



# ONBOARDING KIT

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## ESSENTIAL DOCUMENTS: (INDIVIDUAL)

Pan Card

Aadhar Card

Cancelled Cheque

6 Months Bank Statement

## AUM SECURITIES PRIVATE LIMITED

MEMBER: BSE, NSE

SEBI REG: INZ000173337

ADDRESS: 806/807, KOSHA COMMERCIAL COMPLEX, 8TH FLOOR, PODDAR ROAD, NEAR RAM LEELA MAIDAN, MALAD (EAST), MUMBAI-400097

CORRESPONDENCE ADDRESS: 5-9-13, D NO. 110, TARAMANDAL COMPLEX, SAIFABA, HYDERABAD-500004.

CIN: U99999MH1993PTC137979 | GST NO: 27AADCA9843K129

EMAIL: [INFO@AUMSECURITIES.IN](mailto:INFO@AUMSECURITIES.IN)

WEBSITE: [WWW.AUMSECURITIES.IN](http://WWW.AUMSECURITIES.IN)



Trading Code

DP ID

Branch Code

AP Code

Name of the stock broker / trading member/ clearing member: **AUM SECURITIES PRIVATE LIMITED**

SEBI Registration: INZ000173337.

NSE TM: 08066

BSE TM: 3300

CDSL-Depository Participant - SEBI Registration No.: IN-DP-782-2024 Date: 18/11/2024

CDSL DP ID: 12100200

**Registered Office:**

806/807 Kosha Commercial Complex, 8th floor, Poddar Road, Near Ram Leela Maidan, Malad (East), Mumbai - 400097.

**Correspondence Address:** 5-9-13, D NO. 110, TARAMANDAL COMPLEX , SAIFABA, HYDERABAD-500004.

**Website:** [www.aumsecurities.in](http://www.aumsecurities.in)

**Compliance Officer for NSE & BSE:** Mamraj Yogi | **MOBILE:** +91 9892108287 | Email: [yogi@aumsecurities.in](mailto:yogi@aumsecurities.in)

For any grievance/ dispute please contact stock broker **AUM SECURITIES PRIVATE LIMITED** at the above address or email [id-grievance@aumsecurities.in](mailto:id-grievance@aumsecurities.in) & Phone No.8355843430, 022-69396620

In case not satisfied with the response, please contact the concerned exchange(s) at

**NSE:**

**Email:** [ignse@nse.co.in](mailto:ignse@nse.co.in)

Tel.: 022-26598100

**BSE:**

**Email:** [is@bseindia.com](mailto:is@bseindia.com)

Tel.: 022-22728097

**CDSL:**

**Email:** [complaints@cdslindia.com](mailto:complaints@cdslindia.com)

Tel.: 022-22090509/10

**SEBI:**

**Email:** [scores@sbi.gov.in](mailto:scores@sbi.gov.in)

Tel.:022-26449950

## KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

Acceptable Documents (Copies of all documents to be self attested)		Please Tick
<b>PAN Card</b>	Account Holder & Joint Holder's (If any)	
<b>Photograph</b>	One Colored Front Face Photograph on photographic Paper (Passport Size)	
<b>Proof of Identity</b> (Any One)	1. Unique identification number (UID)(Aadhaar)	<input type="checkbox"/> KRA document used (Email Id & Phone number to be provided on given KRA Form)
	2. Valid Passport (Name, Address & Photo page)	
	3. Voter ID (front and back)	
	4. Valid Driving License (Name, Address & Photo page)	
	5. Other 1(Pls. Specify) _____	
	6. NREGA Job Card, National Population Register Letter	
	7. Proof of Possession Aadhaar, E-KYC Authentication & Offline Verification of Aadhaar.	
<b>Proof of Address</b> (Any One) Permanent / Correspondence	1. Valid Passport (Name, Address & Photo page)	
	2. Voter ID (front and back)	
	3. Valid Driving License (Name, Address & Photo page)	
	4. Unique identification number (UID)(Aadhaar)	
	5. Electricity Bill / Gas Bill (not more than 3 months old)	
	6. Resident Landline Tel. Bill (not more than 3 months old)	
	7. Registered Lease/Leave & License Agreement	
	8. Ration Card	
	9. NREGA Job Card, National Population Register Letter	
	10. Proof of Possession Aadhaar, E-KYC Authentication & Offline Verification of Aadhaar.	
<b>Bank Proof With MICR / IFSC Code</b> (1st Holder only)	1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)	
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)	
	3. Cancelled Personalized Cheque leaf	
<b>Demat Proof</b> (Any One) (1st Holder only)	1. Client Master (CML copy duly attested by DP)	
	2. DP Statement / Transaction cum Holding Statement	
<b>Proof of Income</b> (Any One) (Mandatory for F&O / Currency / Commodity Segments)(1st Holder only)	1. Copy of ITR Acknowledgement	
	2. In case of salary income - Salary Slip, Copy of Form 16	
	3. Net-worth certificate (Not more than 1 year old)	
	4. Copy of Demat Account Holding Statement	
	5. Bank Account Statement for last 6 months reflecting income	

### FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name						
	<b>First/Sole Holder</b>		<b>Second Holder (if any)</b>		<b>Third Holder (if any)</b>	
Are you U.S. Person? (Refer KYC Handout - Customer Copy)	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other		<input type="checkbox"/> India <input type="checkbox"/> Other		<input type="checkbox"/> India <input type="checkbox"/> Other	
Specify country of citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other		<input type="checkbox"/> India <input type="checkbox"/> Other		<input type="checkbox"/> India <input type="checkbox"/> 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 <http://www.aumsecurities.in> or call at centralized helpdesk at 8355843430 or write to [grievance@aumsecurities.in](mailto:grievance@aumsecurities.in)

\_\_\_\_\_

(First/Sole Holder Signature)

\_\_\_\_\_

(Second Holder Signature)

\_\_\_\_\_








(Third Holder Signature)

# INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	KYC 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 & an instruction/check list.	1-9
2.	Tariff sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on exchange (S) & DP service charges/Fee Structure.	10-11
3.	A Client Declaration - Open Interest Position	A Client Declaration - Open Interest Position	12
4.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	<b>SEPARATE COPY FOR CLIENT</b>
5.	Rights and Obligations	Document stating the rights and obligations of stocks, brokers/ trading member, authorizes person and trading on equity and commodity exchange (including additional rights & obligations in case of internet/wireless technology-based trading).	
6.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities & commodities market.	
7.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
8.	Rights & Obligations of Beneficial Owners & Depository Participants:	Document stating the Rights & Obligations of Beneficial Owners and Depository Participants.	
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
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3.	Declaration By Partnership Firm Declaration by HUF & consent letter	Declarations / Documents required from different persons for execution of various client registration documents.	18-20
4.	Nomination Form, Nominee opt out Form, Power of Attorney & DDPI POA	Nominee details for Trading and Demat Account / Consent for Nominee opt out / POA provided by BO to AUM for settlement / Margin purpose / Demat Debit & Pledge Instruction	21-26
5.	Good Till Cancelled Order Policy	Background/Scope Responsibility	27-29

## IMPORTANT NOTE

### 1. Signature Types:

 Signature of Client / First Holder	 Signature of Second Holder	 Signature of Third Holder
 Signature of Guardian	 Authorised Signatory of Member	 Signature of First Witness
		 Signature of Second Witness

**2. In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature**

## IMPORTANT INSTRUCTIONS

- All details to be filled in Capital Block letters in Black / Blue Ink Only.
- Email ID & Mobile number is mandatory for account related passwords and transaction details.
- Corrections in the KYC form should be counter signed.
- Strike off whichever option, in the account opening form, is not applicable.
- All Originals to be produced for physical verification.
- If any proof of identity or address is in a regional language, then translation into English is required.
- Sole proprietor must make the application in his individual name & capacity.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.

**Know Your Client (KYC)****Application Form (For Individuals Only)****AUM SECURITIES PRIVATE LIMITED**

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

Application Number: \_\_\_\_\_

Application Type\*:  New KYC  Modification KYC**KYC Mode\***: Please Tick (✓)
 Online EKYC  Offline KYC  Digilocker  EKYC OTP  NORMAL
**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<sup>†</sup> (if any) \_\_\_\_\_

Fathers/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\*  Male  Female  TransgenderMarital Status\*  Single  MarriedNationality\*  Indian  Other \_\_\_\_\_Residential Status\*  Resident Individual  Non Resident IndianPlease Tick ( ? )  Foreign National  Person of Indian Origin<sup>†</sup>Recent passport size  
Applicant Photo

Cross Signature across photograph

(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 \_\_\_\_\_ (Expiry Date) \_\_\_\_\_  
 C — Voter ID Card \_\_\_\_\_  
 D — Driving License \_\_\_\_\_ (Date) \_\_\_\_\_  
 E — NREGA Job Card \_\_\_\_\_
**2. Address Details\***(please refer guidelines overleaf)**A. Correspondence/ Local Address\***

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District<sup>†</sup> \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

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

Applicant eSIGN

**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<sup>+</sup> \_\_\_\_\_ Pin Code\* \_\_\_\_\_  
 State\* \_\_\_\_\_ Country\* \_\_\_\_\_  
 Address Type\*  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 \_\_\_\_\_ (Date) \_\_\_\_\_  
 E — NREGA Job Card \_\_\_\_\_

**3. Contact Details (in CAPITAL)**

Email ID\* \_\_\_\_\_  
 Mobile No. \* \_\_\_\_\_  
 Tel (off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

<p>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 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.</p> <p>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.</p> <p>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.</p> <p>DATE: _____ (DDMMYYYY)          PLACE: _____</p>	Applicant eSIGN	Applicant Wet Signature

**5. For Office Use Only**

InPerson Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : _____



## SECOND HOLDER

**KNOW YOUR CLIENT (KYC) |  
APPLICATION FORM (FOR INDIVIDUALS ONLY)**

Application No. :

Please fill in ENGLISH &amp; in BLOCK LETTERS with black/blue ink &amp; tick the appropriate options

## A. IDENTITY DETAILS

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME	<b>PHOTOGRAPH</b> Please affix your recent passport size photograph and sign across it
2. Maiden Name	FOR MARRIED WOMEN ONLY			
3. Father's / Spouse Name	FIRST NAME	MIDDLE NAME	LAST NAME	
4. Mother Name				
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender			
b. Date of birth	DD / MM / YYYY	c. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others	
6. Nationality	<input checked="" type="checkbox"/> Indian	7. Status	<input checked="" type="checkbox"/> Resident Individual	
8. PAN		Aadhaar		
9. Specify the proof of identity submitted :				

## B. ADDRESS DETAILS

1. Residence / Correspondence Address				
City/Town/Village		District		
Pin Code		State		Country
2. Contact/Mobile No		Tel (Res.)		
Tel (Off.)		Email id		
3. Specify the proof of address submitted for Residence / Correspondence Address:				
4. Permanent Address (if different from above correspondence address)				
City/Town/Village		District		
Pin Code		State		Country

## 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.

Place		Signature of Applicant	
Date	DD / MM / YYYY		

## FOR OFFICE USE ONLY

Details of Employee / Authorized Signatory	Documents verified with Originals	Client Interviewed By & In-Person Verification done by	
Name & E Code			
Designation			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			



## THIRD HOLDER

**KNOW YOUR CLIENT (KYC) |  
APPLICATION FORM (FOR INDIVIDUALS ONLY)**

Application No. :

Please fill in ENGLISH &amp; in BLOCK LETTERS with black/blue ink &amp; tick the appropriate options

## A. IDENTITY DETAILS

1. Name of Applicant						
2. Maiden Name	FOR MARRIED WOMEN ONLY					
3. Father's / Spouse Name					<b>PHOTOGRAPH</b> Please affix your recent passport size photograph and sign across it	
4. Mother Name						
5. a. Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Transgender			
b. Date of birth	DD / MM / YYYY	c. Marital Status	<input type="checkbox"/> Single	<input type="checkbox"/> Married		<input type="checkbox"/> Others
6. Nationality	<input checked="" type="checkbox"/> Indian	7. Status	<input checked="" type="checkbox"/> Resident Individual			
8. PAN		Aadhaar				
9. Specify the proof of identity submitted :						

