals only)

☐ I/We wish to nominate ☐ I/We do not wish to nominate

Name of the Nominee _____

Relationship with the Nominee _____

PAN of Nominee _____ Date of Birth of Nominee _____

Address of Nominee _____

City/ _____ PIN Code _____

State _____ Country _____

Phone No. _____

If Nominee is a minor, details of guardian

Name of Guardian _____

Address of Guardian _____

City/ Town/ Village _____ PIN Code _____

State _____ Country _____

Phone No. _____

Signature of Guardian _____

WITNESSES (Only applicable in case the account holder has made nomination)

1st Witness

Name _____

Signature _____

Address _____

_____ PIN Code _____

2nd Witness

Name _____

Signature _____

Address _____

_____ PIN Code _____

DECLARATION

1. 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.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.

Place _____

Date _____



Signature of Client/ (all) Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client _____

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

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

Signature of the Authorised Signatory _____

Date _____

Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST

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

- | | |
|--|---|
| <ul style="list-style-type: none"> • Copy of ITR Acknowledgement • In case of salary income - Salary Slip, Copy of Form 16 • Copy of demat account holding statement. • Any other relevant documents substantiating ownership of assets. | <ul style="list-style-type: none"> • Copy of Annual Accounts • Net worth certificate • Bank account statement for last 6 months • Self declaration with relevant supporting documents |
|--|---|

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For Individuals

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

5. For Non-Individuals

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

POLICIES AND PROCEDURES AS PER SEBI CIRCULAR NO. MIRSD/ SE /CIR-19/2009 DATED 3 DEC, 2009**1. Refusal of orders for penny/illiquid stock**

The stock broker may from time to time limit (quantity/value)/refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker/exchange(s) /SEBI. Provided further that stock broker may require compulsory settlement/advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance/placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone. The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market level limits in security specific/volume specific exposures etc.) , and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The stock broker is required only to communicate/ advise the parameters for the calculation of the margin/security requirements as rate(s)/percentage(s) of the dealings, through anyone or more means or methods such as post speed

post/courier/registered post/registered A.D./facsimile/ telegram/cable/e-mail/ voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department/the courier company /newspaper company and the e-mail/voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever and once parameters for margin/security requirements are so communicated, the client shall monitor his/her/its position (dealings/trades and valuation of security) on his/her/its own and provide the required/deficit margin/security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and /or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin/security and that it shall be his/her/its responsibility to ascertain beforehand the margin /security requirements for his/ her /its orders/trades/ deals and to ensure that the required margin/security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she/it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) &/or any claim /loss/ damage arising out of the non availability /shortage of margin /security required by the stock broker &/or exchange &/or SEBI.

The stock broker is entitled to vary the form (i.e., the replacement of the margin/security in one form with the margin/security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin &/or security required to be deposited/made available, from time to time.

The margin/security deposited by the client with the stock broker are not eligible for any interest.

MANDATORY

The stock broker is entitled to include/appropriate any/all payout of funds &/or securities towards margin/security without requiring specific authorizations for each payout.

The stock broker is entitled to transfer funds &/ or securities from his account for one exchange &/or one segment of the exchange to his/her/its account for another exchange &/or another segment of the same exchange whenever applicable and found necessary by the stock broker.

The client also agrees and authorises the stock broker to treat/adjust his/ her/its margin/security lying in one exchange &/or one segment of the exchange/towards the margin/security/pay in requirements of another exchange &/or another segment of the exchange.

The stock broker is entitled to disable/freeze the account &/or trading facility/any other service. facility, if, in the opinion of the stock broker, the client has committed a crime/fraud or has acted in contradiction of this agreement or/is likely to evade/violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. Applicable brokerage rate

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

- a. For Cash Market Segment: The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale/purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- b. For Option contracts: Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby clarified that brokerage charged on options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

4. Imposition of penalty/delayed payment charges

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at such rates not exceeding 2% p.m. as may be determined by the stock broker. The client agrees that the stock broker may impose fines/penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/rules/regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client. The client agrees to pay to the stock broker brokerage,

commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment/backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account/transactions/ services that the client avails from the stock broker.

