



# ONBOARDING KIT

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## ESSENTIAL DOCUMENTS: (NON - INDIVIDUAL)



### 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)



Full Name of Verifier: \_\_\_\_\_

Employee Code: \_\_\_\_\_



KYC Checklist

## KYC Checklist

\*Copies of all documents to be self attested.

### I. General

- Passport size photo  PAN Card
- Signed across  Pan Verification
- Clients signature on all required Places
- In person verification stamp on all docs (Individuals)
- Original seen and verified stamp on all docs
- Witness Signature  All Copies Self Attested
- Agreement Date  Financial Documentary Proof

### II. Proof of Identify

- Holders:  1st holder  2nd holder  3rd holder
- PAN card with Photograph  UID (Aadhaar)
- Any other Supporting doc: \_\_\_\_\_

### III. Proof of Permanent Address

- Holders:  1st holder  2nd holder  3rd holder
- Ration Card  Valid Passport
  - Voter ID  Valid Driving License
  - Bank Passbook  Electricity Bill  
(Not more than 3 months old) (Not more than 3 months old)
  - Land line Bill  Bank Statement  
(Not more than 3 months old) (Not more than 3 months old)
  - Registered Lease  Bank Verification Letter  
or Sale Agreement
- Any other Supporting doc: \_\_\_\_\_

### IV. Proof of Correspondence address

- Ration Card  Valid Passport
  - Voter ID  Valid Driving License
  - Bank Passbook  Electricity Bill  
(Not more than 3 months old)
  - Land line Bill  Bank Statement  
(Not more than 2 months old) (Not more than 3 months old)
  - Sell Agreement  Leave & Licence Agreement  
(Not more than 3 months old)
- Bank Verification Letter

### V. Bank Proof With MICR Code (HUF, NRI, Corporate)

- Cancelled cheque  Bank Statement
- Pass book  Letter from bank

### XI. Financial Documentary Proof

- Copy of ITR Acknowledgement
- Copy of Annual Accounts
- Copy of Form 16 in case of salary income
- Net worth certificate
- Salary Slip
- Bank account statement for last 6 months
- Copy of demat account Holding statement.
- Any other relevant documents substantiating ownership of assets.
- Self declaration along with relevant supporting

### VI. HUF

- Pan Card of Karta  Address Proof of Karta
- Pan Card (HUF)  Deed of Declaration of HUF
- Address proof of HUF  Signature Coparcener on POA
- HUF Stamp  HUF Demat Proof (Trading only)
- List of Coparceners  Photograph of Karta
- Bank Pass Book in the name of HUF  Bank Statement in the name of HUF

### VII. Corporate

- MOA, AOA & COI  Certified copy of BR
- Photo of Directors  Company PAN
- Company Address Proof  Form 32
- Form 18  Authorised Directors's Address Proof
- All Director's PAN  IT Returns
- Last 2 Years Financials (to be Submitted every year)  New Company-Network Certificate
- Copy of latest holding pattern (to be Submitted every year)  PAN of Individual Promoters
- Authorised signatory list with specimen signatures  PAN of Person Authorised to deal in Securities

### VIII. Demat Proof (Latest of 1 year - Only for Trading)

- Client Master  Welcome Letter
- DP Statement
- Transaction cum Holding Statement

### IX. Partnership A/c

- Identity Proof (all partners)  Address Proof (all partners)
- Partnership Deed copy  Signatory Letter
- PAN of Partners  Photos of Partners
- Copy of Balance sheet for last 2 yrs
- Authorised signatory list with specimen signatures
- Certificate of Registration

### X. Trust

- Copy of Balance sheet for last 2 yrs  List of trustees certified by managing trustees / CA
- Certificate of Registration  Address Proof (all trustees)
- Trust Deed copy  Photos of trustees
- PAN of trustees

\*Please go through the Instruction/Checklist for filing KYC Form for further details.