## B. ADDRESS DETAILS

1. Residence / Correspondence Address					
City/Town/Village			District		
Pin Code		State		Country	
2. Contact/Mobile No			Tel (Res.)		
Tel (Off.)			Email id		
3. Specify the proof of address submitted for Residence / Correspondence Address:					
4. Permanent Address (if different from above correspondence address)					
City/Town/Village			District		
Pin Code		State		Country	

## 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.

Place		Signature of Applicant	
Date	DD / MM / YYYY		

## FOR OFFICE USE ONLY

Details of Employee / Authorized Signatory	Documents verified with Originals	Client Interviewed By & In-Person Verification done by	
Name & E Code			
Designation			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			

## TRADING & DEMAT ACCOUNT RELATED DETAILS

<b>TYPE OF ACCOUNT :</b> <input type="checkbox"/> Individual	<b>Sub Status</b>	<input type="checkbox"/> Resident <input type="checkbox"/> Other	
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### A. BANK ACCOUNT DETAILS - Payin / Payout of funds will be routed through the said bank account only

<b>Bank Name &amp; Branch Location:</b>			
<b>Account No.</b>		<input type="checkbox"/> Savings	<input type="checkbox"/> Current
<b>MICR Code</b>		<b>IFSC Code</b>	

### B. DEPOSITORY ACCOUNT DETAILS (DP1 DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)

<b>DP 1 Details</b>			
<b>Depository</b>	<input type="checkbox"/> CDSL	AUM SECURITIES PVT LTD	
<b>DP Name</b>			
<b>Client Name</b>			
<b>DP ID</b>			
<b>BO ID</b>			
Pledge instruction - 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.			
<input type="checkbox"/> Yes <input type="checkbox"/> No			
"I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes') [Automatic Credit]"			
<input type="checkbox"/> Yes <input type="checkbox"/> No			

### C. TRADING PREFERENCES (Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.)

<b>Stock Exchanges</b>					
<b>Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.</b>					
Exchanges	NSE, BSE & MSEI				MCX, NCDEX, BSE & NSE
All Segments	Cash / MutualFund	F&O	Currency	Debt	Commodity Derivatives
If you do not wish to trade in any of segments / Mutual Fund, please mention here					

**Option for issuance of Delivery Instruction Slip (DIS) booklet alongwith account opening** (to be filled by persons seeking to open depository account who have given Power of Attorney to operate the depository account to a Stock Broker/Participant/Portfolio Manager for executing delivery instruction for setting stock exchange trades and do not intend to open a Basic Services Demat Account)

**Options for Issue of DIS booklet** (please tick any one)

**Option 1:**  I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/us on my/our request at any later date.

**Option 2:**  I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

D. STANDING INSTRUCTIONS / AUTHORIZATION FROM THE CLIENT		
<b>Contract Note/Holding &amp; Transaction Statement including CAS/Other Documents*</b> (For ECN in commodity segment, please refer pg. no. 9)	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical	
<b>Receive Delivery Instruction Slip</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	
<b>Share Email ID with Registrar &amp; Transfer Agent</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	
<b>Receive Annual Report</b>	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both	
<b>DP Account Statement</b>	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily	
<b>Declaration for Mobile Number</b>	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent	
<b>Declaration for Email ID</b>	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent <input type="checkbox"/> Do not have	
<b>Running Account Settlement</b>	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	
<b>Whether you wish to avail of the facility of internet trading / wireless technology ( please specify)</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Margin Trading Facility ( Refer Rights &amp; Obligation document)</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>SMS Alert Facility - Mandatory if you are giving Power Of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form.</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>BSDA Facility - I / We wish to avail the BSDA facility</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Note:</b> 1. I/We wish to receive dividend/interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'yes') <input type="checkbox"/> Yes <input type="checkbox"/> No 2. In case client doesn't opt for DIS booklet, it would be issued on request at any later date. 3. BO can view his ISIN balances, transactions & value portfolio online. To register for Easi please visit website www.cdslindia.com 4. *Other documents includes SEBI prescribed standard documents i.e. Rights & Obligation documents for trading and depository account, Risk Disclosure Document & Guidance Note or any other communication / document disseminated by Aum Securities Private Limited. 5. AUM may carry out proprietary trades in addition to cliental trades.		
E. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002		
<b>Experience</b>	Number of years of Investment / Trading Experience	
<b>Gross Annual Income</b>	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs <b>OR</b> Net Worth in ₹ (*Net worth should not be older than 1 year) as on date DD / MM / YYYY	
<b>Occupation (Please tick)</b>	<input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Pls Specify) _____	
<b>Nature of Business</b>	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____	
<b>Client Category</b> <b>Commercial participant</b> <b>Noncommercial participant</b>	<input type="checkbox"/> value chain participant <input type="checkbox"/> exporter <input type="checkbox"/> importer <input type="checkbox"/> hedger <input type="checkbox"/> financial participant <input type="checkbox"/> trader <input type="checkbox"/> arbitrager	
<b>Is the Client Politically Exposed Person (PEP) or Related to a PEP</b> <input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP / RPEP		
F. MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge and freeze)		
<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holder		
Consent for communication to be received by first account holder / all account holder: (Tick of the applicable box, if not marked the default option would be First holder.		
First Holder	<input type="checkbox"/> All Holder	Email Id:
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

## G. PAST ACTIONS

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

No If yes, please specify

## H. GST REGISTRATION DETAILS

Registration No	Validity Date	Name of the State
GSTIN No:	DD / MM / YYYY	

## I. DEALING THROUGH AUTHORISED PERSON (AP) / OTHER STOCK BROKERS

If Yes, please specify:

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

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

Whether you are a Member / AP of any Exchange  Yes  No

If yes, provide SEBI / EXCHANGES REGISTRATION NO: Ph. Website:

## J. INTRODUCER DETAILS

**Status of Introducer**  AP  Employee  Existing Client  Others (Specify):

**Introducer Name:** AP/Emp/Client Code:

Address:


Mobile No:

Signature of the Introducer



## DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained & understood the contents of the document on policy & procedures of the Stock Broker & the tariff sheet applicable for trading as well as DEMAT account.
- I/We further confirm having received, read & understood the contents of the 'Rights & Obligations' of members, authorised person & clients, and 'Risk Disclosure Document, for capital market & derivatives segments (equity, commodity) and rights & obligations related to margin trading facility provided to client. Guidance note, Do'd & Don't for trading on the exchange (s) for investors / demat account Do's & Don't' / Guidance note, Do'd & Don't for clients / Rights & obligations of beneficial owner & depository participant & details of terms & conditions for the investor / client for using Mutual fund transaction facility. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Stock Broker's designated website. If any.
- The Rules & Regulations of the Depository & Depository Participants pertaining to an account which are in force now have been read by me / us and I/We have understood the same and I/We agree to abide by and to be bound by the rules as are in force from time to time for such accounts.

