

CONSTITUENT / CLIENT REGISTRATION FORM

THE DOCUMENTS IN THIS **DOCKET** ARE **MANDATORY** AS PER SEBI CIRCULAR & GUIDELINE



SANGHAVI SAVLA STOCK BROKERS LTD.

THE NATIONAL STOCK EXCHANGE OF INDIA LTD. - (NSE)

CASH & DERIVATIVES SEGMENT

BOMBAY STOCK EXCHANGE LTD. - (BSE)

CASH SEGMENT

(COMMON SEBI REGN. NO. INZ 000182234)

DEPOSITORY PARTICIPANT TO
CENTRAL DEPOSITORY (INDIA) LTD.

DEPOSITORY PARTICIPANT ID : 12034900
SEBI REGISTRATION NO. IN-DP-CDSL-248-2004

Name of Client : _____

Client Code : _____

BOID : 12034900 000

Name of Introducer : _____

Registered Office & Corporate Office:

Vesta B, 1st Floor, 90 Feet Road, Pant Nagar, Ghatkopar (E), Mumbai - 400 075.
Tel.: 91-22-2508 9000 • Fax : 91-22-2508 9010 • E-mail : info@sanbro.in

Website : www.sanbro.in • Mobile App : SANBROBACKOFFICE

IBT APP.

IOS: SANBRO TRADING • ANDROID : SANBRO TRADING

MANDATORY DOCUMENTS FOR RESIDENT INDIAN / H.U.F / N.R.I

Please provide the below mentioned documents for KYC

A) Proof of Identity : INDIVIDUAL / N.R.I. / N.R.O.

- | | |
|--|---|
| <input type="checkbox"/> Photo copy of PAN (Compulsory Requirement) | <input type="checkbox"/> Photocopy of Voter's Identity Card |
| <input type="checkbox"/> Photocopy of Aadhaar | <input type="checkbox"/> Photocopy of Driving License |
| <input type="checkbox"/> N.R.I Passport Compulsory | <input type="checkbox"/> Photocopy of Passport |

B) Proof of Bank : INDIVIDUAL / N.R.I / N.R.O.

- ☐ Bank Passbook (**First page having Name, Address, Account No. & Last Six months Transaction**) or Last Six month's Bank Statement
- ☐ Cancelled Cheque Leaf (**13 Or 14 Digit Bank Account No., MICR CODE, IFS CODE & A/C holder's Name**)

C) Proof of Address : FOR RESIDENT INDIAN / N.R.I / N.R.O.

- | | |
|--|---|
| <input type="checkbox"/> Photocopy of Aadhaar | <input type="checkbox"/> Photocopy of Voter's Identity Card |
| <input type="checkbox"/> Photocopy of Passport | <input type="checkbox"/> Photocopy of Driving License |
| <input type="checkbox"/> Photocopy of Flat Purchase or Sale Agreement | <input type="checkbox"/> Photocopy of Rent Agreement |
| <input type="checkbox"/> Photocopy of Life Insurance Policy Latest receipt | <input type="checkbox"/> Photocopy of Ration Card |
| <input type="checkbox"/> Photocopy of Bank Passbook (First page Name, Address,) | |
| <input type="checkbox"/> Photocopy of Telephone Bill / Electricity Bill / Gas Bill (Not more than three month's old) | |
| <input type="checkbox"/> Photocopy of Flat Maintenance Bill (Not more than three month's old) | |

D) Proof of Depository Account : FOR RESIDENT INDIAN / N.R.I / N.R.O.

- ☐ Photocopy of DEMAT Statement

ALL PHOTOCOPIES SHOULD BE SELF CERTIFIED

- Kindly Issue a Cheque of **Rs. 1059/-** in favour of "**SANGHAVI SAVLA STOCK BROKERS LTD.**" towards KYC charges.

E) Fatca Form / KRA Form / Cersai Form (KYC)

F) Annual documents required for trading in derivatives segments

- | | |
|--|--|
| <input type="checkbox"/> Copy if ITR Acknowledgement | <input type="checkbox"/> Copy of Annual Accounts |
| <input type="checkbox"/> In case of salary income -
Salary Slip, Copy of Form 16 | <input type="checkbox"/> Net worth certificate |
| <input type="checkbox"/> Copy of demat account holding statement
Last 6 months | <input type="checkbox"/> Bank account statement for last 6 months |
| <input type="checkbox"/> Any other relevant documents
substantiating ownership of assets. | <input type="checkbox"/> 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.*

Date :

To,

M/s. Sanghavi Savla Stock Brokers Ltd.

Vesta – B, 1ST Floor, Pant Nagar, 90, Feet Road

Ghatkopar – East, Mumbai – 400 075

Dear Sirs,

Sub.: Common Mobile Number & E-Mail Id for Demat and Trading Accounts

I / we, Mr. /Mrs./Ms./M/s. _____ &
_____ would like
to confirm that the Mobile no. / E-mail id _____ is
registered in my name. I/we, your registered client having trading code as _____ and
demat account no. _____

Upon understanding from you that my/our mobile no./email id is registered with some of the clients who have trading and / or demat accounts with you, I have to state that this is in my full knowledge and I have consented to the below clients who is / are my relative/s to state my mobile no/e-mail id in their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by me of all the SMS/Email belonging to them which are sent by you to me on my above mobile no / email id.

All these below clients also do not have any objection to the same, in consent they have also signed :

Sr. No.	Name	BOID	U.C.C.	Relation	Signature

Relations to be specified as follows

1. Self 2. Spouse 3. Dependent Son 4. Dependent Daughter
5. Dependent Father 6. Dependent Mother 7. Karta
8. Partner 9. Director

However, in case of any further regulatory requirements, I undertake to abide upon hearing from you.

Thanking You,

Yours Sincerelly,

Signature 1) 

Name :

Address :

**SANGHAVI SAVLA STOCK BROKERS LTD.**

CIN: U67120MH1994PLC083215

GST: 27AAACS8744C1ZD

Compliance Officer

	TRADING	DEMAT
Name	Mr. Santosh Daphale	Mr. Nitin Karwadkar
Tel :	+91 - 22 - 2508 9000	+91 - 22 - 2508 9000
Fax :	+91 - 22 - 2508 9010	+91 - 22 - 2508 9010
Email Id :	santoshdaphale@sanbro.in	nitin@sanbro.in

Chief Executive Officer Name	Mr Mitul K. Sanghavi
Tel :	+91 - 22 - 2508 9000
Email Id :	mitul@sanbro.in

For any grievance / dispute please contact :

Stock Broker Name	Sanghavi Savla Stock Brokers Ltd
Registered Office Address	Vesta - B, 1st Floor, Pant Nagar, 90 Feet Road, Ghatkopar - East, Mumbai - 400 075
Phone No.	+91 22 2508 9000
Fax No.	+91 22 2508 9010
E-mail Id	santosh@sanbro.in

Contact details of the Investor Grievance Cell required as per SEBI circular CIR/MIRSD/16/2011.

Exchange	Contact No.	Email ID
NSE	1800 266 0058	ignse@nse.co.in
BSE	022 2272 8097	is@bseindia.com
CDSL	1800 - 22 - 5533	complaints@cdslindia.com

INTRODUCER DETAILS (optional)

Name of the introducer	(Surname) (Name) (Middle Name)
Address	
Phone No.	
Status of the Introducer	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Others <input type="checkbox"/> Existing client Please Specify_____
Signature of the Introducer	X
DP Details	DPID 12034900 Client ID 000

Date : _____

To,
SANGHAVI SAVLA STOCK BROKERS LTD.
Vesta - B, 1st Floor, 90 Feet Road,
Pant Nagar, Ghatkopar (E), Mumbai - 400 075.

Dear Sir,

This is to confirm that I have received the copy of the duly completed documents while opening trading account with you. The set contains the copies of below mentioned documents.

