

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

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

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

**CDSL VENTURES LIMITED**

....Exploring New Horizons

Intermediary
Logo

Application Number: _____

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

PAN*

Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender*

☐ Male☐ Female☐ Transgender

Marital Status*

☐ Single☐ Married

Nationality*

☐ Indian☐ Other _____

Residential Status*

☐ Resident Individual☐ Non Resident Indian

Please Tick (✓)

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

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

☐

A — Aadhaar Card

XXXX XXXX _ _ _ _

(Expiry Date) _____

☐

B — Passport Number

☐

C — Voter ID Card

(Expiry Date) _____

☐

D — Driving License

☐

E — NREGA Job Card

☐

F — NPR

☐

Z — Others

_____ (any document notified by Central Government)

Identification Number _____

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

Line 1* _____

Line 2 _____

Line 3 _____

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

State* _____ Country* _____

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

Applicant e-SIGN

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

Line 1*

Line 2

Line3

City/

Town/Village*

District*

Pin Code*

State*

Country*

Address Type*

☐

Residential/Business

☒

Residential

☐

Business

☐

Registered Office

☐

Unspecified

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

A — Aadhaar Card

XXXX XXXX _ _ _ _ _

☐

B — Passport Number

(Expiry Date)

☐

C — Voter ID Card

☒

D — Driving License

(Expiry Date)

☐

E — NREGA Job Card

☐

F — NPR Letter

☒

Z—Others

(any document notified by Central Government)

Identification Number

3. Contact Details (in CAPITAL)

Email ID*

Mobile No. *

Tel (Off)

Tel (Res)

4. Applicant Declaration

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

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

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

DATE: _____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN

Applicant Wet Signature

**5. For Office Use Only**

In-Person Verification (IPV) carried out by*

Intermediary Details*

IPV Date

Emp. Name

Emp. Code

Emp. Designation

☐

Self certified document copies received (OVD)

☐

True Copies of documents received (Attested)

AMC / Intermediary Name :

Swastika Investmart Limited



Institution Name and Stamp

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

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

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

**CDSL VENTURES LIMITED**

....Exploring New Horizons

Intermediary
Logo

Application Number:

Application Type: Without Supporting KYC Modification

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

PAN* _____

Name (same as ID proof) _____

Fathers/Spouse's Name _____

Marital Status

☐ Single☐ Married**2. Contact Details (in CAPITAL)**

Email ID _____

Mobile No. _____

Tel (Off) _____

Tel (Res) _____

3. Applicant Declaration

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

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

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

DATE: _____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN

Applicant Wet Signature

**4. For Office Use Only**

Intermediary Details (Name and Stamp)*

Institution Name and Stamp

॥ सर्वे भवन्तु धनिनः ॥

Client Registration Form : Trading & Demat Account



RIGHT STEP TOWARDS WEALTH CREATION

For Office Use Only		
Cash	☐ NSE	☐ BSE
F & O	☐ NSE	☐ BSE
Currency	☐ NSE	☐ BSE
Demat	☐ NSDL	☐ CDSL
Commodity	☐ MCX	☐ NCDEX

Client Name : _____

Client Code : _____ Date : _____

BO ID : 12043700 / IN303833 : _____

Introducer Name : _____

Branch : _____ City : _____

Swastika Investmart Limited

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

C. Proof of Address (POA) : List of documents admissible as Proof of Address : (*Documents having an expiry date should be valid on the date of submission)

- Passport/Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance Bill / Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.

- Bank Account Statement /Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/ Scheduled Co-operative Bank/ Multinational Foreign Banks/ Gazetted Officer/ Notary Public/ Elected representatives to the Legislative Assembly/ Parliament/ Documents issued by any Govt. or Statutory Authority.
- Identity Card/ document with address, issued by any of the following: Central/State Government and its Departments/ Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks/ Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc. to their Members.
- For FI/sub account, Power of Attorney given by FI/ sub-account to the custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/Clarifications to PAN

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

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

E. List of people authorised to attest the documents:

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

F. Instructions for Bank A/c Details :

- Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 - Photocopy of the Bank Statement having name and address of the BO
 - Photocopy of the Passbook having name and address of the BO, (or)
 - Letter from the Bank.
- In case of option 2, 3 & 4 above, MICR code of CFSL the branch should be present / mentioned on the document.

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

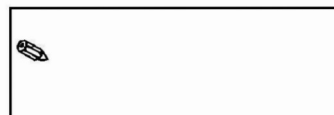
Type of entity	Documentary Requirements
Corporate	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) Photograph, POI, POA and DIN numbers of whole time director/two director in charge of day to day operations. Photograph, POI, POA, PAN of Individual Promoters holding control - either directly or indirectly Copy of the Memorandum and Articles of Association and certificate of Incorporation. Copy of the Board Resolution for investment in securities market Authorised signatories list with specimen signatures
Partnership Firm	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of partnership deed Authorised signatories list with specimen signatures Photograph, POI, POA, PAN of Partners.
Trust	Copy of the balance sheets for the last 2 financial year (to be submitted every year) Certificate of registration (for registered trust only) Copy of trust deed List of trustees certified by managing trustees /CA Photograph, POI, POA, PAN of Trustees
HUF	PAN of HUF Deed of declaration of HUF/List of coparceners Bank Pass Book / Bank Statement in the name of HUF Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of Individuals	Proof of Existence /Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf Authorised signatories list with specimen signatures.
Bank / Institutional Investors	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Authorised signatories list with specimen signatures
Foreign Institutional Investors (FII)	Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army / Government Bodies	Self-certification on letterhead Authorized signatories list with specimen signatures
Registered Society	Copy of Registration Certificate under Societies Registration Act List of Managing Committee members Committee resolution for persons authorised to act as authorised signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

Client Code _____		BO ID : 12043700/IN303833 _____	
	Date	Name	Signature
KYC Received			
Phone Verification			
KYC Punched			
UCC Upload			
KRA Upload			
CKYC Upload			
KYC Audit			
DP Audit			

INTRODUCER DETAILS
Status of Introducer ☐ Authorised Person ☐ Employee ☐ Existing Client ☐ Others (Specify):
Introducer Name :
Address:
Mobile No:
Mail ID :