 \_\_\_\_\_

(First/Sole Holder Signature)

 \_\_\_\_\_

(Second Holder Signature)

 \_\_\_\_\_

(Third Holder Signature)

Place: \_\_\_\_\_

Date: DD / MM / YYYY

Products	Charges per Executed Order
Equity Delivery	FREE*
Equity Intraday	Rs. 9*
Future	Rs. 9*
Options	Rs. 5*
Mutual Fund	FREE
Call & Trade	Rs. 15*
All above segments are *FREE for first 3 Months	

Features	
Web, EXE & Trading App	✓
Fundamental Research Tools	✓
Market Outlook	✓
Historical Charting	✓
Technical Analytics & Indicators	✓
News	✓
Research Advisory	✓

### DP AND OTHER CHARGES:

Pledge/unpledge: Rs. 50, pledge invocation: Rs. 50, delayed payment charges: 0.05% Per day, DP AMC charges Rs. 99 per month for Non Individual Rs. 1500 yearly, debit transaction charges: Rs. 20, Auction [if unable to deliver a stock not in demat]: as per actual penalty by exchange, Auto Square off charges for open intraday position by system: Rs. 50 per position, Physical delivery of derivatives: Rs. 30 per executed transaction, Debit transaction charges [off market trades]: Rs. 20 per instruction, Demat per certificate: Rs. 150, Courier charges for any periodic / ADHOC statement: Rs. 50 plus courier, Periodic/ ADHOC statement: Rs. 50, DIS booklet charges: first DIS free [additional Rs. 100], Cheque Bounce Charges Rs. 500, Failed transaction: Rs. 50, Modification in CML request: Rs. 50, KRA upload and download: Rs. 50, Account closing charges: Rs. 500, Erroneous transfer reverse - Rs.100 per transaction, Fund transfer charges: Rs. 5 - Rs. 15 or as per applicable.

## NOTE:

Add a new note i.e. interest at 13% for DP and 18% for Trading will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. GST is applicable on all above charges except.

## \*DISCLAIMER:

Following the expiration of the offer period, the standard brokerage fee shall apply. AUM Securities Private Limited reserves the right, in its sole and absolute discretion, to modify, amend, or terminate the offer, as well as any related terms and conditions, at any time. Such changes will be communicated to the client via email. Brokerage is applied per executed order across all segments. The order value for options is calculated as (strike + premium) x lot size. Brokerage is also applicable to expired, exercised, and assigned options contracts. Stamp duty, GST, education cess, and other statutory levies (if any) will be charged as applicable. The above tariff is subject to change, and any changes will be communicated 30 days in advance. AUM Securities Private Limited will levy brokerage for the client's transactions according to the brokerage slabs, subject to the maximum rate prescribed by the stock exchanges/SEBI.

Client Signature



**A. CLIENT DECLARATION - OPEN INTEREST POSITION**

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same. I/ We hereby declare and undertake that I/ we will not exceed the position limits prescribed from time to time by Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time.

I/We undertake to inform you and keep you informed if I / any of our partners / directors I karta I trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such

person is a partner / director I karta I trustee, takes or holds any position in any commodity forward contract I commodity derivative on Exchanges through or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.

I / We confirm that you have agreed to enter order in commodity forward contracts I commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking.

I/We further undertake to bear any liable/penalty/charges levied by Commodity Exchanges/SEBI.

**B. CONSENT TO INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)**

Retention statement -Clause - I / We request you to maintain my/our accounts for funds on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a payout of available free funds in the account. You may settle the accounts at Monthly/Quarterly (as opted in the account opening form) or at such other intervals as SEBI/ Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Exchanges/SEBI from time to time

or towards other unbilled services and/or charges applicable on my account, while settling the accounts.

I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

**C. CONSENT FOR ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION (VOLUNTARY)**

I, \_\_\_\_\_, Client Code \_\_\_\_\_  
PAN \_\_\_\_\_, Registered with you as a client of Multi Commodity Exchange of India Ltd (MCX), undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all trades carried out/ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is \_\_\_\_\_ (the email id must be written in own handwriting). This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- In the event of the Contract notes (ECN) not received by me/us in electronic mode due to the mail bouncing/failure of email servers, loss of connectivity etc. I/we agree to acknowledge the receipt of Contract Notes in physical mode, provided such Contract Notes are received by me/us within the time specified by regulatory authorities. In case you do not receive intimation of the mail bouncing, the same will be construed as my/our confirmation to the receipt of Contract Notes (ECN) in electronic mode and you will not be required to send the Contract Notes in physical mode. In this connection, I/we hereby confirm that I/we am/are agreeable to receive Contract Notes in digital mode on my/our under mentioned email id.

I/We understand that I/we am/are required to intimate any changes in the e mail id mentioned above needs to be communicated by me/us.