- Copy of Account opening form including KYC form & Additional information and details.
- Copy of Rights & Obligations of Stock brokers, sub-brokers & clients as prescribed by SEBI for trading on exchanges.
- Rights & Obligations of beneficial owner and depository participant prescribed by SEBE depositories.
- Copy of Risk Disclosure Document for capital market & derivatives segment.
- Copy of Guidance Note - Do's & Don'ts for trading on the exchange(s) for investors before you begin to trade.
- Copy of Tariff Sheet for demat.
- Copy of Most Important Terms & Conditions.
- Significant Copy of client master Policy and Procedures of Sanghavi Savla Stock Brokers Ltd.,
- I/We state the below mentioned documents.
 1. Rights and obligations - (Annexure - 4),
 2. Risk Disclosure Documents (RDD) (Annexure - 5) &
 3. Guidance Note (Annexure - 6).
 4. Policies and procedure for prevention of money laundering.

have been received on my/our E-mail id : _____

I also confirm that I/We have read and understood the contents of all Policies and Procedures of Sanghavi Savla Stock Brokers Ltd.

Signature of Client

Client Code _____

2) 



Sanghavi Savla Stock Brokers Ltd. is engaged in client based business and proprietary trading as well.

This disclosure is made in pursuance of SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated November 19,2003

Annexure - 1

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

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

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

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

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

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

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

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


H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only	Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	(Mandatory for KYC update request)
	Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small

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

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

PHOTO



Across Sign

Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence*	<input type="text"/>
Tax Identification Number or equivalent (If issued by jurisdiction)*	<input type="text"/>
Place / City of Birth*	<input type="text"/> ISO 3166 Country Code of Birth*

☐ **3. PROOF OF IDENTITY (Pol)*** (Please refer instruction **C** at the end)

(Certified copy of any one of the following Proof of Identity[Pol] needs to be submitted)

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

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction **D** at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

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

Address

[illegible]

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction **E** at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

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

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3

State* City / Town / Village*

ZIP / Post Code* ISO 3166 Country Code*

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

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

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

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

Prefix First Name Middle Name Last Name

Name*

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

☐ A- Passport Number Passport Expiry Date

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ 7. REMARKS (If any)

8. APPLICANT 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.

- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :

Place :

5) 

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

IN-PERSON VERIFICATION DONE

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CKYC DOWNLOAD CONSENT FORM

I, _____ S/o / D/o / W / O, _____, give my consent to download my KYC records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCCR Registry.

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

Name

PAN

Signature 6) 

Date :

ANNEXURE - 2

OTHER DETAILS

Gross Annual Income Details (please specify) Income Range per annum	<input type="checkbox"/> Below Rs 1 Lacs	<input type="checkbox"/> 1-5 Lacs	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> Above 25 Lacs
---	--	-----------------------------------	------------------------------------	-------------------------------------	--

or

Net-worth as on (date)	D	D	M	M	Y	Y	Y	Y	Amount	
------------------------	---	---	---	---	---	---	---	---	--------	--

Net-worth should not be older than 1 year

Occupation (Please tick any one & give brief details)	Private Sector <input type="checkbox"/>	Public Sector <input type="checkbox"/>	Government Service <input type="checkbox"/>	
	Business <input type="checkbox"/>	Professional <input type="checkbox"/>	Agriculturist <input type="checkbox"/>	Retired <input type="checkbox"/>
	Housewife <input type="checkbox"/>	Student <input type="checkbox"/>	Others	
Please tick, if applicable:	Politically Exposed Person (PEP) <input type="checkbox"/> / Related to a Politically Exposed Person (PEP) <input type="checkbox"/>			
Any other information				

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.

7)

Signature of the Applicant

Date: _____ (dd/mm/yyyy)

The mobile no. _____ and E-mail id _____

belongs to Mr. / Mrs. / Miss / M/s. _____

and is related as _____



SPECIMEN SIGNATURE(S)

Sanghavi Savla Brokerage Group

SANGHAVI SAVLA STOCK BROKERS LTD.

(CDSL DP ID : 12034900)

DP ID	1	2	0	3	4	9	0	0	Client ID	0	0	0				
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--

Specimen signature of mine/us or the person/s authorised by me/us are given below

(Please sign in Black Ink)

Name of Account Holders	Signature(s) OR Thumb impressions Attested by Gazetted Officer/Magistrate under his seal alongwith name, address and designation of such official
Sole/First Holder	8)
Second Holder	
Third Holder	

Note:

1. In case this form is being submitted for revision in signature(s), it has to be attested by above mentioned officials/your banker / notary public
2. Fresh photographs duly signed across the face of the photograph is to be affixed on the reverse of this card.



SANGHAVI SAVLA STOCK BROKERS LTD.

TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade, Please strike off the segment not chosen by you

Exchanges	NSE & BSE	
ALL Segments	Cash	F & O

If you do not wish to trade in any of segments Please mention here

RISK DISCLOSURES ON DERIVATIVES

- a) 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- b) On an average, loss makers registered net trading loss close to Rs. 50,000.
- c) Over and above the net trading losses incurred, loss makers expanded an additional 28% of net trading losses as transaction costs.
- d) Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source : 1. SEBI study dated January 25, 2003 on? Analysis of profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment?, wherein Aggregate Level Findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

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

Please specify the proof submitted to avail the privileges to trade in derivatives segment.

Client Code :

Client Name :

Signature : 9) 

ANNEXURE - 3


For Individuals

Bank Account Details (In order of preference)																	
Details	Bank 1								Bank 2								
Bank Name																	
Branch Address																	
Bank Account No.																	
Account Type Saving Bank / Current Account. Others in case of (NRI / NRE / NRO)	SB <input type="checkbox"/> : CA <input type="checkbox"/> : NRI <input type="checkbox"/> NRE <input type="checkbox"/> : NRO <input type="checkbox"/>								SB <input type="checkbox"/> : CA <input type="checkbox"/> : NRI <input type="checkbox"/> NRE <input type="checkbox"/> : NRO <input type="checkbox"/>								
MICR No.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
IFSC Code																	
Default	<input checked="" type="checkbox"/>	<input type="checkbox"/>							<input type="checkbox"/>								

Depository Account(s) Details		
Details	DP 1	DP 2
Depository Participant Name		
Depository Name (NSDL/CDSL)		
Beneficiary name		
DP ID		
Beneficiary ID (BO ID)		
Default	<input checked="" type="checkbox"/>	<input type="checkbox"/>


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 / authorised persons in charge of dealing in securities during the last 3 years.	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>If yes attach annexure giving details.</p>

DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

 If client is dealing through the Authorised Person, provide the following details:

Authorised Person Name			
SEBI Registration number			
Registered office address:			
Phone		Fax:	
Website:			
Whether dealing with any other stock broker/ sub-broker (if case dealing with multiple stock brokers / authorised person provide details of all)	<div><input type="checkbox"/> Yes <input type="checkbox"/> No</div> <div>Name of Stock Broker: _____</div> <div>Name of Authorised Person if any: _____</div> <div>Client Code _____ Exchange _____</div> <div>Details of disputes/dues pending from/to such stock broker/ sub-broker _____</div>		

ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic contract note (ECN) please specify (Please Tick)	<input type="checkbox"/> Physical contract note <input type="checkbox"/> Electronic contract note
Specify your email ID if applicable	
Whether you wish to avail Internet Trading (please Specify and Sign)	<div><input type="checkbox"/> Yes <input type="checkbox"/> No</div> <div>10)  _____</div>
No of years of investment / Trading experience	



SANGHAVI SAVLA STOCK BROKERS LTD.

Brokerage Rate Approval Sheet

Name of the Client : _____ Code : _____

Authorised Person : _____

H.O. / Branch : _____ Family _____

Transaction Type	NSE	BSE	Rate	Minimum (Ps.)
Delivery				
Trading				
Future		N.A.		
Option		N.A.		

The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax, Goods and service tax and demat charges which will be charged extra at the rate prevailing from time to time.

Other terms, if any :

Signature of client : 11)  _____

Signature of Sub-broker / Remiser / Authorised Person _____

Inserted & Updated by :

Approved by :

Confirmed by :



SANGHAVI SAVLA STOCK BROKERS LTD.

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.

Signature 12)  _____

FOR DEMAT PURPOSE ONLY

Instruction for Applicants

- Signatures can be in English, Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than in the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
- Details of the Names, Address, and Tel. No. etc. of the Magistrate / Notary Public / Special Executive Magistrate are to be provided in case of any attestation done by them. 3. In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarised copy thereof, must be lodged along with the application.
- Fields mark with * are compulsory. 5. Bring original and photo copy of Driving License / Passport / PAN Card to determine your Identity. 6. Bring original and photo copy of Ration Card / Passport / Voter's I.D. / Driving License / Bank Passbook as proof of your address. 7. Bring one cancelled cheque leaf of your bank account.
- In case of minor:** Bring Original and photo copy of Birth Certificate and PAN. Also bring the PAN and Address Proof of Guardian.
- Bring Certificate of NRI Status in case of NRI.
- In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be above mentioned.