Rubber Stamp

Signature of the Introducer



For : Swastika Investmart Ltd. /Authorised Person

Date

Authorised Signatory

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	KRA Form and Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list.	to
2.	Policies and Procedures	Document describing significant policies and procedures for client dealing in all Exchanges	
3.	Rights and Obligations Documents of BO & DP	Rights & obligations documents of BO & DP for a person seeking to open a beneficial owner's account. (for opening of Demat Account)	SEPARATE COPY FOR CLIENT
4.	Rights and Obligations of Members, Authorized persons and Clients	Document stating the Rights & Obligations of Member/ Authorised person/Sub Broker and Client for trading on Exchanges (including addition rights & obligations in case of internet/wireless technology based trading).	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities / commodities market.	
6.	Guidance Note - Do's and Don'ts	Document detailing do's and don'ts for trading on Exchange, for the education of the investors.	
7.	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on Exchanges & DP Service charges/Fee Structure	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER			
1.	Voluntary Terms & Conditions	Additional terms & conditions specific to client for the purpose of operational efficiency.	
2.	Running Account Authorisation / Fatca / CRS Declaration	Authorisation to maintain Running Account/ Fatca Declaration	
3.	Power of Attorney	Power of Attorney for pay in of securities for the purpose of settlement obligation (for Demat Account Holder only)	
4.	KRA Form for HUF	KRA Application Form for HUF (Non Individual Only)	

Instructions for Applicant :

- Please sign the application form on the placed market as  for trading & demat Account ,  For Demat Second Account Holder,  for Demat Third Account Holder .
- Signature can be English or Hindi or in any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb Impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
- All fields provided in the Client "KYC" (Know Your Client) Form and Agreement together with other Letters/Undertaking/Authorization Should be duly filled. In case of Information in a field no being available, the words "N.A." or "NIL" should be mentioned. Any correction / overwriting also should be authenticated by the client by signing besides such correction.
- Signature should be preferably in black ink.
- Details of the Names, Address, Telephone Number(s) etc. of the Magistrate/Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
- In case of additional signatures (for accounts other than Individuals), separate annexures should be attached to the account opening form.
- In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
- All correspondence / queries shall be addressed to the first / sole applicant.
- Strike off whichever option, in the account opening form, is not applicable.

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

Please fill in **ENGLISH & BLOCK LETTERS** Application Type ☐ New ☐ Update
with **Black/Blue ink & tick the appropriate options, All fields are mandatory**

A. IDENTITY DETAILS

I /We request you to open a Trading and Demat account in my/our name as per the following details : Date

1. Name of Applicant				
2. Maiden Name				
3. Father's/Spouse Name				
4. Mother Name				
5. a. Gender	☐ Male	☐ Female	☐ Transgender	
b. Date of Birth	c. Marital Status ☐ Single ☐ Married			
6. Nationality	☐ Indian	7. Status	☐ Resident Individual ☐ Minor	
8. PAN	Aadhaar			
Specify the proof of identity submitted ☐ Passport ☐ Driving Licence ☐ Voter ID ☐ Other No.				

For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

a. Name											b. PAN									
Whether the applicant is Minor : ☐ Yes ☐ No																				
If yes, Guardian Name _____																				
Guardian PAN _____																				
Relationship with Guardian _____																				

B. ADDRESS DETAILS

1. Current Residence/ Correspondence Address																				
City/Town/Village													District							
Pin Code							State							Country	INDIA/					
2. Permanent Address (if different from above correspondence address)	☐ Same as Current Address																			
City/Town/Village													District							
Pin Code							State							Country	INDIA/					
3. Specify the proof of address submitted ☐ Passport ☐ Driving Licence ☐ Other No.																				

C. Contact Details

Mobile No.													Tel. (Office)						
Email id													Tel. (Res.)						

DECLARATION I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we 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							Signature of Applicant						
------	--	--	--	--	--	--	--	--	--	--	--	--	-------	--	--	--	--	--	--	------------------------	--	--	--	--	--	--

FOR OFFICE / SUB BROKER / AUTHORISED PERSON USE ONLY

Particulars	Documents Verified with Originals	Client Interviewed By & In-Person Verification done by	
Name of Employee/AP			
Employee Code/AP No.			
Designation			
Date			
Signature			

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

Please fill in **ENGLISH & BLOCK LETTERS**

Application Type ☐ New ☐ Update

with **Black/Blue ink & tick the appropriate options, All fields are mandatory**
A. IDENTITY DETAILS

I /We request you to open a Trading and Demat account in my/our name as per the following details : Date

1. Name of Applicant / Guardian
2. Maiden Name
3. Father's/Spouse Name
4. Mother Name
5. a. Gender ☐ Male ☐ Female ☐ Transgender

b. Date of Birth
c. Marital Status ☐ Single ☐ Married

6. Nationality ☐ Indian

7. Status ☐ Resident Individual ☐ Minor

8. PAN

Aadhaar

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Signature of First/Sole Holder

Specify the proof of identity submitted ☐ Passport ☐ Driving Licence ☐ Voter ID ☐ Other No.

For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

a. Name

b. PAN

B. ADDRESS DETAILS
1. Current Residence/ Correspondence Address

City/Town/Village

District

Pin Code

State

Country

INDIA/
2. Permanent Address
☐ Same as Current Address

(if different from above correspondence address)

City/Town/Village

District

Pin Code

State

Country

INDIA/
3. Specify the proof of address submitted ☐ Passport ☐ Driving Licence ☐ Other No.

C. Contact Details

Mobile No.

Tel. (Office)

Email id

Tel. (Res.)

DECLARATION I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we 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

Signature of Applicant


FOR OFFICE / AUTHORISED PERSON USE ONLY

Particulars	Documents Verified with Originals	Client Interviewed By & In-Person Verification done by
Name of Employee/AP		
Employee Code/AP No.		
Designation		
Date		
Signature		