**[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]**

Verification of the client signature done by,

Authorised Signatory of Member



Designation:

Date: DD/MM/YY

Client Signature



Date: DD/MM/YY

Place:

Whereas the client intends to open securities / commodities trading accounts with AUM Securities Pvt. Ltd., (hereinafter referred as AUM) for the purpose of trading in Capital Market Segment, Futures & options and Currency Derivative Segments and Commodities Futures & Options of the the Bombay Stock Exchange Ltd., the Metropolitan Stock Exchange of India Limited, Multi Commodity Exchange, Commodity & Derivatives Exchange Limited and Mutual Fund transactions Facilities offered by Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by AUM and also the additional services that may be made available by AUM 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 AUM may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account / Counter Demat account for any service rendered by AUM 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 AUM SECURITIES PVT LTD
2. **Lien:** All securities, commodities funds and/or properties (Any assets available with AUM) of the Client as may be permitted by the Exchange(s) from time to time to be placed with AUM 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 AUM. AUM shall be entitled to withhold such securities, commodities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, commodities, funds or properties at its sole discretion & at any point of time, without notice to client.
3. **Authorization for delivering / pledging shares:** The client understands and agrees that AUM 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 AUM to enforce, at its option, the collateral security in the securities to recover the debit balance at any time.
4. **Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes AUM to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment including commodities segment to its ledger account in any other segment including commodities segment or to transfer any stock purchased/lying in its account in any segment including commodities segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of AUM.
5. **Disclaimer:** The Client understands and agrees that neither AUM nor any other party disseminating any market data, message or information through the Website of AUM or in any other media shall be liable for: (a) Any inaccuracy, error, omission or delay in transmission or delivery of any such data, information or message, or (b) Any loss or damage arising from or occasioned by (i) Any inaccuracy, error, delay or omission, (ii) Nonperformance, Interruption in making available any such data,message, due to either any act or omission by AUM 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, software malfunction) or any other cause beyond the reasonable control of AUM or any disseminating party.
6. **Manner/Mode of placing orders/instructions & Nonexecution/ delay/cancellation of Orders:** The Client may communicate orders and other instructions to AUM 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 designated office. The client hereby agrees that AUM 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 AUM or the Exchange.
7. **Client not to act on representations of agents, employees:** Client is aware that AUM 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 AUM.
8. **Recording of Conversation:** The client is aware and agrees that AUM may tape record the conversation between the client/client's representative and AUM, whether over the telephone or in person, as per applicable laws, rules and regulations of SEBI / Exchanges. AUM may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
9. **Confidentiality of Client Details:** AUM 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 AUM to any person or entity including but not limited to any independent third parties or any entities of AUM Group, whether within or outside India, of any information and data relating to Client or relating to Client's trading account with AUM for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
10. **Disclosure as to Proprietary Trades by AUM:** AUM may carry out proprietary trades in addition to trades on behalf of its Clients.

11. **Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
12. **No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
13. **Notices:** All notices or communications issued by AUM shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
- 13.1 (a) By ordinary post or (b) By registered post or (c) By express delivery post or (d) by SMS on registered mobile or by telephonic call or (e) By affixing it on the door at the last known business or residential address or (f) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (g) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (h) By publishing it on the website of AUM wherein secured log-id and password to Client is provided or (i) By a notice posted on the notice board of the Exchange if no address be known or (j) By electronic mail or fax or (k) By hand delivery or By Courier or any other approved mode as may be allowed for communication
- 13.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between AUM and the Client may be made orally.
14. **Electronic Contract Note (ECN):**
- 14.1. Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing AUM in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent
- 14.2. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform AUM either in writing or via E-mail within reasonable time of the receipt of the same. AUM shall also publish the Contract Note on the website [www.aumsecurities.in](http://www.aumsecurities.in) or on any other designated location specified by AUM 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, AUM 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 AUM of such a difficulty shall amount to valid delivery and viewing of the document by the Client.
15. **Electronic Transmission of other Documents:** The Client who have opted for ECN agrees that AUM may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices/communications document mandated by SEBI/Stock Exchange/Depository in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, AUM 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 AUM within reasonable time from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.
16. **Electronic Payment Gateway for Net Banking Services:** AUM may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with AUM. Client understands that AUM is only providing access to the electronic fund transfer facility provided by the banker of the Client through AUM'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 AUM 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 AUM'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.
17. **Internet/Wireless Technology based Trading facility:**
- 17.1. AUM 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 AUM 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 AUM by complying with the formalities prescribed therefore
- 17.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as AUM 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 AUM
- 17.3. The client understands and agrees that AUM 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, AUM shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.
- 17.4. Orders of Client subject to review by AUM: The Client agrees that the AUM 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."

18. **Extra Ordinary Events and termination/suspension of trading facility:** AUM 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 AUM's control resulting in nonexecution, partial or incomplete execution of orders and the resulting financial loss, if any AUM 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.
19. **Amendments to the terms and conditions:** AUM reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.
20. **Mutual Fund Service System Facility / BSE Star MF:** Client is registered with AUM One 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). Client is aware that he/she can transact directly with the AMC without recourse to Distributor's name at any time under the folio(s) tagged with the Distributor's name/broker code. The Client agrees and authorizes AUM as distributor of mutual funds to communicate on his/her behalf with the AMCS for financial and/or non-financial transactions including for receiving investment details from the AMC.
21. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this mandatory and voluntary client / registration document, any dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/ grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.
22. **Setting up of Exposure Limits:**
- 22.1. AUM may sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of found / securities/bank guarantees/ fixed deposit receipts. AUM at its sole direction may refused to accept ant securities as collateral / margin. AUM shall from time to time publish a list of securities which would be acceptable as collateral / margin. In setting exposure limits for the Client, AUM shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of AUM and such other purpose. AUM reserves liberty to vary the trading / exposure limits of the Client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions bearing on the risk profile of the Client
- 22.2 Neither AUM, nor any affiliate of AUM nor their respective directors, officers, employees, agent shall any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees & expenses) arising from any variation or reduction of exposure or turnover limits by AUM.
23. **Client to have a Mobile connection:** Client agrees to have a mobile connection as a pre-condition to opening & maintaining the a/c with AUM & undertakes to notify AUM promptly whenever he/she/it obtains a new mobile connection in replacement of a mobile previously notified to AUM.
24. **Aggregation of open market positions of the Client by the exchange:** Client agrees that if the Exchange directs / advise AUM to reduce the exposure of the Client in any outstanding open interest in any contract, because the market exposure of the client in the contract, individually, or taken together with that of related parties, exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of AUM in the contract, AUM May square off the open market positions of the client in the contract as directed by the Exchange. client also agrees that, though AUM may on a best effort basis inform the client of the direction given by the Exchange, it is under no obligation to inform the client and/or obtain client's consent prior to squaring of the positions under this clause and all losses, if any, arising from such squaring off shall be to the account of the client.
25. **Payment of Full Contract Value:** Client agrees to pay AUM for all open buy positions, excepting both side option contract positions, full contract value less the free surplus fund of the client, if any, already with AUM, one day prior to the commencement of the tender period for the respective contract, and If that day is a bank holiday, on the day immediately preceding that day which is bank working day. If the Client makes a default in making payment as above, AUM at its discretion may square off all or part of the open positions of the Client and all and any losses arising thereout shall be to the account of the client.