I / We instruct the DP to receive each and every credit in my / our account. (If not marked, the default option would be 'Yes')		[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
I/We request you to send Electronic Transaction-cum-Holding Statement at the Email ID		<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)			
I / We wish to receive dividend / interest directly in to my bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No	
[In case of minor holder, photograph of guardian has to be affixed along with minor's photograph.]			
Guardian's Name		PAN	
Relationship with the applicant			

Additional Details

SMS Alert Facility Refer to Terms & Conditions given as	Mobile No.: +91 [(Mandatory, if you are giving Power of Attorney (POA)) (if POA is not granted & you do not wish to avail of this facility, cancel this option).											
Transactions Using Secured Texting Facility (Trust) Refer to Terms and Conditions	<p>I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same :</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>I / We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TRUST</p> <table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>			Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)										
Easi	<p>To register for easi, please visit the website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.</p>											

13 A)



Sole / First Holder

13 B)



Second Holder

13 C)



Third Holder



Details of Guardian (If First Holder or Second Holder or Third Holder is a minor)

First Name											
Middle Name											
Last Name											
Relationship with the applicant											
Correspondence Address											
City						State					
Country						PIN					
Telephone No.						Fax No.					
PAN						UID No.					
E-mail ID						Mobile					
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other Further instruction from my / our end (If not marked, the default option would be 'No')							(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We would like to share the email ID with the RTA							<input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not market the default option would be in Physical)											

For NRIs

Foreign Address											
City						State					
Country						PIN					
RBI Ref. No.						RBI Approval date					

A. Details of Politically Exposed Persons (PEP) / Related to Politically Exposed Person (RPEP). [For-non-individual]

Name of holder _____ PAN of the holder _____

Sr. No.	Name of the Authorised signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors	Relation with the holder (i.e. Promoters, Whole time directors etc	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

14 A)



Signatures

Sole / First Holder

14 B)



Second Holder

14 C)



Third Holder

Combined Registration Form for availing SMS Alert and / or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility.

To,

Sanghavi Savla Stock Brokers Ltd.

Vesta - B, 1st Floor, 90 Feet Road, Pant Nagar, Ghatkopar (E), Mumbai - 400 075.

Dear sir / Madam,

I / We wish to avail the following facility / ies provided by the depository on my / our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART - SMS alert facility
- b. TRUST - Transaction using secured Texting facility

(please note that - SMS alert facility is mandatory if TRUST facility is opted for)

BOID

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name :

Second Holder's Name :

Third Holder's Name :

I / We wish to register the following clearing members / IDs under my / our above mentioned BO ID registered for TRUST.

Sr. No.	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile Number on which messages are to be sent

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

(Please write only the mobile number without prefixing country code or zero)
(Existing users registered for SMS alerts :- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of :

(Name) _____

Email ID: _____

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

I / We consent to CDSL providing to the service provider such information pertaining to account / transactions in my / our account as is necessary for the purpose of availing the said facility.

I / We acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I / We shall be wholly responsible for execution / non-execution of the said transactions based on receipt / non-receipt of such SMS.

I / We have read and understood the terms and conditions prescribed by CDSL for the said facility / ies and agree to abide by them and any amendments thereto made by the depository from time to time. I / We further undertake to pay fee / charges as may be levied by the depository from time to time.

Signatures  **15 A)**
Sole / First Holder

15 B)
 Second Holder













15 C)
 Third Holder

Place : _____

Date : _____

POWER OF ATTORNEY







Sub : Introduction of Demat Debit and Pledge Instruction (DDPI)

Sr. No.	Purpose	Signature of Client *
1	Transfer of Securities held in the BO accounts of the client, towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stockbroker	16)  _____  _____  _____
2	Pledging / re-pledging of securities in favour of the trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	17)  _____  _____  _____
3	Mutual Fund transaction being executed on stock Exchange order entry platforms.	18)  _____  _____  _____
4	Tendering shares in open offers through Stock Exchange platforms.	19)  _____  _____  _____

* the above instructions need to be signed in physical, against each purpose of DDPI. In case of an eSign option made available, client should be given an option to choose the specific Purpose(s) of DDPI.

ANNEXTURE - A

DEMAT DEBIT AND PLEDGE INSTRUCTION

Sr. No.	Purpose	Signature of Client *
1	Transfer of Securities held in the beneficial owner accounts of the client towards stock exchange Related Deliveries / Settlement obligations arising out of Trades Executed by clients on the stock exchange through the same stock broker.	20)  _____  _____  _____
2	Pledging / Re-Pledging of securities in favour of trading member TM / Clearing Member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the stock exchange.	21)  _____  _____  _____

ANNEXURE - I

List if Clients(s) Account

Beneficiary account(s) of dematerialized securities			
Account Title	BOID	DP ID	DP / Branch Name and Address

ANNEXURE - II

List if Brokers Accounts

Beneficiary account(s) of dematerialized securities				
Account Title	DP ID	BO ID	DP Name and Address	Purpose of Account
	12034900	00010661	Sanghavi Savla StockBrokers Ltd	BSECM CDSL Pool
CMBP ID : IN658415	IN001019	10012739	BOI Share Holding Ltd.	BSECM NSDL Pool
CM ID : 141	11000010	00014806	BOISL	BSECM Early Pay-in
CM ID : M50480	12034900	00000347	Sanghavi Savla Stock Brokers Ltd	NSECM CDSL Pool
CMBP ID : IN569215	IN001019	10012722	BOI Share Holding Ltd.	NSECM NSDL Pool
	11000011	00015994	NSCCL	NSECM Early Pay-in
	12034900	00072750	Sanghavi Savla Stock Brokers Ltd	BSG TM/CM CMPA
	12034900	00073676	Sanghavi Savla Stock Brokers Ltd	NSCCL Clearing Menmber A/C. NSE SLB
	12034900	00079002	Sanghavi Savla Stock Brokers Ltd	Corporate CM CUSPA


22) 





SANGHAVI SAVLA STOCK BROKERS LTD.

NOMINATION FORM - OPT IN

NAME :				
PAN :		DP ID : 12034900 CLIENT ID :		
UCC ID :		Date :		
I/We wish to make a nomination. [As per details given below]				
Nomination Details				
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.				
Nomination can be made upto three nominees in the account.		Details of 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee
1	Name of the Nominee(s) (Mr./Ms.)			
2	Share of each Nominee	Equally [If not equally, please specify percentage]	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s) City/Place: State & Country :			
	PIN Code			
5	Mobile / Telephone no. of nominee(s)			
6	Email ID of Nominee(s)			
7	Nominee Identification details - [Please tick any one of following and provide details of same] Photograph & Signature PAN / Aadhaar / Saving Bank account no. Proof of Identity/Demat Account ID			
Nominee Signature 				
PHOTOGRAPH OF NOMINEE				



SANGHAVI SAVLA STOCK BROKERS LTD.

Sr. No.s, B-14 Should be Filled only If nominee (s) Is a minor :				
8	Date of Birth (in case of minor nominee(s))			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }			
10	Address of Guardian(s)			
	City/Place : State & Country			
	PIN Code			
11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details - [Please tick any one of following and provide details of same] Photograph & Signature PAN / Aadhaar Saving Bank account no. Proof of Identity/Demat Account ID			
Name(s) of Holders(s)				Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		23)		
Sole / Second Holder (Mr./Ms.)				
Sole / Third older (Mr./Ms.)				

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

Witness	Witness No.1	Witness No.2
Signature		
Name		
Address		

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).



SANGHAVI SAVLA STOCK BROKERS LTD.