Seal / Stamp

TRADING & DEMAT ACCOUNT RELATED DETAILS

TYPE OF ACCOUNT ☒ Individual		Sub Status ☐ Resident ☐ Other			
A. BANK ACCOUNT DETAILS					
Bank 1 : Bank Name & Branch Location					
Account No.	☐ Savings ☐ Current ☐ Others				
MICR Code	IFSC Code				
Bank 2 : Bank Name & Branch Location					
Account No.	☐ Savings ☐ Current				
MICR Code	IFSC Code				
B. DEPOSITORY ACCOUNT DETAILS (DP1 DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)					
	DP 1 Details		DP 2 Details		
Depository	☐ NSDL ☐ CDSL		☐ CDSL ☐ NSDL		
DP Name	Swastika Investmart Limited				
Client Name					
DP ID	IN 303833 / 12043700				
Client ID	/ UCC				
C. MODE OF OPERATION FOR JOINT ACCOUNTS :					
☐ Jointly ☐ Anyone of the holder or survivor(s)					
If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and /or securities and / or specific number of securities will be permitted.					
D. 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 & MSEI			MCX, NCDEX BSE & NSE	
All Segments	Cash /SLBM / Mutual Fund	F & O	Currency	Debt	Commodity Derivatives
If you do not wish to trade in any of segments / Mutual Fund, Please mention here _____					
E. In case of NRIs / Foreign Nationals					
RBI Approval Reference Number _____					
RBI Approval Date _____					
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) ☐ Yes ☐ No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be "No")					☐ Yes ☐ No
I/We wish to receive dividend / Interest directly into my bank account as given below through ECS (If not marked, the default option would be "Yes") [ECS is mandatory for locations notified by SEBI from time to time]					☐ Yes ☐ No

E. PROOF OF FINANCIAL DETAILS (Attached any one of the below. Mandatory for trading in F&O / Currency segment)

☐ ITR Acknowledgment
 ☐ Demat holding statement
 ☐ Salary Slip
 ☐ Bank Account Statement (for last 6 months)
 ☐ Self declaration along with relevant supporting

F. PAST ACTIONS

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

G. DEALING THROUGH SUB BROKER / AUTHORISED PERSON (AP) / OTHER STOCK BROKERS

If Yes, please specify:

Name of Stock Broker	Name of SB/AP
Name of Exchange	Client Code (as given by other broker)

Details of disputes/dues pending from/to such stock broker/sub-broker:

Whether you are a Member / Sub-broker / AP of any Exchange ☐ Yes ☐ No

If yes, provide SEBI REGISTRATION NO:

H. GOODS & SERVICE TAX REGISTRATION DETAILS :

Registration No	Validity Date	Name of the State
CGST		
IGST		
UGST / SGST		
Any Other Registration		

I. STANDING INSTRUCTIONS / OTHER DETAILS / EMAIL-SMA ALERT / CONTRACT NOTE PREFERENCE

Contract Note / Holding & Transaction Statement	☐ Electronic ☐ Physical
Receive Delivery Instruction Slip	☐ No ☐ Yes
Share Email ID with Registrar & Transfer Agent	☐ No ☐ Yes
Receive Annual Report	☐ Electronic ☐ Physical
DP Accounts Statement	☐ Monthly ☐ Fortnightly ☐ Weekly ☐ As per SEBI Regulation
Declaration for Mobile Number	☐ Self ☐ Spouse ☐ Child ☐ Parent
For Joint Accounts Communication to be sent to (See Note 5)	☐ Joint Holder ☐ All Joint Account Holder
I/We wish to avail basic services Demat A/c facility	☐ No ☐ Yes

Transactions Using Secured Texting (TURST) Facility Refer to Terms and Conditions Annexure - 2.6

I wish to avail the TURST 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

☐ Yes ☐ No

I/We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TURST

Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

I have read and understood the Terms and Conditions prescribed by CDSL.

Refer - https://www.cdsllndia.com/downloads/Operating%20Instruction/Annexures-as-of-June-2016_1.pdf

Easi	To register for easi, please visit our website : www.cdsllndia.com Easi allows a BD to view his ISIN balances, transactions and value of the portfolio online.)
-------------	--

Type of Account : ☐ Ordinary Resident ☐ NRI - Repatriable ☐ NRI - Non Repatriable
☐ Qualified Foreign Investor ☐ Foreign National ☐ Promoter
☐ Margin ☐ Others (Please specify)_____

J. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002

Experience	Number of years of Investment / Trading Experience Years	
Gross Annual Income	☐ Below 1 lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs OR Net Worth in Rs. as on date (*Net worth should not be older than 1 year)	
	Occupation (Please Tick) ☐ Govt Service ☐ Professional ☐ Private Sector Service ☐ Public Sector ☐ Business ☐ Retired ☐ Agriculturist ☐ Housewife ☐ Student ☐ Others _____ (Pls Specify)	
Nature of Business	☐ Manufacturing ☐ Services ☐ Trading ☐ Consultancy ☐ Others _____	
Is the Client Politically Exposed Person (PEP) or Related to PEP ☐ Yes ☐ No UNSCR CHECKED ☐		

DECLARATION

I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP/Stock broker any change(s) in the details / particulars mentioned by me / us in this form. I/We further agree that any false/misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action and I/We may be held liable for such information/representation. **I/We have received, read and understood the 'Rights and Obligations Document' for trading and DP Services, 'Risk Disclosure Document', 'Guidance Note' and agree to abide by and be bound by the same and by the Bye-Laws as are in force from time to time. I/We also confirm having read/been explained and understood the contents of the document on policy and procedures of the stockbroker and the tariff sheet. I / We have also the informed that the standard set of documents has been displayed for information on stock. I/We also declare that I/We complied and will continue to comply with FEMA Regulations.**

Date:			
Place:			
	(First/Sole Holder Signature)	(Second Holder Signature)	(Third Holder Signature)

Mobile & Email Declaration

Name of 1 st holder			
	Details	Relationship with the person whose Mobile number/E -mail Id is provided (Tick ✓ wherever applicable)	
Mobile No.		☐ Self ☐ Spouse ☐ Dependent children ☐ Dependent parents	
E-mail Id		☐ Self ☐ Spouse ☐ Dependent children ☐ Dependent parents	
SMS Alert Facility		☐ Yes ☐ No.	

Name of 2 nd holder			
	Details	Relationship with the person whose Mobile number/E -mail Id is provided (Tick ✓ wherever applicable)	
Mobile No.		☐ Self ☐ Spouse ☐ Dependent children ☐ Dependent parents	
E-mail Id		☐ Self ☐ Spouse ☐ Dependent children ☐ Dependent parents	
SMS Alert Facility		☐ Yes ☐ No.	

Name of 3 rd holder			
	Details	Relationship with the person whose Mobile number/E -mail Id is provided (Tick ✓ wherever applicable)	
Mobile No.		☐ Self ☐ Spouse ☐ Dependent children ☐ Dependent parents	
E-mail Id		☐ Self ☐ Spouse ☐ Dependent children ☐ Dependent parents	
SMS Alert Facility		☐ Yes ☐ No.	