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

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortages at the exchange or stock broker level/non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions/square off/closing outs etc., shall be solely to the account of the client and the

client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

In case the payment of the margin/security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin /security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin/security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the

MANDATORY

client agrees to bear all the losses based on actual executed prices. In case open position (i.e. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

The stock broker is entitled to prescribe the date and time by which the margin/security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin/security expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/margins/ securities pay in obligations for the orders/trades/deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- i. To withhold any payout of funds/securities.
- ii. To withhold/disable the trading/dealing facility to the client.
- iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery/receipt.
- iv. To liquidate/square off partially or fully the position of sale &/or purchase in anyone or more securities/contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- v. To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

6. Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/ its obligations first.

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

- a. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.

- b. If securities cannot be purchased from market due to any reason whatsoever on T+3 day they can be covered from the market on any subsequent trading days. In case any reason whatsoever (any error or omission) any delay in covering of securities leads to higher losses, stock broker will not be liable for the same. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day

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

We have margin based RMS System. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/ shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin/non making of payment for their pay-in obligation/outstanding debts.

8. De-registering a client

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

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

MANDATORY

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended/changed unilaterally by the broker, provided the change is informed to me/us with through anyone or more means or methods such as post/speed post/courier/registered post/registered AD/facsimile/telegram/cable/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/ television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department/the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/ difference or claim between me/ us and stock broker before any court of law/judicial/adjudicating authority including arbitrator/ mediator etc.

- vi. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- vii. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- ix. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- xi. If the Client is in breach of any term, condition or covenant of this Agreement;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However notwithstanding any termination of the agreement, all transactions made under/pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

9. Policy regarding treatment of inactive accounts:

When Trade is not done in an account for more than 12 months, Stock Broker reserves the right to temporary suspend the operations. The Management may allow operations in such account after making such verification as it deems fit. The balance of securities/funds will be transferred to client after due verification.

For and On Behalf of Constituent



Client Signature

Name : _____

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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



Client Signature

Name : _____

FACILITY FOR VOLUNTARY FREEZING/ BLOCKING THE ONLINE ACCESS OF THE TRADING ACCOUNT

(Not applicable to clients who do not have online trading access with SS Corporate Securities Ltd)

Introduction

In order eliminate risk of suspicious activities in clients trading accounts and to enhance ease of doing business & ease of investment. We do hereby inform and notify you that we have made a policy for voluntary freezing/blocking the online access of the trading accounts through which Client may request to freeze/block the online access of his/her trading account on account of suspicious activities, in compliance of SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated 12-Jan-2024 & NSE Circular No. 24/2024 dated 08-Apr-2024. The policy for the facility of voluntary freezing/blocking of trading accounts by clients is a significant measure implemented to enhance the security and integrity of the trading environment. This policy allows clients to proactively safeguard their trading account against unauthorized access or potential fraudulent activities. Under this framework, clients have the autonomy to request the freezing or blocking of their online trading account access. This can be particularly useful in scenarios where they suspect suspicious activities or as a precautionary step when they will not be trading for an extended period.

Mode of communication

The process for initiating a freeze/block online access of the trading accounts is typically straight forward and client-centric. Clients may request either through the following options to freeze/block their trading account:

Option A: Clients can send an email to **stoptrade@sscorporate.com** from their registered email ID. Upon receipt of the email, we will call the client on their registered mobile number to confirm the request. The client must accept the call and complete the necessary confirmation steps.

Option B: Clients can call on the number 011-47003670 to initiating a freeze/block online access of the trading accounts.

Issuance of acknowledgment

- i. An acknowledgement of the freezing/blocking request will be sent to the client's registered email address.
- ii. Details of any open positions will be provided.

Simultaneous cancellation of all the pending orders of the said client

- i. All pending orders of the client in all segments shall stand cancelled.
- ii. No fresh orders shall be allowed to be placed through online access.

Processing of Requests:

Scenario 1 (During Trading Hours): Requests received during trading hours or up to 15 minutes before the start of trading will be processed within 15 minutes.

Scenario 2 (After Trading Hours): Requests received after trading hours or within 15 minutes before the start of the next trading session will be processed before the start of the next trading session.