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

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

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

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

- liquidate the collaterals and/or funded shares forthwith without prior notice to the client.
12. MTF Clients purchasing shares not specified in AUM Approved List of Group 1 securities shall be required to 100% margin upfront for such purchases.
  13. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility.
  14. If a client is debarred by orders of lawful authority from trading in the securities market, AUM shall liquidate collateral and funded shares of the client to recover its dues to the full extent forthwith.
  15. Stock broker make amendments in RMS policy at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
  16. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
  17. AUM reserves the right to withdraw MTF with respect to any Client without assigning any reason after giving a reasonable notice to the Client in which case dues if any outstanding in the account of the Client shall become payable immediately. Failure to make payment of the outstanding dues shall result in liquidation of collateral and/or funded shares held in Client's account.
  18. Client may terminate the MTF account after paying all dues in the MTF account.
  19. AUM shall not use the funds and securities of one client to provide MTF to another client, even on the authority of the client.
  20. The stocks deposited as margin collateral and funded stock shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount.
  21. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.
  22. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
  23. AUM shall restrict the maximum gross exposure as well as individual stock-wise exposure of a client under the MTF at any point in time according to its internal policies and market views without assigning any reasons to the client. Furnishing applicable margin shall not by itself entitle the client to seek exposure beyond the limit restricted by AUM.
  24. Admitting clients for MTF shall be at the discretion of the Stock Broker/Trading Member. Clients request for admission to MTF may be disallowed without assigning any reason.
  25. By agreeing to avail of MTF, the client shall be deemed to have authorized AUM to retain and/or pledge the shares purchased under MTF (funded shares) and collateral shares provided as margin till the amount due in respect of the purchase and all other dues are paid in full by the Client.
  26. All outstanding dues under MTF shall carry interest @18% Dar compounded at fortnightly rest.
  27. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
  28. Until full payment of the outstanding dues in the MTF A/c is made by the Client, collateral shares and funded shares, as far as may be required, shall be retained in the Demat A/c of AUM, separately identified as collateral shares and funded shares.
  29. Daily margin statement sent to the MTF clients shall identify margin/collateral for MTF transaction separately.
  30. AUM shall declare and communicate to the Client risk management policies that it will follow with respect to MTF transactions. AUM may amend the policies from time to time according to its risk perceptions and inform the Clients of the amendments made.
  31. Any disputes arising between the client and AUM in connection with the margin trading facility shall be resolved through the investor grievance redressal mechanism and/or arbitration mechanism of the stock exchanges as in the case of normal trades.
  32. The Rights and Obligations prescribed hereinabove shall be read in conjunction with the rights and obligations as prescribed under SEBI circular No. CIR/MIRSD/16/2011 dated August 22,2011 ,SEBICircular No. CIR/MRD/DP/54/2017 Qtd. June 13, 2017, the Circulars relating to MTF issued by the respective Stock Exchanges, any modifications thereto from time to time and the Policies and Procedures prescribed by AUM and the terms and conditions of client's agreement with AUM. In case of any inconsistencies between the Rights and Obligations herein and the provisions in the aforesaid SEBI and/or Stock Exchange Circulars, the later shall prevail to the extent of such inconsistencies.
  33. MTF account where there is no transaction under MTF for more than 90 days shall be settled immediately on expiry of said 90 days provided there are no dues outstanding in the MTF account. Dues if any outstanding in the normal trading account shall be first adjusted against the settlement amount and the remainder shall be paid to the Client. I would like to avail of Margin Trading Facility and agree to the above Rights & Obligation

Client Signature





Date: \_\_\_\_\_

To,  
 Aum Securities Pvt. Ltd.  
 806/807, Kosha Commercial Complex,  
 8th floor, Poddar Road, Near Ram Leela  
 Maidan, Malad (East), Mumbai - 400097.

Dear Sir,

This is with reference to the trading account opened with you in the name of \_\_\_\_\_ a partnership firm and bearing the code \_\_\_\_\_. We the undersigned partners of the above mentioned firm hereby declare and authorize you to recognize the beneficiary account No. \_\_\_\_\_ with DPID \_\_\_\_\_, which belongs to one of our partner for the purpose of completing the share transfer obligations pursuant to the trading participant in the name of partnership firm as per regulations and that transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account firm.

We further confirm that the authorised person can jointly / severally issue instruction to you as our broker for securities trades, fund, etc. and to do all such acts, deals and things as may be necessary for the purpose of operating this account.

Signature (Please sign with stamp of the partnership firm)

We, (Please write name of the partners)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

Partners of the firm confirm that any securities due to the Firm's trading account with you, if transferred to the above mentioned Demat Account, will constitute good delivery of the obligation. We further state that AUM will not be responsible, if the shares are transferred to the above-mentioned a/c.

If there is any change in the information given above, same shall be informed to AUM in writing. If any such information not communicate to AUM, that AUM will not be liable for losses suffered by the firm or any of the individual partners.

Signature  \_\_\_\_\_  
 1. Name

Signature  \_\_\_\_\_  
 2. Name

Signature  \_\_\_\_\_  
 3. Name

I/we hereby confirm and acknowledge the receipt of the following documents:

**1. Rights and Obligations**

Document stating the Rights & Obligations of stock broker/trading member, sub-broker/Authorised Person and client for trading on exchange (including additional rights & obligations in case of internet/wireless technology based trading).

**2. Risk Disclosure Document (RDD)**


Document detailing risks associated with dealing in the securities market.

**3. Guidance Note**

Document detailing do's and don'ts for trading on exchange, for the education of the investors.

**4. Rights and Obligations of Beneficial Owners and Depository Participants:**

Document stating the Rights & Obligations of Beneficial Owners and Depository Participants.

