

SANJAY AGARWAL BROKING LIMITED

**CLIENT REGISTRATION FROM
(CAPITAL MARKET SEGMENT)
FOR INDIVIDUALS**

CLIENT CODE.....

CLIENT NAME:

- ❖ **Member of National Stock Exchange of India Ltd.**
- ❖ **Capital Market Segment**
- ❖ **NSE Trading Member Code No. 90102**
- ❖ **SEBI Regn. No. NSE-CM - INZ000097519**

ACCOUNT OPENING KIT

Name of stock Broker / Trading Member/Clearing Member:

SANJAY AGARWAL BROKING LIMITED

SEBI Regn . No. and Date: NSE-CM - INZ000097519 Dt. 13.01.2017

Registered & Correspondence Office address:

**ECSL0710, EM 4, Ambuja Neotia Ecocenter EM Block,
Sector V, Salt Lake City, Near Techno India College, Kolkata - 700 091**

Phone: (033) 4602 0776

E-mail: sanjayagarwalbrokingltd@gmail.com

Compliance Officer Name, Phone No &email ID:

Mr. Aditya Srivastava, 98308-11401, sanjayagarwalbrokingltd@gmail.com

For any grievance/dispute, please contact SANJAY AGARWAL BROKING LIMITED at the above address o email id: grievance.sanjayagarwalbrokingltd@gmail.com and Phone No.:(033)4602-0776.In case not satisfied with the response, please contact the National Stock Exchange of India Ltd. At ignse @ nse.co.in and Phone No. (022)2659-8190.

Disclosure of Proprietary trading pursuance to SEBI Circular No SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003 and NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003:

We, SANJAY AGARWAL BROKING LIMITED, are also engaged in proprietary trading apart from Client based Business.

SANJAY AGARWAL BROKING LIMITED

INDEX OF INDIVIDUAL ACCOUNT OPENING FORM

	COMMENT	PAGE NOS.
1.	Application Form	1
2.	Trading Account Related Details	3
3.	Nominee and Tariff Sheet	3
4.	Past action	4
5.	Authority Letter for Running Account of Funds and Securities	4
6.	Mandate for Electronics Communication	5
7.	Consent Letter for Email and Mobile Alert Facility	5
8.	FATCA/ CRS Declaration Forms	5
9.	Policies and Procedures	6

FOR OFFICE USE ONLY

UCC code allotted to the Client.....

	Documents verified with originals	Client Interviewed By
Name of the Employee		
Employee Code		
Designation of the employs		
Place		
Date		

I/ We undertake that we have made the client aware of "Policy and Procedures", tariff sheet and all the non- mandatory documents. I/We have also made the client aware of 'Rights and Obligations 'document(s), RDD and Guidance Note. I/WE have given /sent him a copy of all the KYC documents. I/WE undertake that any change in the 'Policy and Procedures', tariff sheet and all the non mandatory documents would be duly intimated t the clients. I/We also undertake that any change in the 'Right and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

.....
Signature of Employee

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

1. Self-attested copy of PAN card is mandatory for all clients.
2. 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.
3. If any proof of identity or address is in foreign language, then translation into English is required.
4. Name & Address of the applicant mentioned on the KYC form, should match with the documentary/proof submitted.
5. If any correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory
8. For foreign entities, CIN is optional and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of merchant navy NRI's, mariner's declaration or certified copy of CDC(Continues Discharged Certificated) is to be submitted.
10. For opening an account with depository participant or mutual fund, for minor, photocopy of school living certificate mark sheet issued by higher secondary board /passport of minor/Birth certificate must be provided.
11. 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 Governments, senior politicians, senior government/judicial/military officers, senior executive of state owned corporation, important political party, etc.

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

1. Unique Identity Number (UID) (Adhar)/Passport/Voter ID Card/Driving License.
2. PAN Card with Photograph.
3. Identity card/document with application's Photo, issued by any of the following Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Member and Credit cards/Debit cards issued by Bank.