## 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.	Account Opening Form and KRA Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list.	1-2 3-14
2.	Tariff sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges/Fee Structure	15-16
3.	Beneficial Ownership Determination Form	Document for determination of Natural person/s who ultimately own, control/influence a client and/or persons on whose behalf a transaction is being conducted.	17-19
4.	<ul style="list-style-type: none"> <li>▼ Declaration by HUF &amp; consent letter</li> <li>▼ Declaration by partnership Firm</li> <li>▼ Board Resolution (Trading / Demat)</li> </ul>	Declarations / Documents required from different persons for execution of various client registration documents.	20-24
5.	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).	22-23
6.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	24
7.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
8.	Rights and Obligations for DP	Document stating the Rights & Obligations of Beneficial Owner and Depository Participant.	
9.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
1.	Voluntary Terms & Conditions	Additional terms & conditions specify to Aum for the purpose of operational efficiency	25-28
2.	Running Account authorization	Authorization to maintain a running account	28
3.	Power of Attorney for the purpose of settlement / Margin obligation	POA provide by BO to Aum for settlement/margin purposes	29-30
4.	Declaration on Mobile Number / Email Id	Declaration from client for updation of Mobile Number / Email Id	31
5.	Mutual Fund Service System facility (NSE) / BSE Star MF	Availing facility for online dealing in units of Mutual funds in NSE / BSE	31

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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:** +915892108287 | 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, 022-69336620

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.: 022-26449850



## INSTRUCTIONS / CHECK LIST FOR FILING KYC FORM

### A. IMPORTANT POINTS:

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

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FI/ sub account, Power of Attorney given by FI/ sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected.)

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

### E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary requirements
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only).</li> <li>• Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Banks/Institutional Investor</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Army/ Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

# ANNEXURE



Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr No.	PAN and Aadhaar	Name	DIN (For Directors)/ UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorised Signatory(ies)

Date | d | d / | m | m / | y | y | r | y

PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person

# ANNEXURE



Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr No.	PAN and Aadhaar	Name	DIN (For Directors)/ UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorised Signatory(ies)

Date  /  /

PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person

**TRADING ACCOUNT RELATED DETAILS**

**A. BANK ACCOUNT(S) DETAILS**

**1. Bank Name**

Branch Address

Bank A/c No.  MICR Number

IFSC Number  A/c Type  Savings  Current  NRI  NRE  NRO

**2. Bank Name**

Branch Address

Bank A/c No.  MICR Number

IFSC Number  A/c Type  Savings  Current  NRI  NRE  NRO

**B. DEPOSITORY ACCOUNT(S) DETAILS**

**1. DP** CDSL  NSDL

Depository Participant Name

Beneficiary Name

DP ID No.  Beneficiary ID  (Default for Payout)

**2. DP** CDSL  NSDL

Depository Participant Name

Beneficiary Name

DP ID No.  Beneficiary ID

**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.

Exchanges						
NSE	Cash	<input checked="" type="checkbox"/> (3/19)		BSE	Cash	<input checked="" type="checkbox"/> (6/19)
	F&O	<input checked="" type="checkbox"/> (4/19)				
	Currency Derivative	<input checked="" type="checkbox"/> (5/19)				

If, in future, you want to trade on any new segment/new exchange, separate authorization/letter will be taken.

**D. PAST ACTIONS**

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

If yes, please specify \_\_\_\_\_

**E. DEALINGS THROUGH SUB-BROKERS/AUTHORISED PERSON (AP) AND OTHER STOCK BROKERS**

If client is dealing through the Sub-broker/AP, provide the following details:

Sub-broker/AP Name

SEBI Registration / Exchange number

Registered office address

Contact Details Tel (Off)  S  T  D  T  E  L  N  O  Tel (Res)  S  T  D  T  E  L  N  O

Website  FAX  S  T  D  T  E  L  N  O

Whether dealing with any other Stock broker/Sub-broker/AP (if case dealing with multiple Stock brokers/Sub-brokers/AP, provide details)

Name of stock broker

Name of Sub-broker/AP (if Any)

Client Code  Exchange

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

**F. ADDITIONAL DETAILS**

1. Whether you wish to receive Electronic Contract Note or Physical Contract Note - Specify  Physical  Electronic

Specify your Email id: As Per Email ID specified in KRA KYC

2. Whether you wish to avail the facility of internet trading and Mobile Trading (please specify)  Yes  No

3. SMS and Email alerts facility by Stock Exchanges / CDSL

I/We accord our consent to receive the following:

a. SMS alerts  Yes  No      b. Email alerts  Yes  No      c. SMS and email alerts  Yes  No

The mobile number and email Id as specified in the KRAKYC shall be used for the purpose of receiving details of various transactions:

Mobile No. is registered in the name of  Self  Others

In case registered in the name of any other person please specify the following:

Name of the person: \_\_\_\_\_

Relationship with the Client  Spouse  Dependant Child  Dependant parent

4. Number of years of Investment/Trading Experience  Any other information \_\_\_\_\_

5. Nature of business (Product / Services provided) \_\_\_\_\_

6. Please tick, if applicable for any of your Authorised Signatories

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

7. Whether any of your Authorised Signatories/ Promoters / Partners / Karta / Trustees & whole time Directors are any of the following, or are directly or indirectly related to any of the following:  Yes  No

Civil Servant  Politician  Current or former head of state  Bureaucrat (Tax authorities, Foreign Services, IAS etc.)