Nomination Option :
☐ I/We wish to make a nomination

☐ I/We do not wish to make a nomination

Date:			
Place:			
	(First/Sole Holder Signature)	(Second Holder Signature)	(Third Holder Signature)

Nomination Form

To, Swastika Investmart Limited 48, Jaora Compound, Indore			FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>													
Date			UCC/DP ID									Client ID				
☐ 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 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	Equality (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)															
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															
Sr. Nos. 8-14 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. 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 holder(s)					Signature(s) of holder*
Sole / First Holder (Mr./Ms.)					
Second Holder (Mr./Ms.)					
Third Holder (Mr./Ms.)					

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

Note:

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

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

Declaration Form for opting out of nomination

To, Swastika Investmart Limited 48, Jaora Compound, Indore	Date	
UCC/DP ID		
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)*		
1. 3.		

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

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date	
------	--

DP ID									Client ID	
First Holder Name										
Second Holder Name										
Third Holder Name										

To,
Swastika Investmart Limited
 48, Jaora Compound, Indore
 Dear Sir / Madam,

I / We hereby state that: [Select the options given below]

☐ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with **Swastika Investmart Limited** (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

OR

☐ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have Issued a POA/ registered for eDIS / executed PMS agreement in favour of / with **Swastika Investmart Limited** (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

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

[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

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

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

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those 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 authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions

mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

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

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

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

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

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 : _____

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)

--

Signatures

Sole / First Holder

Second holder

Third Holder

Place: _____

Date: _____

POLICIES AND PROCEDURES FOR CLIENT DEALINGS ALL EXCHANGES - MANDATORY (as required by SEBI circular MIRSD / SE / Cir-19/2009 dated December 3, 2009)

1. **Delayed payment charges / Penalty:** The Client agrees that without prejudice to any other remedy or right prescribed in the present, the trading member may charge interest on delayed payment / penalty charges on the debit balance of the client which is not settled as per exchange norms, upto 36% per annum.
2. **Penny / Illiquid Stocks:** The Client Understands and agrees that the trading member may at any time at its sole discretion and without prior notice, refuse, prohibit or restrict the client's ability to place orders or trades in penny / illiquid stocks. For this purpose penny / illiquid stock means stocks which are appearing in the list of illiquid securities issued by the exchanges every months.
3. **Setting up exposure Limit:** The client is aware & agrees that the trading member may need to vary or reduce the exposures limit or impose new limits urgently on the basis of trading members risk perception and other factors considered relevant by the stock brokers. The trading member may be unable to inform the client of such variation, reduction or imposition in advance.
4. **Brokerage rate:** The client understands and agrees that the trading member charge brokerage and other statutory charges and levies as per the rates mentioned in the schedule of charges/tariff sheet. Any change in brokerage will be with the consent of client.
5. **Position Square off:** The client is aware and agrees that in case of debit balance in client account, non payment of margin or client's dues as per exchange norms, the trading member may sell client securities or close client's position, without giving any notice to the client and loss / profit arise on such transaction will be treated as norms profit / loss of the client.
6. **Internal Shortage:** In case of internal shortage of securities, any entry passed to the account of the client in accordance with the practice consistently followed by the trading member across all its client shall be binding on the client policy. Further in case of shortage of securities, the client agrees and authorize trading member to buy shares on behalf of the client and debit the amount for the same to the client trading account maintained with the trading member. Detailed internal shortage policy is available at SIL website download section.
7. **Restrictions on further position or close out:** the client is aware and agrees that in case of insufficient balance in his trading account on account of pay in / MTM margin obligation or non payment of client's dues as per the exchange norms, the trading member may refuse to take further position and / or close the existing position of client to make client account good.
8. **Temporary Suspension or closing:** The client shall be entitled to temporarily suspend / close his account without giving any reason to the trading member, after giving notice in writing. Notwithstanding any such termination, all rights, liabilities and obligation of the parties arising out of or in respect of transactions entered in to prior to the termination of this Client Registration Documents shall continue to subsist and vest in / be binding on the respective parties.
9. **Deregistering:** In the event of default under this Client Registration Documents by the client, the trading member shall be completely entitled to any or all of the following course of action:
 - I. Immediate termination of this Client Registration Documents and termination of the provisions or services in terms of this Client Registration Documents.
 - II. Other remedies as may be available in terms of law in force, at that point of time.
 - III. Arbitration in terms of this Client Registration Documents.
10. **Policy for treatment of inactive accounts and process for reactivation:** If the client has no open position and is inactive for more than one year then the account would be suspended for trading. If there is any credit available in the Client's margin account with us, it would be refunded at the client's request. If the client is desirous of reactivating his account post the suspension, then he will have to send a written request for reactivation.

Client Code

Date:
Place:

Client Signature



VOLUNTARY TERMS AND CONDITIONS

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

1. **Authorization to debit additional charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that SIL may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by SIL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with SIL Broking.
2. **Payment by cheque :** Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favour of SIL only upon realization of the funds of the said cheque / pay order / demand draft.
3. **Lien:** All securities, funds and/or properties of the Client as may be permitted by the Exchange(s) from time to time to be placed with SIL shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of SIL. SIL shall be entitled to withhold such securities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, funds or properties at its sole discretion & at any point of time.
4. **Authorization for delivering / pledging shares:** The client understands and agrees that SIL may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of SIL to enforce, at its option, the collateral security in the

securities to recover the debit balance at any time.

5. **Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes SIL to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock purchased/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of SIL.
6. **Disclaimer:** The Client understands and agrees that neither SIL nor any other party disseminating any market data, message or information through the Website of SIL or in any other media shall be liable for:
 - (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
 - (b) **Any loss or damage arising from or occasioned by**
 - (i) Any such inaccuracy, error, delay or omission, (ii) Nonperformance,
 - or (iii) Interruption in making available any such data, information or message, due to either any act or omission by SIL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of SIL or any disseminating party.
7. **Manner/Mode of placing orders/Instructions & Nonexecution/delay/cancellation of Orders:** The Client may communicate orders and other instructions to SIL or the subbroker/ authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the through designated office. The client hereby agrees that SIL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading beyond the control of SIL or the Exchange.
8. **Non-execution/delay/cancellation of Orders :** The client hereby agrees that SIL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, malfunctioning of the online as well as offline trading service, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of SIL or the Exchange.
9. **Client not to act on representations of agents, employees:** Client is aware that SIL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on Investment of the Client whether in writing or otherwise on behalf of SIL.