NOMINATION FORM - OPT OUT

To SANGHVI SAVLA STOCK BROKERS LTD. Vesta - B,1st Floor, Pant Nagar, 90 Feet Road, Ghatkopar (E), Mumbai - 400 075.	Date	D	D	M	M	2	0	2	3
UCC (Cleint Code) :	:								
UCC / DP ID :	1	2	0	3	4	9	0	0	
Client ID (only for Demat Account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my / our trading / 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)*									
<div> 1.</div> <div> 2.</div> <div> 3.</div>									

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

Witness	Witness No. 1.	Witness No. 2
Signature		
Name		
Address		

BASIC SERVICES DEMAT ACCOUNT (BSDA)

To,
Sanghavi Savla Stock Brokers Ltd.
Vesta-B, 1st Floor,
90 Feet Road, Pant Nagar,
Ghatkopar (East)
Mumbai-400 075

Sub : Basic Services Demat Account (BSDA) for BO ID - 12034900

BSDA Account Services : ☐ Yes ☐ No ☐ Opt Out

Respected Sir,

This is with reference to CDSL circular CDSL/OPS/DP/POLICY/5656 dtd. January 1, 2016, if my/our account stands eligible under Basic Service Demat Account (BSDA) I hereby declare as under :

Demat Account No. _____

I hereby, declare that I do not have any other demat account with CDSL or NSDL wherein I am the sole holder / first holder.

At any point of time if I do not meet the SEBI laid down criterion for the BSDA facility, I shall inform you immediately for further course of action.

Further, if at any point of time, it comes to the knowledge of Sanghavi Savla Stock Brokers Ltd. that the BO has violated the laid down SEBI criterion, then Sanghavi Savla Stock Brokers Ltd. reserves the right to treat the BO account in the regular scheme and the BSDA facility shall not be extended to such a demat account from the date of violation.

ELECTRONIC D.P. STATEMENT


Thank you very much for accepting our offer to send you the **DP statement** in the digital form. For availing the facility of digital DP statement, following are the terms and conditions:-


1. The digital DP statement will be issued in digital form in compliance with the guidelines issued by SEBI / Depositories from time to time.
2. Digital DP statement will be mailed to the email address provided to us in the format as may be prescribed by the depositories from time to time.
3. Clients can view the Digital DP Statement on URL www.sanbro.in / <https://www.cdslindia.com> and also on mobile app "**SANBRO BACKOFFICE**" from Google Play Store by using their User-ID and Password.
4. **Beneficial Owner (B.O) kindly make a note that "Non receipt of bounced mail notification by us shall amount to delivery of the DP Statement at the e-mail ID of the BO".**
5. In case of any failure in system or errors in digital DP statements, DP statement will be issued in physical form.
6. Discrepancies, if any, should be emailed at nitin@sanbro.in within 30 days of issuance of digital DP statement. Any changes in the terms and conditions shall be intimated from time to time.


For Sanghavi Savla Stock Brokers Ltd

Authorised Signatory _____

Accepted and acknowledged

Name
Signature 24 A) 

Name
Signature 24 B) 

Name
Signature 24 C) 



SANGHAVI SAVLA STOCK BROKERS LTD.

Vesta - B, 1st Floor, 90 Feet Road, Pant Nagar, Ghatkopar (E), Mumbai - 400 075.
Tel.: 91-22-2508 9000 • Fax: 91-22-2508 9010 • Email: info@sanbro.in • Website: www.sanbro.in

(Depository Participant to Central Depository Services (India) Ltd.)
Depository Participant ID : **12034900** • SEBI REG. No. : **IN-DP-CDSL-248-2004**

DP SERVICE CHARGES FOR CDSL ACCOUNT

PARTICULARS	FEES / CHARGES
Account Opening Charges	NIL
Account Closing Charges	NIL
Documentation Charges	Rs. 50/-
Power of Attorney Charges	Rs. 510/-
Annual Maintenance Charges	Rs. 200/-
Individuals / Hufs / Trusts etc.	Rs. 300/-
Corporates	Rs. 800/-
Custody Charges	NIL
Transaction Charges on : Purchases (Credit) Sales (Debit)	NIL Rs. 12/-
Pledge Creation per request	Rs. 15/-
Pledge Closure (Unpledge) per request	Rs. 15/-
Pledge Invocation per request	NIL
Demat Charges	Rs. 70/- Per Request (upto 5 Certificates) and Rs.2/- per certificate in excess of 5 Certificates.
Remat Charges	Rs. 20/- per certificate
Advance Deposit	NIL
Failed Instruction Charges	NIL
BSDA Client	Per Instruction - 50/- Sell Pledge - 50/- , Unpledge - 50/-

Terms and conditions :

- The above is a special scheme applicable to clients of Sanghavi Savla Stock Brokers Ltd. for transactions executed through them.
- The scheme will be applicable only on receipt of this schedule duly signed by all the holders.
- The charges are applicable from 1st September, 2004 till further revision which will be intimated to you.
- Annual maintenance charges will be recovered in the first bill. In case of closure / transfer of account before 12 months no refund out of annual maintenance charges shall be given.
- Any service provided which is not quoted above shall be charged separately.
- Statement of holdings shall be sent quarterly. Transaction statement will be sent monthly, provided there is a transaction.
- All charges (Except transaction charges on sales, which would be levied on trade date in your trading account) will be billed at the end of every month and will be debited to your client account in the broking business.
- No fax instruction will be accepted unless the fax indemnity is signed by all the holders and given to us.

25 A)



Signature of 1st Holder

25 B)



Signature of 2nd Holder

25 C)



Signature of 3rd Holder

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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. "The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

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

Manner of Closure of Demat account

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

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

ANNEXURE - A

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

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

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

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorises the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorised debit to his BO account/ unauthorised transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorised debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorisation, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorised access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

I/We provide the following information for the purpose of Registration / modification (Please cancel out what is not applicable).

BOID

1	2	0	3	4	9	0	0		0	0	0				
---	---	---	---	---	---	---	---	--	---	---	---	--	--	--	--

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

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

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

The mobile number is registered in the name of: _____

Email ID: _____

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

28 A)



Signatures

Sole / First Holder

28 B)



Second holder

28 C)



Third Holder

Place: _____

Date: _____

POLICIES AND PROCEDURE FOR PREVENTION OF MONEY LAUNDERING

(Issued as per the requirements of the PMLA Act 2002)

1. Company Policy

It is the policy of the Company to prohibit and actively prevent money laundering and any activity that facilitates money laundering or the funding of terrorist or criminal activities. Money laundering is generally defined as engaging in acts designed to conceal or disguise the true origins of criminally derived proceeds so that the unlawful proceeds appear to have derived from legitimate origins or constitute legitimate assets.

2. Principal Officer Designation and Duties

The Company has designated Shri Hiten Gothi as the Principal Officer of the company with full responsibility for the company's AML program. Shri Hiten Gothi has long-standing experience in the capital market, and is qualified by experience, knowledge and training. The duties of the Principal Officer will include monitoring the Company's compliance with AML obligations and overseeing communication and training for employees. The Principal Officer will also ensure that proper AML records are kept. When warranted, the Principal Officer will ensure filing of necessary reports with the Financial Intelligence Unit (FIU – IND)

The Company provided the FIU with contact information for the Principal Officer, including name, title, mailing address, e-mail address, telephone number and facsimile number. The Company will promptly notify FIU of any change to this information.

3. Customer Identification and Verification

At the time of opening an account or executing any transaction with it, the

Constitution of client	Proof of Identity	Proof of Address	Others
Individual	1. Pan Card	1. Copy of Bank Statement	1. N.A.
Company	1. Pan Card 2. Certificate of incorporation. 3. Memorandum and Articles of Association 4. Resolution of Board of Directors	1. As Above	1. Proof of Identity of the Directors / Others authorised to trade on behalf of the firm
Partnership Firm	1. Pan card 2. Registration Certificate 3. Partnership deed	1. As Above	1. Proof of Identity of the Partners / Others authorised to trade on behalf of the firm
Trust	1. Pan card 2. Registration Certificate 3. Trust Deed	1. As Above	1. Proof of Identity of the Trustees / Others authorised to trade on behalf of the trust
AOP / BOI	1. Pan card 2. Resolution of managing body 3. Documents to collectively establish the legal existence of such an AOP/BOI	1. As Above	1. Proof of Identity of the Persons authorised to trade on behalf of the AOP/BOI

29 A)



Signature of 1st Holder

29 B)



Signature of 2nd Holder

29 C)



Signature of 3rd Holder

1. If a potential or existing customer either refuses to provide the information described above when requested, or appears to have intentionally provided misleading Information, our company will not open the new account.
2. All PAN Cards received will be verified from the Income Tax website before the account is opened.
3. The company will maintain records of all identification information for ten years after the account has been closed.
4. Identity of Client Introducer.