(13/19) 

Authorised Signature with company Seal

To,  
**AUM SECURITIES Pvt. Ltd.**

With regard to Beneficiary account no. (BO ID)\_\_\_\_\_ And Trading Account\_\_\_\_\_ maintained in the name & style " \_\_\_\_\_" other DP/Trading (AUM Securities Pvt. Ltd.)

We the following family members, being the co-parceners in the HUF account M/s \_\_\_\_\_ do hereby give our consent that the said Karta, viz \_\_\_\_\_ would operate above mentioned BO ID /Trading account as far as shares transactions of the HUF account is concerned.

We further declare and authorize you to recognize the beneficiary account No. \_\_\_\_\_ with DPID \_\_\_\_\_ opened in the name of the undersigned who is the Karta of the HUF for the purpose of completing the share transfer obligations pursuant to the trading operations. I agree and understand that this is to facilitate the operation of the above trading account. The transfer made by you to the beneficiary account shall be complete discharge of obligations by you in respect of trades executed in the above trading account.

I, hereby state that details mentioned above are true and any change in them would be intimated to you in writing.

Title of HUF/ Karta \_\_\_\_\_

Signature of Karta

(HUF Rubber stamp)

# Aum Securities Private Limited

806/807, Kosha Commercial Complex ,8<sup>th</sup> Floor, Poddar road , Near Ramleela Maidan, Malad ( East ) 400097

## Annexure - A

( SEBIHODIAE OLAE IAD-3/PYON/2025/01650, dated January 10, 2025)

### Nomination Form for Demat Accounts and Mutual Fund (MF) Folios

Client name -	Trading Code	DP Client ID -
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I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our demise , as trustee and on behalf of my / our legal heir (S)

#### Nomination Details

Mandatory Details						Additional Details		
	Name of nominee	Share of nominee (%)	Relationship	Postal Address	Mobile number & E - mail	Identity no	D.O.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

#### Details of Guardian (in case the account holder is minor)

Guardian's Name	PAN
Relationship with the applicant	

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion Demise of one or more joint holder(s) The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously having nominee	Nominee
Demise of all joint holders simultaneously not having nominee	Legal heir(s) of the youngest holder

\*\* if % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects')

\*\*\* Provide only number: PAN or Driving License or Aadhaar (last 4). Copy of the document is not required.

\*\*\*\* to be furnished only in following conditions/circumstances:

Date of Birth (DOB): please provide, only if the nominee is minor.

Guardian: It is optional for you to provide, if the nominee is minor.


1. I/We want the details of my/our nominee to be printed in the statement of holding, provided to me/us by the AMC/DP as follows; (please tick, as appropriate)

Name of nominee(s) \_\_\_\_\_

Nomination: Yes / No

2. I hereby authorize \_\_\_\_\_ (nominee number \_\_\_\_\_) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encash my assets up to \_\_\_\_\_ the account/folio or Rs.% of assets in (strike off portions that are not relevant)

3. This nomination shall supersede any prior nomination made by me / us, if any.

Name(s) of holder(s)	Signature(s) of holder	Witness Signature*
Sole/First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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. my/our website, if any, for the information of the clients.

Name(s) of holder(s)	Signature(s) of holder	Witness Signature*
Sole/First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

\* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb Impression, instead of wet signature.

## Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC/DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account/folio.
- In case all your nominees do not claim the assets from the AMC/DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account/folio, in case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account. i.e.
  - o Either or Survivor Folios / Accounts any one of the holder can sign
  - o Jointly Folios / Accounts - both holders have to sign

## Transmission aspects

- AMCS/DPs shall transmit the folio / account to the nominee(s) upon receipt of **1)** copy of death certificate and **2)** completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
<b>A</b>	<b>60%</b>	<b>A</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>B</b>	<b>30%</b>	<b>B</b>	<b>30%</b>	<b>45%</b>	<b>75%</b>
<b>C</b>	<b>10%</b>	<b>C</b>	<b>10%</b>	<b>15%</b>	<b>25%</b>
<b>Total</b>	<b>100%</b>	<b>-</b>	<b>40%</b>	<b>60%</b>	<b>100%</b>

# DEMAT DEBIT AND PLEDGE INSTRUCTION -DDPI (VOLUNATRY)

DULY STAMPED





TO ALL TO WHOM THESE PRESENTS SHALL COME I/we \_\_\_\_\_, (name of the BO),  
Indian inhabitant/Non-resident SEND GREETINGS.

Whereas I/we hold a Beneficiary account no. \_\_\_\_\_ (BO-ID) with Central Depository Services (India) Limited,  
with AUM SECURITES P.V.T Ltd (a Depository Participant registered with CDSL) bearing DP-ID - 12100200

And Whereas I/we are registered as a client with AUM SECURITES P.V.T Ltd (trading member of Bombay Stock Exchange Ltd.,  
National Stock Exchange of India Ltd., for dealing in the securities market.

Dear Sir/Madam,

I/We executing the Demat Debit and Pledge instruction in favour of AUM SECURITES P.V.T Ltd., authorising them to operate aforesaid  
beneficiary account for the below mentioned specific purpose.

S.No.	Purpose	Signature of First Holder	Signature of Second Holder	Signature of Third Holder
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	 Signature	Signature	Signature
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	 Signature	Signature	Signature
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 Signature	Signature	Signature
4	Tendering shares in open offers through Stock Exchange platforms	 Signature	Signature	Signature

This authorization will continue to remain valid until revoked in writing by me/us. Such revocation or termination shall in no way affect the validity of this document (DDPI) with reference to any transactions initiated by me/us, prior to the actual receipt by the Attorney of the notice of such revocation or termination, as above.





I/We accept (For AUM SECURITIES P.V.T Ltd.)