10. **Recording of Conversation:** The client is aware and agrees that SIL may tape record the conversation between the client/client's representative and SIL, whether over the telephone or in person. SIL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
11. **Confidentiality of Client Details:** SIL may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by SIL to any person or entity including but not limited to any Independent third parties or any entities of SIL Group, whether within or outside India, of any information and data relating to Client or relating to Client's trading account with SIL for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
12. **Disclosure as to Proprietary Trades by SIL:** SIL carry out proprietary trades in addition to trades on behalf of its Clients.
13. **Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
14. **No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
15. **Notices:** All notices or communications issued by SIL shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
 - 15.1 (a) By ordinary post or (b) By registered post (c) Under certificate of posting or (d) By express delivery post or (e) by SMS on registered mobile or by telephonic call or (f) By affixing it on the door at the last known business or residential address or (g) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (h) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (i) By publishing it in the website of SIL wherein secured login-id and password to Client is provided or (j) By a notice posted on the notice board of the Exchange if no address be known or (k) By electronic mail or fax or (l) By hand delivery or By Courier or any other mode as may be allowed for communication.
- 15.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between SIL and the Client may be made orally, or in the approved mode.
16. **Electronic Contract Note (ECN) :**
 - 16.1. Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through provided e-mail id in KYC Application Form at page No. 3 under point c contact details.
 - 16.2. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform SIL either in writing or via E-mail within reasonable time of the receipt of the same. SIL shall also publish the Contract Note on the Web site www.swastika.co.in on any other designated location specified by SIL from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, SIL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advise SIL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.
 - 16.3
 1. The client agrees to accept the transaction carried by him/her/them in digital form through Internet such as copies of ledgers, Bills, Margin Statements, Statement of accounts of funds & securities and any other information / documents through internet to my/our Registered E-mail ID.
 2. Client undertake to check the contract notes / Bills on regular basis and bring the discrepancies to SIL notice within 24 hours of issuance at any time. Non verification or not accessing the internet on regular basis shall not be a reason for disputing about the documents.
 3. Client shall ensure that these mail ids are kept valid and any change in my/our e-mail ids shall be communicated to SIL in writing.
 4. Client is aware that non receipt of bounced mail notification by SIL, shall amount to delivery of contract notes/bill/Statement of accounts/other documents at my/our e-mail id.
 5. Client also aware that the copies of the contract notes are also available at SIL website www.swastika.co.in for which I/we have been provided with an user id and password.
 6. Client aware that in case of any failure in system or error in digital contract notes, the same will be provided in physical form, which shall be binding on me/us
17. **Participate to provide the transaction statement through internet (web-based and /or email) (D.P.)**
 The Client has agreed and permitted the participant to provide the transaction statement through internet (web-based and/or email) as follows :

1. The participant shall install adequate system to restrict the access of the transaction statement only to the client and client shall also take necessary steps to ensure confidentiality and secrecy of the login name and password.

2. In case of change in email address, client immediately inform the Participant and participant shall verify and confirm with the client. Further, the participant shall confirm with the client about validity of the email address at least one in a year.

3. The client agrees not to receive transaction statement in physical form from the participant, until and unless due to any unforeseen problems.

4. The client shall have the right to terminate these agreed terms and conditions after giving a notice of at least 10 days to the other parties.

18. Electronic Transmission of other Documents:

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

19. Electronic Payment Gateway for Net Banking Services:

SIL may provide on its internet trading website, access to Electronic Payment Gateways provided by various banks / service providers for facilitating transfer of funds from Client's bank account to the account of the Client with SIL. Client understands that SIL is only providing access to the electronic fund transfer facility provided by the banker/ service providers of the Client through SIL's website by means of an Interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make SIL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that SIL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank. SIL can levy charges against the facility as mentioned in tariff sheet.

20. Internet / Wireless Technology based Trading facility:

20.1. SIL offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond Issues or any other issues of securities or services to apply/purchase/redeem/ sale/buyback or otherwise

deal in the units of Mutual Funds (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to SIL over the Internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by SIL by complying with the formalities prescribed therefore.

20.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as SIL may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of SIL.

20.3. The client understands and agrees that SIL has different product of the Internet Trading /Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, SIL shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

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

21. Extra Ordinary Events and termination/ suspension of trading facility: SIL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond SIL's control resulting in nonexecution, partial or incomplete execution of orders and the resulting financial loss, if any SIL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

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

23. Mutual Fund Service System Facility / BSE Star MF: Client is registered with SIL Broking and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). In case client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund

Transaction Facilities). Know Your Client details as submitted by the client for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy)

24. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this Client Registration Documents, any contracts, dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the

Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.

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

Date:
Place:



Client Signature

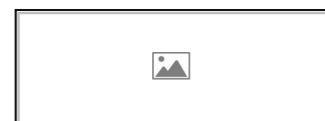
STANDING INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY DOCUMENT)

I / We request you to maintain my/our accounts for funds securities on running accounts basis Instead of 'bill to bill settlement basis, unless I/we specifically request you for a payout of available free funds or securities in the account. You may settle the accounts at Monthly ☐ Quarterly ☒ (strike off whichever is not applicable, else the option will be considered as Quarterly) or at such other intervals as SEBI/Stock Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Stock Exchanges/SEBI from time to time or towards other unbilled services and/or charges applicable on my account, while settling the accounts. **I/We further authorize you to also retain an amount as**

Date:
Place:

Client Code

permitted by SEBI / Stock Exchanges from time to time, while settling my / our account. I/We understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that Swastika Investmart Limited shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.



(Client Signature)

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

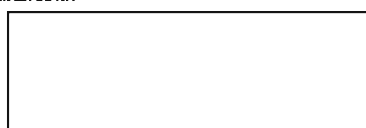
Client Name				
		First / Sole Holder	Second Holder (if any)	Third Holder (if any)
1.	Are you U.S. Person ? (Refer KYC Handout - Customer Copy)	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
2.	Specify country of residence for tax purpose (Tax Residency)	☐ India ☐ Other	☐ India ☐ Other	☐ India ☐ Other
3.	Specify Country of Citizenship	☐ India ☐ Other	☐ India ☐ Other	☐ India ☐ Other

Note : If you are a U.S. person and /or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA/CRS.