The introducer who can be independent person or a sub-broker/remisier is verified as to his photo identity and address proof by collecting the relevant documents like PAN CARD, Voter ID, Passport etc.

4. Maintenance of records

The Principal Officer will be responsible for the maintenance for following records.

- a) All cash transactions of the value of more than rupees ten lakhs or its equivalent in foreign currency;
- b) All series of cash transactions integrally connected to each other which have been valued below rupees ten lakhs or its equivalent in foreign currency where such series of transactions have taken place within a month;

All cash transactions where forged or counterfeit currency notes or bank notes have been used as genuine and where any forgery of a valuable security has taken place.

- c) All suspicious transactions whether or not made in cash. Suspicious transaction means a transaction whether or not made in cash which, to a person acting in good faith –
 - i) gives rise to a reasonable ground of suspicion that it may involve the proceeds of crime; or
 - ii) appears to be made in circumstances of unusual or unjustified complexity; or
 - iii) appears to have no economic rationale or bonafide purpose; or
- iv) gives rise to a reasonable ground of suspicion that it may involve financing of the activities relating to terrorism.

The records shall contain the following information:

- * the nature of the transactions.
- * the amount of the transaction and the currency in which it was denominated;
- * the date on which the transaction was conducted; and
- * the parties to the transaction.

The records will be updated on daily basis, and in any case not later than 5 working days.

5. Monitoring accounts for suspicious activity

The company will monitor through the automated means of Back Office Software for unusual size, volume, pattern or type of transactions. For non automated monitoring, the following kind of activities are to be mentioned as Red Flags and reported to the Principal Officer.

The customer exhibits unusual concern about the Company's compliance with government reporting requirements and the company's AML policies (particularly concerning his or her identity, type of business and assets), or is reluctant or refuses to reveal any information concerning business activities, or furnishes unusual or suspicious identification or business documents.

30 A)



Signature of 1st Holder

30 B)



Signature of 2nd Holder

30 C)



Signature of 3rd Holder

- The customer wishes to engage in transactions that lack business sense or apparent investment strategy, or are inconsistent with the customer's stated business or investment strategy.
- The information provided by the customer that identifies a legitimate source for funds is false, misleading, or substantially incorrect.
- Upon request, the customer refuses to identify or fails to indicate any legitimate source for his or her funds and other assets.
- The customer (or a person publicly associated with the customer) has a questionable background or is the subject of news reports indicating possible criminal, civil, or regulatory violations.
- The customer exhibits a lack of concern regarding risks, commissions, or other transaction costs.
- The customer appears to be acting as an agent for an undisclosed principal, but declines or is reluctant, without legitimate commercial reasons, to provide information or is otherwise evasive regarding that person or entity.
- The customer has difficulty describing the nature of his or her business or lacks general knowledge of his or her industry.
- The customer attempts to make frequent or large deposits of currency, insists on dealing only in cash, or asks for exemptions from the Company's policies relating to the deposit of cash.
- The customer engages in transactions involving cash or cash equivalents or other monetary instruments that appear to be structured to avoid the Rs. 10,00,000 government reporting requirements, especially if the cash or monetary instruments are in an amount just below reporting or recording thresholds. For no apparent reason, the customer insists for multiple accounts under a single name or multiple names, with a large number of inter-account or thirdparty transfers.
- The customer engages in excessive journal entries between unrelated accounts without any apparent business purpose.
- The customer requests that a transaction be processed to avoid the Company's normal documentation requirements.
- The customer, for no apparent reason or in conjunction with other red flags, engages in transactions involving certain types of securities, such as Z group and T group stocks, which although legitimate, have been used in connection with fraudulent schemes and money laundering activity. (Such transactions may warrant further due diligence to ensure the legitimacy of the customer's activity.)
- The customer's account shows an unexplained high level of account activity.
- The customer maintains multiple accounts, or maintains accounts in the names of family members or corporate entities, for no apparent purpose.
- The customer's account has inflows of funds or other assets well beyond the known income or resources of the customer. When a member of the company detects any red flag he or she will escalate the same to the Principal Officer for further investigation.

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Signature of 1st Holder

31 B)



Signature of 2nd Holder

31 C)



Signature of 3rd Holder

Broad categories of reason for suspicion and examples of suspicious transactions for an intermediary are indicated as under:

- Identity of Client
 - False identification documents
 - Identification documents which could not be verified within reasonable time
 - Non-face to face client
 - Doubt over the real beneficiary of the account
- Accounts opened with names very close to other established business entities
- Suspicious Background
 - Suspicious background or links with known criminals
- Multiple Accounts
 - Large number of accounts having a common account holder, introducer or authorized signatory with no rationale
 - Unexplained transfers between multiple accounts with no rationale
- Activity in Account
 - Unusual activity compared to past transactions
 - Use of different accounts by client alternatively
 - Sudden activity in dormant accounts
- Activity inconsistent with what would be expected from declared business
- Account used for circular trading Nature of Transactions
- Unusual or unjustified complexity
 - No economic rationale or bonafide purpose
 - Source of funds are doubtful
 - Appears to be case of insider trading
 - Investment proceeds transferred to a third party
 - Transactions reflect likely market manipulations
 - Suspicious off market transactions
- Value of Transactions
 - Value just under the reporting threshold amount in an apparent attempt to avoid reporting
 - Large sums being transferred from overseas for making payments
 - Inconsistent with the client's apparent financial standing
 - Inconsistency in the payment pattern by client
 - Block deal which is not at market price or prices appear to be artificially inflated/deflated

6. Reporting to FIU IND

For Cash Transaction Reporting

* All dealing in Cash that requiring reporting to the FIU IND will be done in the CTR format and in the matter and at intervals as prescribed by the FIU IND

For Suspicious Transactions Reporting

We will make a note of Suspicion Transaction that have not been explained to the satisfaction of the Principal Officer and thereafter report the same to the FIU IND and the required deadlines. This will typically be in cases where we know, suspect, or have reason to suspect:

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Signature of 1st Holder

32 B)



Signature of 2nd Holder

32 C)



Signature of 3rd Holder

- * the transaction involves funds derived from illegal activity or is intended or conducted in order to hide or disguise funds or assets derived from illegal activity as part of a plan to violate or evade any the transaction reporting requirement,
- * the transaction is designed, whether through structuring or otherwise, to evade the any requirements of PMLA Act and Rules framed there of
- * the transaction has no business or apparent lawful purpose or is not the sort in which the customer would normally be expected to engage, and we know, after examining the background, possible purpose of the transaction and other facts, of no reasonable explanation for the transaction, or * the transaction involves the use of the Company to facilitate criminal activity.

We will not base our decision on whether to file a STR solely on whether the transaction falls above a set threshold. We will file a STR and notify law enforcement of all transactions that raise an identifiable suspicion of criminal, terrorist, or corrupt activities.

All STRs will be reported quarterly to the Board of Directors, with a clear reminder of the need to maintain the confidentiality of the STRs.

We will not notify any person involved in the transaction that the transaction has been reported, except as permitted by the PMLA Act and Rules thereof.

7. AML record keeping

a. STR Maintenance and Confidentiality

We will hold STRs and any supporting documentation confidential. We will not inform anyone outside of a law enforcement or regulatory agency or securities regulator about a STR. We will refuse any requests for STR information and immediately tell FIU IND of any such request we receive. We will segregate STR filings and copies of supporting documentation from other Company books and records to avoid disclosing STR filings. Our Principal Officer will handle all requests or other requests for STRs.

b. Responsibility for AML Records and SAR Filing Principal Officer will be responsible to ensure that AML records are maintained properly and that STRs are filed as required

c. Records Required

As part of our AML program, our Company will create and maintain STRs and CTRs and relevant documentation on customer identity and verification. We will maintain STRs and their accompanying documentation for at least ten years.

8. Training programs

We will develop ongoing employee training under the leadership of the Principal Officer. Our training will occur on at least an annual basis. It will be based on our company's size, its customer base, and its resources.

Our training will include, at a minimum: how to identify red flags and signs of money laundering that arise during the course of the employees' duties; what to do once the risk is identified; what employees' roles are in the Company's compliance efforts and how to perform them; the Company's record retention policy; and the disciplinary consequences (including civil and criminal penalties) for non-compliance with the PMLA Act.