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)

1. Passport/Voter ID Card/Ration Card/Registered Leases or sale agreement of residence/Driving License/Flat Maintenance Bill/Insurance Copy.
2. Utility Bills like telephone bill (only land line), Electricity Bill or Gas Bill not more than 3 months old.
3. Bank Account Statement/Pass Book not more than 3 months old.
4. Self-Declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts.
5. Proof of Address issue by ED any of the following: Bank Managers of scheduled commercial bank/scheduled co-operative bank/multinational foreign banks/gazette officers/lottery public/elected representative to the legislative assembly/parliament/documents issued by any govt., or statutory authority.
6. Identity card/document with address, issued by any of the following: central/state govt. and its department, statutory /regulatory authorities, public sector under takings, scheduled commercial banks, public financial institutions, college affiliated to universities and professional bodies such as ICAI, ICWAI, ICSI, Bar council etc., to their members.
7. For Fill/Sub account, power of attorney giving by Fill/Sub account to the custodians (which are duly notarized and /or apostle or consularised) that gives the registered address should be taken.
8. The proof of address in the name of spouse may be accepted.

D. Exceptions/clarifications to PAN (* sufficient documentary evidence in support of such claims to collected)

1. In case of transaction under taken on behalf of central government and /or state government and by officials appointed by court. E.g. official liquidator. Code receiver etc.
2. Investor residing in state of Sikkim.
3. UN entities/multilateral agency except from paying taxes fillings tax returns in India.
4. SIP of mutual funds up to Rs. 50,000 p.a.
5. In case of institutional clients, namely.

FIs, Mfs, VCAs, AVCI, scheduled commercial banks, multilateral and bilateral development financial intuitions, state industrial development commercial, insurance companies registered with IRDA and public financial intuitions as defined under section 4A of the companies act., 1956, custodians shall verify the PAN card details with original PAN card and provided duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attested to the documents:

1. Notary public, gazette officer, manager of a scheduled commercial/co-operative banks or multinational foreign banks (name, designation and seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of scheduled commercial banks registered in India, Notary public, court magistrate, judge, Indian embassy/ consulate general in the country where the client resides are permitted to attest the document.

BANK DETAILS	
Bank Name	xx
Branch address	xx
	x xx xx
Bank A/C no.	x
A/C. Type	x
MICR NO.	x IFSC code x
DEMAT A/C DETAILS	
Depository Participant Name	x
Depository Name	x
DP ID	x
Beneficiary ID (BO ID)	x

TRADING PREFERENCE	
NATIONAL STOCK EXCHANGE	CAPITAL MARKET

BROKERAGE TARIFF		
Capital Market Segment	%	Min. Paisa
Square up Brokerage		
Delivery Brokerage		

The above rates are exclusive of GST, SEBI/Exchange/Clearing Members charges, Stamp Duty, Statutory charges payable to Exchange/SEBI/Govt. Authorities etc., which will be charged extra at the time prevailing from time to time.

Client Signature

2

OTHER DETAILS	
Gross Annual Income Details (please specify)	
Income range per annum	x
Net Worth	x
Occupation(Individuals) (Please tick any one and give brief details)	x
Please tick, if applicable, for any of your authorized signatories/ Promoters/ Partner/ Karta/ Trustees/ Whole time Directors	<input type="checkbox"/> Politically exposed person (PEP) <input type="checkbox"/> Politically Not exposed person <input type="checkbox"/> Related to a Politically exposed person (PEP)

NOMINATION DETAILS	
<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate	
Name of the Nominee	x
Relationship with the Nominee	x
PAN of Nominee	x Date of birth of Nominee
Address and Phone no of the Nominee	x
	x
If Nominee is a minor, details of guardian:	
Name of guardian	x
Address and Phone no of guardian	x
	x
Signature of Guardian	Client Signature
	3

WITNESSES		
	First witness Details	Second Witness Details
Signature		
Name		
Address		

PAST ACTIONS		
Details of any action / proceeding initiated/ pending/ taken by SEBI/ Stock Exchange/ any other authority against the applicant / constituent or its Partners/ Whole time Directors/ Authorized person in charge of dealing in securities during the last 3 years <input type="checkbox"/> YES <input type="checkbox"/> No		
DEALING THROUGH OTHER STOCK BROKERS / SUB BROKER		
Broker / Sub- broker's Name	x x	
SEBI Regn. Number	x	
Phone	FAX	Website
x		
Client Code: x	Exchange: x	
Details of disputes / dues pending from/ to such stock broker/ sub – broker x		

AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS AND SECURITIES

SANJAY AGARWAL BROKING LIMITED
ECSL0710, EM 4, Ambuja Neotia EcoCenter EM Block,
Sector V, Salt Lake City, Near Techno India College, Kolkata - 700 091