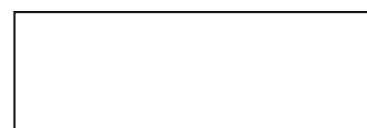
This declaration form can be downloaded from www.swastika.co.in



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

A. DEMAT TARIFF SHEET

SCHEMES	AMC Based ☐	Deposit Charges ☐	One Time ☐	BSDA Tariff ☒	
				Upto Rs. 4,00,000	Rs. 4,00,001 to Rs. 10,00,000
Account Opening Charges	Nil	Nil	Nil	Nil	Nil
Documentation Charges	Nil	Nil	Nil	Nil	Nil
POA Charges	Rs.150	Nil	Nil	Rs.150	Rs.150
AMC for Individual & HUF Account	Rs.250	Rs.2000 (refundable)*	Rs.1000 (Non-refundable)	Nil	Rs.100
Entities other than above mentioned	Rs.500+ (Rs.500 CDSL/ NSDL Charges)	Rs.6500 (Refundable)*	Rs.3500 (Non-refundable)	N.A.	N.A.
Transaction Charges:-					
On purchase	Nil	Nil	Nil	Nil	Nil
On sale :-					
Within Swastika Group	0.02% Or (Min.Rs.17)*	0.02% Or (Min.Rs.17)*	0.02% Or (Min.Rs.17)*	0.02% Or (Min.Rs.17)*	0.02% Or (Min.Rs.17)*
Outside Swastika Group	0.03% Or (Min. Rs.25)*	0.03% Or (Min. Rs.25)*	0.03% Or (Min. Rs.25)*	0.03% Or (Min. Rs.25)*	0.03% Or (Min. Rs.25)*
Settlement Fees	*Inc. of transaction fee i.e. ₹4.00 for NSDL and ₹3.50 for CDSL				
Demat charges	Rs.2 per certificate** Or (Min. Rs. 10)	Rs.2 per certificate** Or (Min. Rs. 10)	Rs.2 per certificate** Or (Min. Rs. 10)	Rs.2 per certificate** Or (Min. Rs. 10)	Rs.2 per certificate** Or (Min. Rs. 10)
Remat charges	Rs.25/every 100 securities (Min. Rs. 50) Or (CDSL/NSDL charges extra)**	Rs.25/every 100 securities (Min. Rs. 50) Or (CDSL/NSDL charges extra)**	Rs.25/every 100 securities (Min. Rs. 50) Or (CDSL/NSDL charges extra)**	Rs.25/every 100 securities (Min. Rs. 50) Or (CDSL/NSDL charges extra)**	Rs.25/every 100 securities (Min. Rs. 50) Or (CDSL/NSDL charges extra)**
Pledge Creation, Closure:-	0.02% Or (Min. Rs.50)	0.02% Or (Min. Rs.50)	0.02% Or (Min. Rs.50)	0.02% Or (Min. Rs.50)	0.02% Or (Min. Rs.50)
Margin Pledge / Un pledge	Rs. 15	Rs. 15	Rs. 15	Rs. 15	Rs. 15
Account Freezing	Rs. 100	Rs. 100	Rs. 100	Rs. 100	Rs. 100
Delay pay-in per	Rs. 20	Rs. 20	Rs. 20	Rs. 20	Rs. 20

Notes for Demat Tariff Sheet :

- Swastika reserves the right to revise the tariff structure from time to time, with notice of 30 days. The notice may be given by Ordinary post, email or on the website of Swastika.
- DRF would be accepted against upfront payment.
- Rejection of DRF for BSDA Tariff will be charged at Rs.40/- plus Rs.2/- per certificate and Other than BSDA Tariff will be charged at Rs.50/-.
- Each bounce instruction (rejected) will attract a fine of Rs.20/-.
- A penalty of 1% interest per month on the value outstanding on the bill from the due date of Rs.25/- whichever is higher.
- Service tax and other levies would be extra as applicable.
- Free transaction will be provided monthly and quarterly as per CDSL/NSDL norms and extra Rs.10/- per statement other than BSDA Tariff.
- Any services that is not indicated above will be charged separately as per the rates applicable from time to time.
- Subject to Closing Demat Account in the First Year
- *Exit load Rs.400/- (Rs.550/- entities other than Individual & HUF) will be applicable
** Postage Charges will be charged on actual basis. (Min. Rs. 50/-)
- Basic Service Demat Account (BSDA) facility will be available as per Security Exchange Board of India (SEBI) Circular for opening a BSDA and any amendment from time to time. In case of Demat account under BSDA facility does not meet the eligibility for BSDA facility as per SEBI guidelines or any such authority at any point of time, BSDA account will be converted to regular demat account without reference and will be levied charges as applicable to regular accounts as informed by the Depository Participant.

B. TRADING TARIFF SHEET

Account Code								
Group				Location				
Family Name & Code								
	SEGMENT							
	CASH (NSE & BSE)		DERIVATIVES		CURRENCY DERIVATIVES		COMMODITY	
	Delivery based Transactions	Daily Square up Transactions	Future Transactions	Option Transactions	Future Transactions	Option Transactions	Future Transactions	Option Transactions
Brokerage :-								
(a) Slab (%)								
(b) Min. Paise/ Min. per contract								
Transaction & Other Charges (%)								
Other Charges								

Notes for Trading Tariff Sheet

- Brokerage is based on the turnover/business committed by me/us and I/we hereby confirm that the members can revise any time subject to the maximum rates prescribed by the Exchange/SEBI.
- Security Transaction Tax, Service Tax and Stamp Duty would be charges as per applicable rates.
- Swastika reserves the right to revise charges by giving 15 days notice to the client.
- All statutory & regulatory dues will be recovered at actual.
- Minimum brokerage will be applicable @ Rs. 15/- per contract note.
- The processing fee for SLBM transactions is 20% of the lending/borrowing amount plus 18% GST.

Date:

Place:



(First/Sole Holder Signature)

(Second Holder Signature)

(Third Holder Signature)

Format for request (Declaration for same E-mail & Mobile Number) [Please tick () wherever applicable]

DP ID		Client ID	
Name of account holder			
☐ Mobile Number			
☐ Email ID			

I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My Family Members Relations

1. _____ 2. _____ 3. _____ 4. _____

Date:

Place:

Client Signature



INTIMATION TO CLIENTS AND NOTING - MANDATORY

To,

Swastika Investsmart Ltd.