We will develop training in our Company, or contract for it. Delivery of the training may include educational pamphlets, videos, intranet systems, in-person lectures, and explanatory memos.

We will review our operations to see if certain employees, such as those in compliance, margin, and corporate security, require specialized additional training. Our written procedures will be updated to reflect any such changes.

9. Program to test AML program

a. Staffing

The testing of our AML program will be performed by the Statutory Auditors of the company.

33 A)



Signature of 1st Holder

33 B)



Signature of 2nd Holder

33 C)



Signature of 3rd Holder

b. Evaluation and Reporting

After we have completed the testing, the Auditor staff will report its findings to the Board of Directors. We will address each of the resulting recommendations.

10. Monitoring employee conduct and accounts

We will subject employee accounts to the same AML procedures as customer accounts, under the supervision of the Principal Officer. We will also review the AML performance of supervisors, as part of their annual performance review. The Principal Officer's accounts will be reviewed by the Board of Directors.

11. Confidential reporting of AML non-compliance

Employees will report any violations of the Company's AML compliance program to the Principal Officer, unless the violations implicate the Compliance Officer, in which case the employee shall report to the Director, Shri Kamlesh R. Sanghavi. Such reports will be confidential, and the employee will suffer no retaliation for making them.

12. Board of directors approval

We have approved this AML program as reasonably designed to achieve and monitor our Company's ongoing compliance with the requirements of the PMLA and the implementing regulations under it.

34 A)



Signature of 1st Holder

34 B)



Signature of 2nd Holder

34 C)



Signature of 3rd Holder

For Sanghavi Savla Stock Brokers Ltd.

Director.

CERTAIN APPLICABLE POLICIES & PROCEDURES

a. REFUSAL OF ORDERS FOR PENNY STOCKS

SSSBL discourages/restricts trading in penny stocks by the clients as they are susceptible to manipulation and risky for investors and traders. SSSBL, therefore, reserves right to refuse any order for penny stocks. Penny stocks may be explained as scrips having low market capitalisation, thinly traded in the market, often restricted by the exchanges for trading, wherein the market price of the scrip can be easily manipulated and therefore carrying high risk. A list of illiquid scrips is being issued by the National Stock Exchange of India Ltd.(NSE) as well as by the Bombay Stock Exchange Ltd.(BSE) at regular interval (Generally every month) may be considered as guidelines for considering a scrip as penny stock. If a client trades in penny stock, he may be warned or denied further trade by SSSBL depending upon the scrip and client's awareness and intentions and client shall indemnify SSSBL in respect of any loss caused to SSSBL on account of client trading in penny stocks;

b. SETTING UP OF CLIENT'S EXPOSURE LIMITS

Exposure limit of a client shall depend upon his/her profile, financial/residential status, ledger balance, value and nature of collateral/margin with the broker, past experience, integrity and nature of trading pattern.

c. APPLICABLE BROKERAGE RATES

Brokerage rate shall be decided with the client at the time of registration which may be reviewed from time to time in consultation with the client and sub-broker/remisier. However, the brokerage shall be subject to the limits as prescribed by SEBI/Exchanges/any other authorities having legal jurisdiction from time to time.

d. IMPOSITION OF PENALTY OR DELAYED PAYMENT CHARGES

The clients are required to settle pay-in/ provide margin within the time limits provided by Exchanges/SEBI/SSSBL risk management system. In case the client fails to provide the same within the prescribed time of pay-in/margin/any other obligations, delayed payment charges may be levied on the client's account on any delayed payments towards trading either in the cash or derivatives segment or for any outstanding dues/obligations. Such delayed payment charges shall be directly debited to the account of client. This is only a penal measure to bring in discipline in the clients. SSSBL reserves the right of imposition of delayed payment charges on the client account and the client shall be liable for payment of such charges at such rate as may be decided by SSSBL from time to time;

e. RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENT'S POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT ON ACCOUNT OF NON PAYMENT OF DUES. (LIMITED TO SETTLEMENT/MARGIN OBLIGATIONS)

As a part of its Risk Management System, SSSBL shall have the sole discretion to square off the open position of the client and/or sell client's securities (including securities maintained as margin with SSSBL and securities lying in client's beneficiary/demat account) in case the client fails to meet its settlement/margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by SSSBL. Further, the square off of client's open position or the selling of securities may be executed on such exchanges and at such price as may be decided by SSSBL. SSSBL shall have no obligation of communicating the same to the client excepting as otherwise required like issuing contract in prescribed time. SSSBL shall not be responsible for any losses incurred by the client owing to such squaring off of the position of the client. SSSBL reserves right to square off client's open position or sell client's securities as above.

The client accepts to comply with the requirement of payment of margin/settlement obligations of the client immediately failing which SSSBL may sell, dispose, transfer or deal in any other manner with the

35 A)



Signature of 1st Holder

35 B)



Signature of 2nd Holder

35 C)



Signature of 3rd Holder

securities already placed with it as margin/lying in the beneficiary account of SSSBL or square off all or some of the outstanding derivatives segment positions of the client as it deems fit at its sole discretion without further reference to the client and any resultant or associated losses that may occur owing to such square off/sale shall be borne by the client and SSSBL shall be fully indemnified and held harmless by the client in this behalf at all times;

f SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES

In case the client defaults on its existing obligation of delivering securities and in the event the trade has been internally netted off, whether fully or partly, by SSSBL, there could be internal shortages. The internal shortages are marked against the client randomly at the sole discretion of SSSBL taking into account the delivery obligations through Exchanges. In case of failure of delivery the client marked for internal netting of trade, the same shall be met through fresh market purchases and the loss on account of the said purchases will be charged to the defaulting client's account.

g CONDITIONS UNDER WHICH CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR BROKER MAY CLOSE EXISTING POSITIONS OF CLIENT

In addition to the conditions as provided under the policy of right to sell securities and close out open positions as described in point e above, SSSBL shall have the right to refuse to execute trades/allow the client to take further positions and/or close out the existing positions of client under the following circumstances:

- i. As a result of any Regulatory directive/restriction;
- ii. Non-receipt of funds/securities and/or bouncing of cheque received from the client towards the obligations/margin/ledger balances;
- iii. Due to technical reasons;
- iv. Securities breaching the limits specified by the exchanges/regulators from time to time;
- v. In case of failure to meet margin including mark to market margins by the client;
- vi. In case securities to be transacted by the client are not in dematerialised form;
- vii. Any other conditions as may be specified by SSSBL from time to time in view of market conditions, regulatory requirements, internal policies etc. and risk management system;
- viii. Due to any force majeure event beyond the control of SSSBL. SSSBL shall not be responsible for any loss incurred and the client shall indemnify SSSBL in his regard.

h TEMPORARY SUSPENDING OR CLOSING OF CLIENT ACCOUNT AT THE CLIENT'S REQUEST

SSSBL may suspend or close the trading account of the client pursuant to SEBI or any other Regulatory directive for such period as may be prescribed by the respective Regulator. SSSBL may further at its sole discretion and with/ without information to the client, prohibit or restrict or block the client's access to the use of the web site or related services and the client's ability to trade due to market conditions and other policies including policy with respect to prevention of money laundering.

i DEREGISTERING CLIENT

Deregistration of the client / Termination shall be at the sole discretion of SSSBL may deregister the client if the client breach the terms and conditions of the member-client agreement or provides any false information or declarations. Further, SSSBL may deregister the client if the client is suspected to be involved in any activities in violation of applicable Rules and Regulations. Further the client may be deregistered due to any regulatory directive, market conditions and other internal policies of SSSBL including policy with respect of money laundering. Such deregistration/termination shall not affect the rights and liabilities of the parties in respect of the transaction executed before the date of such deregistration / termination.

36 A)



Signature of 1st Holder

36 B)



Signature of 2nd Holder

36 C)



Signature of 3rd Holder

I/We hereby agree that I/We have read and understood all the above policies and procedures of SSSBL as applicable to my/our trading account. I/We understand that the above policies and procedures are subject to change/updation by SSSBL from time to time. The updated policies and procedures of SSSBL shall be posted on the website of SSSBL www.sanbro.in. I/We undertake to refer to the updated policies and procedures and abide by the same.

j. INACTIVE CLIENT ACCOUNT

A client account will be consider as inactive if the client does not trade for period of Twelve Months. Calculation will be done at the beginning of every month and those client who have not traded even once during the proceeeding 12 months will be considered as inactive, the client has to submit CKYC form with address and photo ID proof for reactivation of his/their account.