Risk Management

It is clarified that:

- i. Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of SS Corporate Securities Ltd.
- ii. The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.

Process for re-enablement

We shall re-enable online trading in the client's account after carrying out necessary due diligence including verifying the client using Two Factor Authentication and validating the client request and unfreezing the online trading access of the client account. For unfreezing of the online access of trading account, the client will have to get in touch on the dedicated phone number (011-47003670) and submit a request via their registered email address to stoptrade@sscorporate.com.



Client Signature

BROKERAGE SLAB/ TARIFF SHEET

Date:

I/ We hereby agree with the charges and brokerage terms & conditions as mentioned below:

Capital Market (Cash) Segment				Equity Derivative (F&O) Segment		Currency Derivative Segment	
Delivery		Intraday / Square Up		Futures	Option	Futures	Option
%age	Min(Rs.)	%age	Min(Rs.)	%age	Min(Rs./lot)	%age	Min(Rs./lot)

Other Charges and Terms & Conditions;

All statutory and exchange related charges i.e. Securities Transaction Tax (STT), Commodities Transaction Tax (CTT), Exchange Transaction Charges, Stamp Duty (as applicable State wise), SEBI Turnover Fees, Goods and Service Tax (GST) and any other Statutory/Regulatory/Government charges will be levied as may be applicable from time to time over and above Brokerage opted

Stock Broker is authorized to charge to client if any additional charges arrives in any given circumstance and conditions related to Trading and/or Demat and thereafter inform the client

Courier Charges will be levied on actual or Rs.100 (GST extra), whichever is higher on per delivery of physical document

Delayed Payment Charges on debit balance will be debited to client's Trading and/or DP ledger not exceeding 24% Per Annum

In event of Cheque bounce, charges per actual on each instance will be levied to client

All Types of Demat charges like annual maintenance fees, transaction charges etc, will be debited from Clients Trading ledger at actual as per clients Demat Account's Billing.

Additional services provided to client like SMS/E-mail Alert facility etc., would be charged separately as decided by stock broker from time to time

Changes in any charges other than statutory/Regulatory /Government will be intimated within 30 days of notice and should be mutually agreed upon

Brokerage will not exceed the rates specified by SEBI and Exchanges.

Any penalty levied by Exchanges on the client positions shall be recovered from the Client's account, in case of default.

I/We have understood and agreed the above terms and conditions related to charges listed above being charged to me/us, as applicable and agree to abide by the same.



(Signature)

Client Name _____

NON-MANDATORY

To

Date.....

M/s SS Corporate Securities Limited

NDM 2, Block D, 3rd Floor,

Netaji Subhash Place,

Pitam Pura, Delhi - 110034

Dear Sir,

I/We are dealing through you as a client in Capital Market and / or Future & Option Segment and / or Currency Segment and / or Interest Rate Future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I / We authorize you as under:

(Please Mark Tick " ✓ " the relevant box and strike off what is not applicable)

1. ☐ Running Account Authorization

- a. 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 and issue me/us CHEQUES/NEFT/RTGS/IMPS for the credit balance only as and when requested by me/us.
- b. Settle my/our fund account as per the following option:
☐ once in every Calendar Quarter OR ☐ once in every Calendar Month
- c. Retain payout of funds to meet my/our margin and pay in obligations or debit my/our running account for the margin payable by me/us i.e. to maintain it as a running account for the funds.
- d. Transfer funds from my/our account/running account in the inter-segment Capital Market/Future & Option/Currency Derivatives Segments and/or inter-exchange NSE/BSE or vice versa whenever applicable and found necessary by you.
- e. I/We hereby agree to return the funds to me/us if I/we have not done any transaction in the 30 calendar days since the last transaction in the manner as prescribed by SEBI
- f. I/we confirm your that I/We will bring to you notice any dispute arising from the statement of account or settlement so made in writing within seven (7) working days from the date of funds/securities or receipt of statement of account or statement related to it, as the case may be at your registered office.
- g. I/We am/are entitled to revoke this authorization at any time without and notice.