Regd. Office : 48, Jaora Compound,

INDORE - 452 001

Re: Confirmation of noting

I/We confirm that I/We understand and noted the following:

- That, you undertake to trade in your OWN/PRO account, in addition to the client base trading.
- That, your investor grievance email ID is **compliance@swastika.co.in**. If not satisfied with the response, please contact the concerned exchanges at NSE- **ignse@nse.co.in**, Contact No. **18002660058** BSE- **is@bseindia.com**, Contact No. **022-22728517/8097**, **commodities@swastika.co.in**. If not satisfied with the response, please contact the concerned exchanges at MCX- **grievance@mcxindia.com**, Contact No. **02266494070** NCDEX- **ig@ncdex.com** Contact No. **022-66406789**

Date:

Place:

Client Signature



KRA CONSENT FOR DETAILS

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

I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating / maintaining / sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.

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

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

CKYCR DOWNLOAD CONSENT FORM

I, [Name of the customer] S/o/D/o / W/o [Father's /Mother's/Spouse Name] give my consent to Swastika Investmart Limited to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

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

Date: DD / MM / YYYY			
Place:	(First/Sole Holder Signature)	(Second Holder Signature)	(Third Holder Signature)

Form No.

CIN : L65910MH1992PLC067052

48 Jaora Compound,
MYH Square.
Indore - 452001
Ph.: 0731-6644000
GSTN: 23AABCS6585J2Z1

Office No.104, 1st Floor, KESHAVA Commercial
Building, Plot No.C-5, "E" Block, Bandra Kurla
Complex, Opp GST Bhavan, Bandra (East), Mumbai –
400051
Ph.:022-69011544
GSTN:27AABCS6585J2ZT

KYC Department : 0120 44 00 750

E-mail : kyc@swastika.co.in | Helpdesk : +91 80 6904 9850 | Web : www.swastika.co.in

Chief Executive Officer : Mr. Sunil Nyati . Ph. : 0731-6644000 . E-mail : md@swastika.co.in
Compliance Officer : Ms. Dimple Soni . Ph. : 0731-6644241 . E-mail : compliance@swastika.co.in

INVEST HERE • GET THERE

EQUITY • COMMODITY • CURRENCY • DEPOSITORY • RESEARCH • INSURANCE • LOAN • MUTUAL FUND • INVESTMENT BANKING

SEBI Regn No.: NSE/BSE/MCX/NCDEX/MSEI: INZ000192732, Trading Member Code: NSE: 11297, BSE: 0942, NCDEX: 00844, MCX: 35120, MSEI: 48300, CDSL/NSDL: IN-DP-115-2015,
Merchant Banking: INM000012102, Investment Adviser: INA000009843, PMS: INP000008181, RBI Regn No.: B-03-00174, IRDA Regn No.: 713

Policy for Voluntary freezing / blocking online access of trading account by clients (Not applicable to clients who do not have online trading access)

1. Introduction

This policy framework also contains the Process and mode(s) through which the client can place the request to freeze/block & unfreeze / unblock the trading account along with the time lines that will be followed by the Trading Member for the same.

2. Frame work of the voluntary freezing / blocking facility / Standard Operating Procedure (SOP): -

a. Mode of communication: -

The client shall request Swastika Investmart Limited (SIL) for voluntary freezing/blocking the online access of trading account if any suspicious activity is observed in the trading account vide the below mentioned modes:

- a. Via IVR/Tele calling on the number 08069049876
- b. Via Trading Application.

b. Process to be followed: -

Validation: -

- i. SIL shall verify that the request for freezing/blocking the online access of the trading account is received from the respective client only.
- ii. Where the request is received from other than registered phone number of the client, client will be required to complete the authentication procedure (2 Factor Authentication).
- iii. SIL may also follow any other process as may be prescribed by the Exchange(s) uniformly in consultation with SEBI, from time to time.

Issuance of acknowledgment: -

- i. SIL shall acknowledge the receipt of the request to the client. Acceptance or rejection message will be displayed/announced on the registered mobile number or through any other legally verifiable modes as permitted in the SEBI "Circular on Prevention of Unauthorized Trading by Stock Brokers" dated March 22, 2018 or as may be amended from time to time.

Freezing / blocking the online access of the client's trading account: -

- i. Upon successful validation, the client's trading account shall be frozen/blocked from the online access.
- ii. An active Mutual Fund and Equity Systematic Investment Plan (SIP) shall remain active.
- iii. The client will continue to have offline access to the trading account i.e. the client will be able to place orders through the Authorized Person / dealer / call and trade and carry out any other offline activities such as raise request for statements, carry out client master modifications through physical requests etc.

Simultaneous cancellation of all the pending orders of the said client: -

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

Scenario and time lines: -

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

* Trading hours shall be as follows: Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m., Currency Derivatives Segment: 09.00 a.m. to 05.00 p.m., Commodity Derivatives Segment: 09.00 a.m. to 11:30 p.m.

Post freezing / blocking the client's trading account: -

SIL shall send a communication on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account.

Details of open positions (if any) would also be communicated to the client along with contract expiry information within one hour from the freezing/blocking of the trading account. This will eliminate the risk of unwanted delivery settlement. This time limit may be contracted after Exchange's review and would stand effective as modified from time to time.

Risk Management: - It is clarified that:

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

Process for re-enablement: -

SIL shall re-enable trading in the client's account after carrying out necessary due diligence including verifying the client using Two Factor Authentication and validating the client request and unfreezing / the account.

For unfreezing of the trading account, the client will have to get in touch on the dedicated phone number (08069049876). Once such request has been received and authenticated, account will be unfrozen within 1 working day.

Maintenance of records/logs: -

SIL shall maintain the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients.

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, net worth, 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.

Date:

Place:



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

Currency Underlying Exposure Declaration Letter to trade currency derivatives with Swastika Investmart Limited

To,
Swastika Investmart Limited
48, Jaora Compound,
Indore M.P. (452001)

Dear Sir

The undersigned, hereafter referred to as "the Trader" hereby declares and agrees to the following terms and conditions concerning their trading activities Swastika Investmart Limited ("Swastika"):

1. Engagement in Currency Trading: The Trader expresses their intent to trade in the currency segments on both National Stock Exchange & Bombay Stock Exchange.
2. Position Size Limitation and Management: The Trader commits to maintaining their position size within a limit of one hundred million United States Dollars (USD 100,000,000) as specified by the exchanges/RBI. Should the Trader's position size exceed this specified limit, the Trader agrees to manage the excess position through the use of an Authorized Dealer or Custodian, as appropriate.
3. Compliance with Regulatory Requirements: The Trader affirms compliance with clause 3.4 (1)(a) of the circular issued by the Reserve Bank of India (RBI) on January 05, 2024. The Trader confirms having underlying exposure to the currency derivative contracts they engage in through Swastika, in accordance with the said RBI directive.
4. Evidence of the Underlying Exposure: The Trader agrees to provide, upon request by Swastika, the relevant exchanges, or the RBI, sufficient evidences of the underlying exposure related to their currency derivative contracts. The Trader undertakes to furnish such evidence promptly and as may be required by the requesting party.
5. Indemnification: The Trader hereby indemnifies Swastika and holds Swastika harmless from any liabilities, losses, damages or costs that may arise in the event the Trader is unable to produce the required evidence of underlying exposure as stipulated in point 4 above. This indemnification extends to any legal actions, claims, demands or expenses incurred by Swastika as a result of the Trader's failure to comply with these conditions.