37)  **Signature of the client.** _____ **Client Code :**

Name of the Client :

RISK MANAGEMENT POLICY

Sanghavi Savla Stock Brokers Ltd. has risk management policies for all the clients. These policies have been adopted to minimise the risk from possible defaults of the clients who deal with it.

Branch (including sub-broker/remisier/ Authorised Person) level control

Client codes are mapped to the branch trading terminal IDs. The primary means of risk management is the branch level control. The following limits are set for each branch.

- | | |
|------------------------------|---------------------------|
| 1. Gross exposure | 2. Net exposure |
| 3. Quantity limits per order | 4. Value limits per order |

The limits given to the branch is on the following parameters

- | | |
|-------------------------------------|---|
| 1. Past track record of the branch. | 2. Margins/deposits of the branch lying with SSSBL. |
|-------------------------------------|---|

Client level control

- In case of clients who are in continuous debit for more than 5 days, fresh buying for that client code will be stopped till the time the dues are cleared.
- In case of **Derivative** Segment, Client has to pay Initial Margin and exposure margin before placing the order & Mark to Market loss before trading starts on the following day.
- In case of **Cash** Segment, Initial Margin has be paid upfront, Delivery margin, ELM Margin, Mark to Market.
- Margin on T+2 Basis (T = Trade Date).
- The value of pledged shares for the purpose of margin shall be considered after haircut. Haircut will be applicable as VAR – (BOD - Beginning of the day basis).

Exceptional circumstances

All exceptional circumstances are escalated to Director Mitul K. Sanghavi for immediate resolution. Policy may change as and when there is change in SEBI/Exchange rules regulation or compliance.

**CONFIRMATION UNDER THE FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) FOR
DETERMINING US PERSON STATUS** [Mandatory for all investors including Unit holder
(Guardian in case of minor) and Joint holder(s)]

To,
Sanghavi Savla Stock Brokers Ltd.
Vesta-B, 1st Floor,
90 Feet Road, Pant Nagar,
Ghatkopar (East)
Mumbai-400 075

APPLICANT'S INFORMATION

Trading A/c No.:

Demat A/c No.:

FATCA DECLARATION FOR INDIVIDUAL CLIENTS

Please provide a response common to all holders in the folio(s). For eg : If the answer to any one of the question for any one of the holder is "Yes", please tick on "Yes" against the question

**FOR INDIVIDUAL INVESTORS (INDIVIDUAL / NRI / HUF / ON BEHALF OF MINOR /
PROPRIETORSHIP FIRM)**

FATCA Compliance Confirmation Indicia	Yes" or "No" please (✓)	
Are you a resident or Citizen of the United States?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is US your place of birth?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have a US telephone number in the capacity of a resident / citizen of US?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you hold any residence / mailing address / 'C/o address' / hold mail address / PO Box address in the US?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is your POA holder based out of US or hold US residence / citizenship?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you pay tax in the US?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you hold an Identification Number or any identification that indicates US residence / citizenship?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

In case of individual client who is a resident or Citizen of the United States:

Spouse Name : _____

Nationality : _____

Place of Birth : _____

Tax Identification Number (TIN) : _____




allotted by Tax resident country : _____

TIN Issuing country : _____

Foreign Address : _____

DECLARATION & SIGNATURE(S) (To be signed as per mode of holding)

Client agrees to provide the trading member and/or depository participant with any documentation or information requested relating to individual or entity tax status. To the extent required by the trading member and/or depository participant, client hereby consents to the disclosure and reporting of any tax related information obtained or held by the trading member and/or depository participant to any local or foreign regulatory or tax authority ("Tax Authority"). Upon request by the trading member and/or depository participant, client hereby agrees to obtain a written waiver or consent from the entity's "substantial owners" or "controlling persons" and to provide those consents to the trading member and/or depository participant to permit it to disclose and report tax and account specific financial information to any local or foreign Tax authority. The terms "substantial owners" and "controlling persons" shall have the meaning as defined under local or foreign tax laws, regulatory guidance or inter governmental cooperation agreements. The potential consequences for failure to comply with requests for tax information, failure to respond to requests for waivers or consents for tax information disclosure, and/or failure to respond to requests to obtain waivers or consents from substantial owners or controlling persons, include, but are not limited to: (a) trading member and/or depository participant has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b) trading member and/or depository participant has the ability to withhold taxes that may be due from certain payments made to the client's account; (c) trading member and/or depository participant has the right to pay relevant taxes to the appropriate tax authority; (d) trading member and/or depository participant has the right to refuse to provide certain services; and (e) trading member and/or depository participant has the discretion to close client accounts. The client agrees to inform, or respond to any request from, the trading member and/or depository participant, if there are any changes to tax information previously provided.

 Authorised Signatory 1 / 38 A) 1st Applicant	 Authorised Signatory 2 / 38 B) 2nd Applicant	 Authorised Signatory 3 / 38 C) 3rd Applicant
Date :		
Place :		

STANDING INSTRUCTION LETTER

VOLUNTARY

Date:

To,
Sanghavi Savla Stock Brokers Ltd.
Vesta - B, 1st floor,
90 Feet Road, Pant Nagar,
Ghatkopar - (E), Mumbai - 400 075.

Dear Sir,

Sub: Letter of Standing Instructions

I/We am/are aware that the below mentioned points are voluntary and I/We have an authority to set aside or revoke any of them whenever I/We want to.

I/We am/are giving this authorisation for my/our operational convenience. I/We hereby willfully issue following standing instructions with references to personal discussion between us:

1. I/We will make payments to you for bills raised by you. I/we am/are agreeable for maintaining running account and instruct you that no Cheque/Shares be issued to me/us towards credit balance in my/our account, unless specifically demanded by me/us and only to the extent of amount demanded by me/us.
2. I/We am/are agreeable that the credit balance of funds and shares be treated as margin for both cash and derivatives segment.
3. I/We am/are agreeable for transfer of credit balances in margin account/client account of cash segment towards adjustment debit balance in margin account/client account of derivatives segment and vice versa.
4. I/We am/are agreeable for transfer of credit balances in margin account/client account of cash and derivatives segment of (Sanghavi Savla Stock Brokers Ltd.) (NSE) against debit balance in margin account /client account of cash segment of (Sanghavi Savla Stock Brokers Ltd.) (BSE) and vice versa.
5. I/We am/are agreeable for and authorise you to withhold funds pay-out towards all the applicable margins and debits.
6. As regards the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me/us in complying the same, I/we would request you to accept orders placed orally on telephone.
7. I/We confirm that the revocation of standing instructions will be effective only from the date and time the notice is received by Sanghavi Savla Stock Brokers Ltd.

These standing instructions are valid from the date the account is opened and will be valid until revoked.

I have an authority to set aside or revoke and any or all of them whenever I want to.

Thanking you,

Yours faithfully,

39)  **Signature of Client:** _____

Name of Client: _____

Client Code: _____

ELECTRONIC CONTRACT NOTE (ECN) CONSENT LETTER

Date:

To,
Sanghavi Savla Stock Brokers Ltd.
 Vesta - B, 1st floor,
 90 Feet Road, Pant Nagar,
 Ghatkopar - (E), Mumbai - 400 075.

Dear Sir,

**SUB: Mandate to issue contract notes and other
 communications In electronic / digital Mode**

I/We hereby authorise you to send all my contract notes/bills, statement of accounts / ledgers for trading done on NSE & BSE, in digital/electronic form on my Email ID given below. I/We would be bound to treat it / them as acknowledged.

I/We hereby agree and consent to accept the contract notes for transactions carried out by me/us in digital form subject to conditions given below. In terms of agreement entered into between me/us, in Digital form, digital contracts issued by you as per the terms and conditions specified shall be binding on me/us. I/We undertake to check the contract notes and bring the discrepancies to your notice within 24 hours of such issuance of contract notes. My non-verification or not accessing the Contract Notes on regular basis shall not be a reason for disputing the Contract Note any time. This instruction to issue digital contract note is applicable with immediate effect.

I/We hereby give my email ID for this purpose.