 Authorised Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## SCHEDULE 1 - LIST OF DEMAT ACCOUNTS

Depository Participant Name	Demat A/c No.	Exchange	Name / Type	Account Purpose	CMBPID
AUM Securities Pvt Ltd	1210020000000161	NSE	Pool	NSE Pay-In & Payout	
Globe Capital Market Limited	1100001100014460	NSE	Early Pay-In	NSE Early Pay-in	
Globe Capital Market Limited	IN300966 11310123	NSE	Pool	NSE NSDL Pay-In Payout	
AUM Securities Pvt Ltd	1210020000000098	NSE	CMPA	Margin Pledge Account	

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

To	Date							
	D	D	M	M	Y	Y	Y	Y
AUM SECURITIES PRIVATE LIMITED 806/807, Kosha Commercial Complex, 8th floor, Poddar road, Near Ram Leela Maidan, Malad (E), Mumbai- 400097								
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.								
<b>Name and Signature of Holder(s)*</b>								
								
(First/Sole Holder Signature)	(Second Holder Signature)	(Third Holder Signature)						

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

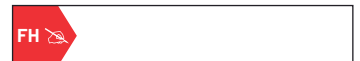
Name			
Address			
Signature			

## Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Client Signature



## GOOD TILL CANCELLED ORDER POLICY

### BACKGROUND

Exchanges vide its circular NSE/INSP/62528 dated June 21, 2024 and 20240622-2 dated June 22, 2024. Pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled" / "Good Till Triggered" orders or orders of similar type.

### SCOPE:

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

### Details of Good Till Cancelled/Good Till Triggered/orders –

- a. The GTDt feature is available to all users who have a valid and active trading account for Equity and Derivative segment. Users must comply with the terms and conditions set forth by the trading platform and the regulatory authorities governing equities and derivatives trading. All securities in BSE & NSE except securities in debt segment, NCD, Bonds and illiquid securities are eligible for the placing GTDt order
  - i. Clients can also place GTDt Buy and Sell (sell- Open position only) order under E-Margin Product.
  - ii. Stop loss orders can also be placed with GTDt validity.
  - iii. Clients can modify the quantity or limit price of a GTDt orders. Clients can modify the order only when the order is in 'Ordered status' (during market hours) or 'Requested status' (after market hours). "GTDt Blocked" orders cannot be modified but can only be cancelled.
  - iv. Orders with GTDt validity can be placed both during the market hours as well as post market hours.
- b. Order Validity

The GTDt order will remain and be carried forward in the system over a period of time until:

  - The order is fully executed; or
  - The order is withdrawn or cancelled; or
  - The order is automatically and permanently cancelled as provided in clauses below; or
  - The expiry of the order or the validity period of 180 days, whichever is earlier.
- c. Order Expiry and Validity
  - The GTD order expiry date is mandatory and must be submitted with the order entry.
  - The number of valid days for the GTD order depends on expiry date or on execution / cancellation / system rejection / margin or price changes and other operational or market risks. The maximum validity period of an order is:
    - 180 days from the date of placing the order; or
    - Expiry date of an order; whichever is earlier

### Automatic Cancellation of Orders

The GTDs order will be cancelled automatically and permanently when any of the following events occur:

- a) The order value of the GTD order exceeds the available trading limit when the order is released to the Exchange.
- b) Trading limit or balance is insufficient for the GTD order at the point of release to the Exchange.
- c) The specific counter in relation to the GTD order is suspended from trading or due to the impact of corporate action.
- d) The price of the GTD order is outside the range of price limit.
- e) At the end of the last business day upon the expiry date.

GTDt is a order facility through which a client can place buy and sell limit orders in shares, index futures & index options specifying the period for which the order instruction is valid. The period selected by the client shall be within the maximum validity date defined by ASPL. Since client has the right to define validity date ("order validity date"), this order type is called as Good Till Date (GTDt) order.

All existing and new clients of ASPL who are eligible to trade in Equity Cash product & Derivatives can avail GTDt facility for order placement.

- g. The facility of placing a GTDt order is available in Equity Cash product, Index futures, Index Options and E-Margin (MTF) product only. It is not available for other products like Margin, Spot, etc. As and when, GTDt orders are introduced in new segments the same shall be displayed through the ASPL website and subsequently updated in the policy.
- h. GTDt orders can only be placed by specifying a limit price. GTDt orders cannot be placed at market price.
- i. If a GTDt order is not executed for the entire quantity, ASPL is authorised to place fresh orders for the unexecuted quantity for the client on the subsequent trading days till the entire quantity is executed or till the validity expires, whichever is earlier. This feature permits the client to specify the number of days during which the client intends to place the orders.
- j. Client shall ensure that necessary funds/margins are available to place GTDt orders in their account for the unexecuted quantity of the order.
- k. In case the GTDt order validity date falls on a non-trading day, the order is expired by ASPL on the last trading day which falls prior to such order valid date which is a non-trading day. Post the expiry, the status of GTDt order is updated as Expired (Closed).
- l. Once a client has placed a GTDt order, ASPL will place orders for the unexecuted quantity of the GTDt order for all the days during the validity period or till the quantity is fully executed or cancelled or rejected due to any reason. Client may login only to check the status of such orders.
- m. For the unexecuted quantity orders shall be placed daily as overnight orders during the validity period, i.e. until the order validity date is less than or equal to the next trade date provided such GTDt order remains unexecuted and is not cancelled, nor rejected due to any reason. The orders would be placed on these dates provided they are trading days.

## 1. Client Responsibilities

The GTDs order will not be checked and rejected by the system for any Corporate Actions (e.g., Capital Reduction, Capital Restructuring, Right Issue, Bonus, and Split etc.) announced during the validity period of the GTDs order. It is the duty and responsibility of the Client to monitor Corporate Actions for their GTDt order and cancel or amend the order if required, as Corporate Actions normally involve change of price and/or quantity on ex-date. ASPL shall not be liable or held responsible for any failure to provide such notifications or any consequences arising there from.

Users are responsible for ensuring the accuracy and completeness of the order details, including the GTDt expiration date. The GTDs order requires cash/ (Limit) up front, and the Client must ensure that there is sufficient cash (Limit).

## 2. Handling of GTDt orders in case of corporate actions :

Post Corporate Action, GTDt orders will be validated against DPR (Daily Price Range) sent by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges.

The orders which would get failed in circuit check and daily price range for next day pumping would be kept in system in “GTDt Blocked” status for retry on subsequent trading day.

## POLICY COMMUNICATION

The said policy shall be made part of the Account Opening Form/Kit under heading “Policy on Handling of Good Till Cancelled Orders of Client” of Policy and Procedures document and shall also be displayed on the website.

## POLICY REVIEW

The said policy shall be reviewed on an annual basis or when you are require.

Client Signature