By signing below, the Trader acknowledges their understanding and acceptance of these terms, and commits to adhere to the stipulations as outlined herein.

Date:
Place:



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

Policy for Handling Good Till Triggered Orders

Introduction:

GTT Order - GTT order' is a feature which allows a user to set an order in advance for future execution based on the anticipation of future price by the user. User will set a threshold or trigger price and when such trigger price condition is met with the LTP of the scrip / contract, the order of the user is placed in the exchange. Along with the primary leg users can also set a stop loss and target for such orders.

The parameters for placing a GTT order are as below:

Last Traded Price' or 'LTP' is the last traded price at which stock/scrip was traded on the Exchange.

Trigger Condition' shall mean the criteria and conditions entered by the user, which if met, the GTT limit order of the user will be placed on the Exchange.

'Trigger Price/Threshold Price' shall mean the price entered by the user around which the trigger condition has been entered.

There shall be no extra charges for usage of GTT feature apart from the applicable tariff structure.

'User', means the Client, having a trading and demat account i.e. a "Client ID", with SIL and wanting to use the 'GTT order' feature from the Web login or through Mobile App.

The GTT order has a unique feature to reach the LTP of the scrip or contract for which GTT order is set. Based on the reading of this LTP the order is triggered to the exchange.

GTT can be set for Intraday and delivery both order types and is permitted in Equity and Futures & Options segments on NSE, BSE & MCX.

Until the trigger price, set by the user has reached or breached, the GTT order is stored with SIL.

GTT orders have a validity of 365 days or contract expiry whichever is earlier.

Users are required to maintain sufficient margin for placing of GTT orders (holdings incase delivery sell orders in the Equity segment). Margins can be maintained in the form of cash or collateral.

Users are also required to ensure that the wallet is sufficiently funded or maintain sufficient holding during the existence of the GTT order, else the GTT order if triggered may be rejected due to insufficient margins / holdings.

In case of delivery sell orders, users need to authorize the transaction through CDSL TPIN, else such order would not be pushed to the exchange and would be rejected by SIL. However, if the user has a valid DDPI/POA linked to the trading account, no such TPIN authentication would be required.

Once triggered, users' orders are placed to the exchange. The execution of such an order is not guaranteed by SIL. Based on the LTP the user order is triggered to the exchange, however the price condition set by the user must come again for the order to get executed.

In case there is a gap up or gap down opening against the price & condition set by the user, in such case the GTT order will be triggered and pushed to the exchange.

No handling of corporate action will be done by SIL and clients need to monitor and will be solely responsible for effect on prices and triggers based on stock/underlying specific corporate actions. Clients shall review their GTT orders pro-actively whenever there may be an impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify/cancel orders accordingly.

All upcoming corporate actions including dividend, bonus, split etc. shall be intimated to clients having unexecuted GTT orders at least one day prior to the ex-date of the corporate action.

Orders beyond circuit limits shall be rejected.

Once a GTT order is triggered for a derivative contract, when the order is placed outside the contract's execution range, it may be cancelled by the Exchange.

All exchange regulations with respect to price range, margins, circuit limits, etc. would apply. SIL RMS rules would be applied over and above exchange rules.

The order once triggered and pushed to exchange is valid only for that one trading session, if unexecuted by the end of the trading session, such order would stand cancelled. Users would have to place a new GTT order.

GTT orders will be triggered after being matched for the condition set with the last traded price received from the exchange during a live trading session.

All rules and regulations prescribed by SEBI and the Exchanges would have to be strictly followed by all the Clients while placing instructions through SIL. All other laws and regulations as per the Republic of India would be applicable.

GTT order feature is a value-added service available to the user over and above the basic broking feature. Users must thoroughly understand the feature before its usage. Placing a GTT order does not guarantee order execution. The GTT feature makes a best effort only to meet the user's condition and push such orders to the exchange. SIL shall not be liable for any loss notional or actual accrued to the user. Users are solely responsible for all their trades.

These Terms of Usage and the Services of SIL placing orders under the 'GTT orders' feature, may be removed/modified/replaced at any point of time without providing any prior notification to Clients. It is Clients' responsibility to review these Terms & Conditions every time Clients use the 'GTT order' feature. The Terms & Conditions of the GTT order placement is available to the user on the website - <https://www.swastika.co.in/downloads>

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

General Clause

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

Beneficial Owner Information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The DP shall execute 'non-pay in' related instructions not later than next working day from the date of submission of instruction by the Beneficial Owner. Further, if the date of submission and the execution date of instruction are same, DP may execute such instructions on the same day at Beneficial owner's risk on a "best effort basis".

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 Byelaws 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.

ADDITION / MODIFICATION / DELETION FORM☐ TRADING☐ CDSL☐ NSDL

To,
Swastika Investmart Limited
48, Jaora Compound,
MYH Road,
Indore- 452001

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

Sub. : Change in my account details

Dear Sir/Madam,

I/We/Guardian (in case of minor) request you to make following additions/modifications/deletions to my account in your records.

DP ID :		Client ID :	
Trading Client Code :			
Name of First/Sole Holder :			
Details to be changed (Please tick)	Addition/Modification/Deletion (Please specify)	Existing Details	New Details
Bank ☐ Nominee ☒ Mail ID ☐ Mobile No. ☐ Address ☐ Other ☐			
First/Sole Holder			
Name			
Signature			

For Swastika Investmart Limited

Client's Signature**(Authorized Signatory)**

✂-----✂

Acknowledgment for Addition / Modification / Deletion Form

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

We hereby acknowledge the receipt of your instruction for addition / modification / deletion in your account details
subject to verification :

DP ID :	Client ID :	
Trading Client Code :		
Name of First/Sole Holder :		

For Swastika Investmart Limited

(Authorized Signatory)