1. _____
2. _____

I / We confirm that, “non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the email-id of the client”

I/We hereby agree and confirm to verify the information / documents that are sent on email and/or upload on the said website regularly and the same shall be deemed to be received by me/us (Vide SEBI Circular Ref no SEBI/SMD/SE/15/2003/29/04 dated April 29, 2003, regarding issuance of contract notes / bills, statement of ledgers/accounts in digital/electronic form and to disseminate the same on website for easy access to the investor).

If there is any change in my/our email ID or in the name or in the residential/correspondence address, the same shall be intimated to you in writing through physical letter within reasonable period of time. In respect of internet clients, the request for change of email ID may be made through the secured access by way of client specific user ID and Password.

Thanking you,

Yours faithfully,

40) 

Signature of Client: _____

Name of Client: _____

Client Code: _____

RUNNING ACCOUNT LETTER

VOLUNTARY

Date:

To,
Sanghavi Savla Stock Brokers Ltd.
Vesta - B, 1st floor,
90 Feet Road, Pant Nagar,
Ghatkopar - (E), Mumbai - 400 075.

Dear Sir,

Sub: Maintenance of My Account on a running account basis.

Notwithstanding anything contrary contained in the agreement between me/us, I/we hereby request you to maintain my/our account, both securities and funds, with you on a running account basis to be settled on monthly/quarterly interval.

This will facilitate me/us in my/our transactions through you. I/we also authorise you to retain the requisite securities/funds towards such obligations and may also retain the fund expected to be required to meet the margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I/We agree to bring any discrepancies arising from the statement of account or settlement so made to the notice of the broker preferably within 7 working days from the date of receipt of funds/securities or statement, as the case may be. I/We agree that no interest will be payable to me/us on credit balances being in my/our account with you.

I/We have noted followings:

- a. This authorisation must be renewed at least once in a year.
- b. The authorisation is signed by me / us only and not by any authorised person on my behalf or any holder of Power of Attorney.
- c. I/We may revoke the authorisation at any time.

Thanking you,

Yours faithfully,

41)  **Signature of Client:** _____

Name of Client: _____

Client Code: _____

ACCOUNTS OPENING FORM DETAILS

Client Name : _____

POA ID NO:

Client Code : _____

NOMINEE NO:

Branch/Code : _____

APPROVED BY:

TRADING A/C NO:

Sr. No.	Particulars	Name of Person	Status Date
1	Form Fillup		
2	Checked By		
3	Compliance Check		
4	Back Office Entry		
5	Back Office Verify		
6	Back Office UCC		
7	UCI online - NSE		
8	UCC online - BSE		
9	JV		
10	Mappin		
11	Welcome Letter & SMS Report		
12	Remarks		

DP Form Detail

DP Backoffice Data Entry By	
Name	
Designation	
Signature	
Date	

Entry-Verified By	
Name	
Designation	
Signature	
Date	

CDAS Uploaded By	
Name	
Designation	
Signature	
Date	

FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received.

☐ (Self-Attested) Self Certified Document copies received.

Signature of the Authorised Signatory

Date: _____ (dd/mm/yyyy)

In Person Verification done by Compliance Assistant

Name _____

Emp. Signature _____

Date of Verification _____

Place _____



SANGHAVI SAVLA STOCK BROKERS LTD.

Members : The National Stock Exchange of India Ltd. (NSE): 07656
Bombay Stock Exchange Ltd. (BSE) : 0141
SEBI Registration Number: INZ000182234

Application for activation of Internet based trading (IBT) & Mobile Trading (STWT)

Date:

I wish to deal / trade in all the registered Segments, provided by you through Internet-based trading (IBT) & / or Mobile Trading (STWT) via Money Maker (Sara).

Name: _____

PAN: _____ Trading client code (UCC): _____

Address: _____

Email ID: _____ Mobile Number: _____

Trading Preferences:- (Mention Yes / No)

Sr. No.	Segment	STWT (Mobile)	*IBT (P.C.)
1	Cash (BSE & NSE)		
2	Derivatives (NSE)		
3	Signature		

***Internet-based trading Charges Rs. 3000/- Per segment per Exchange + G.S.T (18 %) p.a**

I confirm that the EMAIL ID and Mobile number stated above belong to me and I am solely responsible for maintaining the secrecy of login credentials which are forwarded to me after the successful processing of the application by Sanghavi Savla Stock Brokers Ltd. and I am solely responsible for the trading done.

APP Download Link (IOS) **SANBRO TRADING**

APP Download Link (ANDROID) **SANBRO TRADING**

1) Signature of the Client  _____



SANGHAVI SAVLA STOCK BROKERS LTD.

Details of Verifying Authorized Person of Sanghavi Savla Stock Brokers Ltd.,

Name: _____

Authorized Person Regn. No.: _____

Signature: _____

For Office use only

Entered by:

Name : _____

Signature: _____

Date : _____



SANGHAVI SAVLA STOCK BROKERS LTD.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKER TO CLIENT

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 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 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 order sent and transactions done by any person whatsoever 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 trading (IBT) 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/ & the 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.

2) Signature of the Client  _____



SANGHAVI SAVLA STOCK BROKERS LTD.

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, stock broker shall send the order/ confirmation on the device of the client.

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

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

Name:

UCC :

3) Signature of the Client 



SANGHAVI SAVLA STOCK BROKERS LTD.

Annexure to Risk Management Policy

Policy Framework for Voluntary Freezing/Blocking of Online Trading Account Access for Clients

Policy Version **SSBL/VFTA/1.0**

Policy Date **28th May 2024**

A. Introduction:

In an effort to enhance the ease of Business Operations and investment activities for investors, and to safeguard investors from suspicious activities, SEBI, through its circular ref. No. SEBI/HO/MISRD/ POD 1/P/CIR/2024/4 dated January 12, 2024, mandated trading members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients on account of suspicious activities. Consequently, stock exchanges have issued circulars detailing this framework.

In line with these directives, the following policy has been formulated for the voluntary freezing/blocking of trading accounts.

This policy has also been updated on our website also for easy access to our clients.

B. Applicability :

This policy shall be applicable as and when clients want to freeze / block online access to their trading account and subsequently desire to unfreeze the same.

C. Request for Freezing/Blocking of Online Trading Account

Clients can choose from the following options to freeze/block their trading account :

Option A : Email

Clients can send an email to a dedicated Email ID - stoptrade@sanbro.in from their registered email ID only with the Subject Line - "**Freeze/Block Trading A/C<UCC CODE>**". mention your UCC along with DOB & PAN. Upon receipt of the email, our team will validate the request.

Option B: SMS

Clients can send an SMS on the Mobile No. 8356086634 from their registered number only. SMS Code - "**STOP TRADE<UCC CODE>**". Upon receiving the SMS, our team will validate the request.
Note : Any of the above options can be used to freeze/block the trading account.

D. Processing of Request for Freezing/Blocking of Online Trading Account

On receipt of request, our team shall validate the same to confirm genuineness of request. After validation, all online internet based trading access for the UCC shall be disabled and all pending orders shall be cancelled. Client shall still be able to access back office data from our website. Timelines for processing of Freezing/Blocking the Online Access.

Scenario	Timelines for Issuing Acknowledgement and Freezing / Blocking
Request received during trading hours and within 15 minutes before the start of trading	Within 15 minutes
Request received after trading hours and 15 minutes before the start of the next trading session.	Before the start of the next trading session

*Trading Hours 9.12 a.m. to 3.30 p.m.

E. **Process Flow**

1. On receipt of such, the online access of the client's trading account shall be freezed/blocked and simultaneously all the pending orders shall be cancelled.
2. Post freezing/blocking the client's trading account, account, a communication shall be sent on the registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked. The communication shall also provide the details of all pending orders in the client's trading account, that have been cancelled along with the process of re-enablement for getting the online access to the trading account.
3. Details of open positions (if any) shall also be communicated to the client along with contract expiry information within such time as prescribed by regulators. This will eliminate the risk of unwanted delivery settlement.
4. Once the online access of the trading account is freezed / blocked such client may place orders through alternate channels such as call and trade.

F. **Procedure to Unfreeze/Unblock the Account**

Clients wishing to unfreeze/unlock their account must send an email to stoptrade@sanbro.in from their registered email ID along with UCC details. Upon receipt of the email, the SSSBL team will contact the client to confirm the request. The account will be unfrozen only after the client confirms the request over the call.

G. **Clarification**

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

This Policy shall be effective from July 01, 2024.

Name :

UCC :

4) **Signature of the Client :** 