2. ☐ Order Confirmation/Modification/Cancellation Instructions:

I/We understand that you require written instructions for receiving confirmation/modifying or cancelling orders. However, since it is not practical to give written instructions for every order, I/we hereby authorize you to kindly accept my/our authorized representatives, verbal instructions/orders in person or over phone and execute the same. I/We am/are getting required details from contracts issued by you.

The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking you

Yours faithfully



(Signature)

Client Name _____

Date: _____

I/We have been / shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options Segments / Currency Derivative Segments, This instruction is applicable for all the exchanges / segments in which I/we have opened account with you. As my/our broker / agent I/We direct and authorised you to carry out trading / dealings on my/our behalf as per instructions given below.

I/ We understand that, I / we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/we hereby opt for receipt of contract notes in electronic form. I/ We hereby also give my/our consent for providing me/ us Trade Confirmations through your SMS alert services. Accordingly, please note my current email id and Mobile Number on your record for sending the communication to me / us.

Email Id:.....

Mobile No.:.....

I/We understand that I am required to intimate any change in the email id/ mobile number mentioned herein above through a duly signed request letter in original to you, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanks and best regards



(Signature)

Client Name _____

Declaration for Name difference in PAN CARD and / or Bank Pass Book

I _____ S/o, D/o, W/o _____ residing at _____ do hereby state as under:-

I refer to my account opening application for a Trading Account with SS Corporate Securities Limited in the name of _____.

I do hereby affirm, declare and undertake as under:-

1. That my name as it appears on the PAN CARD is _____ and on Driving License is _____.
2. That my name as it appears on the IT website <http://incometaxindiaefiling.gov.in/challan/enterpanforchallan.jsp> is _____.
3. That my name as it appears on the Bank Pass Book is _____.
4. That all the names mentioned above, i.e. the name mentioned on the PAN CARD, the name mentioned on the Bank pass Book and the name as it appears on the IT website pertains to me. Any losses, claims, liabilities, obligations, damages, deficiencies, judgments, actions, suits, proceedings due to these name differences will be mine and I only will be solemnly responsible for the same.
5. That I shall indemnify & keep indemnified SS Corporate Securities Limited, its directors, officers, employees and agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgments, actions, suits, proceedings or any liability suffered or incurred or fastened on to SS Corporate Securities Limited due to SS Corporate Securities Limited accepting this Declaration cum Undertaking and acting on the same.

That the contents of this Declaration have been explained to me in vernacular and I have understood the same before signing it.

That this Declaration given by me to SS Corporate Securities Limited is given by me without any force, undue influence and at present I am having sound health and mind.

Client Signature :

Client Name :

Client Code : _____

Place :

Date :

(1st / 2nd / 3rd Holder has to submit separately in case of Joint Accounts)

Dear Sir,

Date.....

Sub: Letter of Authority - CASH/F&O/Currency Derivative Segment of NSE/BSE/MSEI

I/We are dealing in securities with you at NSE/BSE/MSEI in Cash, Derivative & Currency Segment and in order to facilitate ease of operations, I/We authorize you as under:

1. I/We 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 or collateral shares provided to you by us.
2. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
3. I/We request that you may send/dispatch me/us contract notes other documents through E-mail: on my/our designated e-mail address of _____
4. It is understood that I am/we are entitled to receive following documents with regard to our dealings with you:
 Contract notes within 24 hours
 Quarterly statement of account (funds and securities)
(30th June, 30th September, 31st December and 31st March)
5. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
6. I/We have a Trading As well as depository relationship with **SS Corporate Securities Limited** Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reasons.

We have read the Risk Disclosure Documents as prescribed by SEBI/NSE/BSE/MSEI for Capital Market as well as for Future & Options Segment, Currency Derivatives Segment and have clearly understood the contents. We have also noted our rights and obligations as an investor and we undertake to timely and appropriately exercise our rights and fulfill our obligations.

We have visited the Internet sites of NSE (nseindia.com), BSE (bseindia.com), MSEI (mset.in) and SEBI (sebi.gov.in) have gone through various investor education contents (practices procedures and usage on the Indian capital markets) as well as Risk Disclosure Contents provided thereon. We have understood the risks as well as our rights and obligations as an investor with regard to our dealings with you. We shall continue to update ourselves on these matters by visiting these sites regularly.