Dear Sir,

1. With reference to my/our trading account opened with you for trading in NSE cash segment, I/We request you to maintain a running Account for funds and securities on my/our behalf without setting the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with SANJAY AGARWAL BROKING LIMITED & within 3 working days from the request if the same is lying with clearing member/ clearing corporation.
2. I/We understand and agree that no interest will be payable to me/us on the funds or securities so retained with you.
3. I/We also confirm that the securities lying in my withhold A/C should be considered as margin deposit / collateral.
4. I/We authorize you to set off a part or whole of the margin deposited by me/us against any of my/ our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
5. I/We hereby authorize you to pledge my/our securities deposited as margin or withheld by you as permitted in the running account and to deposit my/ our funds deposited as margin to Exchanges/ Clearing Corporations towards margin.
6. I/We may revoke the authorization at any time by giving a written notice.
7. I/We also agree that the actual settlement of fund and securities shall be done by us, at least once in a quarter or month and the statement of account for the same will be provided to me by SANJAY AGARWAL BROKING LIMITED.
8. I/We also agree that fund given towards collaterals/ margins in form of bank guarantee (BG) / Fixed deposit Receipts (FDR) may not be periodically settled.
9. I/We authorize you to retain an amount up to Rs. 10,000/- for actual settlement of that respective traded quarter/month.
10. I/We agree/ understand that there shall be no inter- client adjustment for the purpose of settlement of the running account.
11. I/We shall bring any dispute arising from the statement of account or settlement so made to the notice of the Trading Member preferably within 30 working days from the date of receipt of funds/ securities or statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS & SECURITIES)	
Settlement preferences	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly

Client Signature

4

VOLUNTARY

MANDATE FOR ELECTRONIC COMMUNICATION

This has reference to the facility of receiving contract notes and other documents in Electronic form issued by you in compliance with regulations and guidelines issued by SEBI and Stock Exchanges. I/WE under that ECN are valid legal contract notes as per Stock Exchange / SEBI Rules and recognized under Income Ta Act, as Well as other Acts in India.

Therefore, the ECN shall an accepted form of contract note to me/ us and should be mailed to the following Email ID (s):

E-Mail Id **x**

CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

This is with reference to my/our trading account opened with you. I/We request you to arrange facility of receiving email and/ or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concerned authorities from time to time.

Email facility	Service Required <input type="checkbox"/> YES <input type="checkbox"/> No
Email ID	x
Owned by	x
SMS facility	Service Required <input type="checkbox"/> YES <input type="checkbox"/> No
Mobile Number	x
Owned by	x

Client Signature

5

FATCA/ CRS DECLARATION FORM – Individuals

Client Name **x**

PAN No **x**

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

If yes, Please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country #	Tax Identification Number %	Identification Type (Tin or Other, Please specify)	If TIN is not available Please tick the A,B or C (as defined below)
x	x	x	Reason: x

To also include USA, where the individual is a citizen / green card holder of the USA
 % In case Tax Identification Number is not available, kindly provides its functional equivalent \$

Reason

- A - The country where the Account holder is liable to pay Tax does not issue Tax Identification Numbers to its residents.
- B – No TIN required (select this only if the authorities of the respective country of tax residence or not Require the TIN be collected.
- C – Others; Please state the thereof.

Certification
I/We have understood the information requirements of this Form (read along with the FATCA & CRS instructions) and hereby confirm that the information provides by me /us on this Form is true, correct and complete. I / We also confirm that I / We have read and understand the FATCA & CRS Terms and Conditions below and hereby accept the same.

Client Signature

6

POLICIES & PROCEDURES

The company has adopted the following policies & procedures for trading on behalf of its clients. All clients are requested to read the following mandatory policies followed by the company:

a. Refusal of Orders for Penny Stocks:

Penny stocks are thinly traded shares of small companies which are traded infrequently. It may be difficult to buy or sell Penny Stocks. Penny Stocks include the securities with no active trading market. The Exchange also issues a list of illiquid securities every month.

For Dealing in Penny Stock Following procedures is being followed:

1. Authorization of the senior officer is to be taken if any client wants to invest in penny stocks.
2. The Valid reason of the client to trade in penny stocks is taken.
3. The financial position, background of the client is reviewed.

The order of a client shall be refused by the Member when it appears that:-

1. If the dealing amounts to manipulating of the price of the security.
2. If the dealing creates false or misleading appearance of trading in the securities market.
3. If the dealing in the security is not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of the penny stock for wrongful gain or avoidance of loss.

b. Setting up Client's Exposure Limits:

The trading Member reserves the right to set impose & vary limits on the orders that the client can place through the trading system (including exposure limits, turnover limits, as to the number, value and/ or kind of securities in respect of which orders can be placed etc.) without prior notice. The order/ Exposure limits may vary from time to time, client depending upon the margins, client and financial status of the client as well as market condition.

c. Applicable Brokerage Rate:

The brokerage rate that would be applicable on the client shall be decide mutually between SANJAY AGARWAL BROKING LIMITED and client. Such brokerage rate might increase/ decrease during the course of time. Any such change would be intimated to the client before implementing the same. However, the brokerage rate in any case would not exceed 2.5% of the transaction value as prescribed under SEBI/ Exchange Regulation.

d. Imposition of penalty/ Delayed Payment:

As per the laws of Exchange / SEBI, the client must make the payment of securities/ funds he/ she sold/ purchased before the pay- in date. If the client fails to make the payment before the said period, said period, SANJAY AGARWAL BROKING LIMITED may impose penalty or delayed payment charges not exceeding 1.5% per month for not making payment of their pay-in obligation on time as per the exchange requirement or net ledger debit balance as applicable.

No interest/ delayed payment charges will be payable by the Trading Member on the Credit balance lying in the margin account or ledger balance of the client.

e. Right to Sell Client Securities and close Position:

By Laws of Exchange /SEBI if the client become unable to meet, satisfy, discharge of fulfill any obligation or liability or commitment or any part thereof to SANJAY AGARWAL BROKING LIMITED, then SANJAY AGARWAL BROKING LIMITED may at any time thereafter and without giving any notice to the sell client's securities to the extent of his settlement/ margin obligation.

f. Shortages in obligations arising out of internal netting of trades:

Subjects the rules, regulations and bye laws of the relevant Stock Exchange/ SEBI, if the seller of the security, in case of internal netting of traders has failed to deliver the security in the scheduled settlement number in the designated settlement account of the member , the seller has to deliver the security in the designated Auction Settlement for scheduled settlement.

However, if the seller is unable to deliver the security as mentioned above, than seller will be debited with Exchange Auction Price for the Particular Security in Auction Settlement for the scheduled settlement along with the charges of member and buyer will get credit for Exchange auction price charge to the seller. In absence of Exchange Auction Price, The Highest closing price from Trading day +2 day (I.e., next trading day to actual trading) to Trading day +2 (i.e., auction day) will be considered in place of exchange auction price.

g. Conditions under which a client neither may not be allowed to take further position or the Broker may close the existing position of client:

A client is not allowed to take further position or the existing position of a client is closed on the following conditions:

1. If the ledger of a client shows continuous debit balances.
2. If the margin deposited by the client is not according to the exposure of the client
3. If the dues are not settled by the client.
4. If the exchange is not allowing any further position in that scrip.
5. If broker's limit to taking exposure in that particular scrip comes to an end.

h. Temporarily suspending or closing a client's account at the client's request:

The account of the client shall be suspended /closed on receipt of written request from the client specifying the reason close the account. If the reasons given are justified then the account of the client is suspended after effecting the settlement of the account.

Accounts suspended on client's request can be reactivated only after receiving a written request from the client.

i. Deregistration of a client:

A client shall be deregistered upon fulfillment of the following condition:

- a) On receipt of the specific request from the client to deregister himself and t close his accounts.
- b) On an account of branch of terms and conditions of the agreement by the client.
- c) On account of any action by SEBI/ Stock Exchange/ Any authority against the constituents or its partners/ promoters/ directors/ authorized person or that are debarred from accessing the securities market. On the happening of the above, the account of a client deregistered after effecting full and final settlement of the accounts and securities of the client.

j. Inactive Account:

The account of a client' who do not trade and remain inactive for a financial year reckoned from the end of the financial year, in which the client had traded, shall be declared " Inactive Account" and will be temporarily suspended and a written request has to be given by the client for reactivation of the account.

I/We confirm having read and understood the above policies and procedures.

Client Signature

7