Thanks and best regards.



(Signature)

Client Name _____

Undertaking by Guardian of Minor

To,
SS corporate Securities Ltd
NDM -2, Block D, Netaji Subhash Place, Pitampura
New Delhi - 110034

Dear Sir,

I / We _____ (Name of the Guardian) the guardian of
the minor _____ (Name of Minor) having UCC _____, hereby
undertake that I/We will not use this trading account for buying of securities in the secondary
market. I/We will ensure that this trading account is used only for selling of existing holding or
allotment of Primary market i.e. (IPO/NFO/FPO/OFS/BOND).

I also undertake that I/We will not indulge in regular trading in this account.

Further, I /We take full responsibility for violation of any rules, regulation, requirements of any
authority including SEBI, NSE and BSE in relation to operation of trading account in the name of
minor.

Thanking You

Yours truly,

(Signature of Guardian of Minor)

Name of the Guardian of Minor

Date: _____

SS Corporate Securities LimitedNDM 2, Block D, 3rd Floor

Netaji Subhash Place

Pitam Pura Delhi-34

Sub: Mutual Fund Service System (MFSS AND BSE STAR MF) facility

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the MFSS AND BSE STAR MF facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS AND BSE STAR MF of the Exchange.

For the purpose of availing the MFSS AND BSE STAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS AND BSE STAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated Dec 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS AND BSE STAR MF.

Thanking you,

Yours faithfully,



Signature

Client Name: _____

Address: _____

FORMAT OF BOARD RESOLUTION IN CASE OF COMPANY / FIRM (ON LETTER HEAD)

Certified True Copy of the Resolution passed in the meeting of Board of Directors of.....Ltd. held on.....(DATE) at.....(Regd Address of the company)
"RESOLVED THAT the Company is empowered to deal in Capital Market / Derivatives/Currency Derivatives and any other segment that may be introduced by the NSE/BSE/MSEI/KRA and do enter into agreement for online investment products facility with SS Corporate Securities Ltd., a member of the National Stock Exchange Limited (NSE), BOMBAY STOCK EXCHANGE (BSE) (MSEI), & KRA and the said trading members be and is hereby authorised to deal for trading or instruction, oral or written, given on behalf of the Company by any of the under noted authorised signatories.

S.No.	Name	Designation

who is/are authorised to sell, purchase, trading, transfer, endorse, and negotiate document and / or / otherwise deal through SS Corporate Securities Ltd. in Capital Market, Derivatives (F & O, CD) Segment, Investment in securities market and other segments that may be introduced by the trading member of the Exchange time to time.

RESOLVED FURTHER THAT Mr.....and/or Mr....., Authorised Signatory of the Company whose specimen signatures are attested below be and are hereby severally / jointly authorised to sign, execute and submit application, submit such online investment products facility registration open account and give effect to this resolution.

"Further resolved that the above resolution be communicated to SS Corporate Securities Ltd. and shall remain in force until the same is cancelled or modified by the Board of Directors, by another resolution that is communicated to SS Corporate Securities Ltd.

True Certified Copy

for.....

Director / Company Secretary (along with rubber stamp)

Specimen Signatures of the Authorised Persons			
S.No.	Name	Designation	Specimen Signatures

LIST OF AUTHORISED SIGNATORY (If more than one you may provide accordingly)

Specimen Signatures of the Authorised Persons			
S.No.	Name	Designation	Specimen Signatures

True Certified Copy

for.....

Director / Company Secretary (along with rubber stamp)

LIST OF DIRECTORS (If more than four, you may provide accordingly)

S.No.	Name	Address	DIN No.	PAN No.	Designation
1					DIRECTOR
2					DIRECTOR
3					DIRECTOR
4					DIRECTOR

True Certified Copy

for.....

Director / Company Secretary (along with rubber stamp)

LIST OF SHAREHOLDER (If more than four, you may provide accordingly)

S.No.	Name	No. of shares	Face Value	Total Capital (Rs.)	%age
1					
2					
3					
4					
	TOTAL				

True Certified Copy

for.....

Director / Company Secretary (along with rubber stamp)