Current or former MP, MLA, MLC  Connected to Media

Connected to any promoter group of company listed on any stock exchange Name of the Company \_\_\_\_\_

8. Primary Source of Income (Please Specify) \_\_\_\_\_

9. Secondary Source of Income  Royalties  Bank Interest  Rental  Dividend  Others (Specify) \_\_\_\_\_

**OTHER DETAILS FOR 1ST HOLDER**

1. Gross Annual Income Details Please tick (✓)  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  > 25 Lacs

OR Net worth in ₹ (\*Net worth should not be older than 1 year) \_\_\_\_\_ as on (date)

2. Name, PAN, DIN/UID, residential address and photographs of Promoters / Partners / Karta / Trustees / whole time directors  
(Please use the Annexure to fill in the details)

3. Is the entity involved / providing any of the following services  Yes  No

- For Foreign Exchange / Money Changer Services  Yes  No - Money Lending / Pawning  Yes  No

- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)  Yes  No

4. Any other Information: \_\_\_\_\_

**OTHER DETAILS FOR 2ND HOLDER**

1. Gross Annual Income Details Please tick (✓)  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  > 25 Lacs

OR Net worth in ₹ (\*Net worth should not be older than 1 year) \_\_\_\_\_ as on (date)

2. Name, PAN, DIN/UID, residential address and photographs of Promoters / Partners / Karta / Trustees / whole time directors  
(Please use the Annexure to fill in the details)

3. Is the entity involved / providing any of the following services  Yes  No

- For Foreign Exchange / Money Changer Services  Yes  No - Money Lending / Pawning  Yes  No

- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)  Yes  No

4. Any other Information: \_\_\_\_\_

**OTHER DETAILS FOR 3RD HOLDER**

1. Gross Annual Income Details Please tick (✓)  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  > 25 Lacs

OR Net worth in ₹ (\*Net worth should not be older than 1 year) \_\_\_\_\_ as on (date)

2. Name, PAN, DIN/UID, residential address and photographs of Promoters / Partners / Karta / Trustees / whole time directors  
(Please use the Annexure to fill in the details)

3. Is the entity involved / providing any of the following services  Yes  No

- For Foreign Exchange / Money Changer Services  Yes  No - Money Lending / Pawning  Yes  No

- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)  Yes  No

4. Any other Information: \_\_\_\_\_

**F. MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge and freeze)**

Jointly  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

- All Holder
- Second Holder
- Third Holder

Email Id:

**DETAILS OF PERSON AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM**

Individual's Full Name    F I R S T    M I D D L E    L A S T

Residential Address

City/town/village    Pin Code

State    Country    Gender    Male    Female

Designation    Date of birth    D D M M Y Y Y Y

Nationality    Tel    S T D T E L N O

UID    PAN

Individual's Full Name    F I R S T    M I D D L E    L A S T

Residential Address

City/town/village    Pin Code

State    Country    Gender    Male    Female

Designation    Date of birth    D D M M Y Y Y Y

Nationality    Tel    S T D T E L N O

UID    PAN

Individual's Full Name    F I R S T    M I D D L E    L A S T

Residential Address

City/town/village    Pin Code

State    Country    Gender    Male    Female

Designation    Date of birth    D D M M Y Y Y Y

Nationality    Tel    S T D T E L N O

UID    PAN

Individual's Full Name    F I R S T    M I D D L E    L A S T

Residential Address

City/town/village    Pin Code

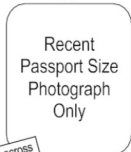
State    Country    Gender    Male    Female

Designation    Date of birth    D D M M Y Y Y Y

Nationality    Tel    S T D T E L N O

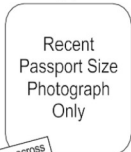
UID    PAN

(1)



Sign across

(2)



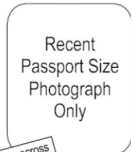
Sign across

(3)



Sign across

(4)



Sign across



**DEMAT ACCOUNT RELATED ADDITIONAL DETAILS**

DP Internal Reference No.

DP ID  Client ID  (To be filled by the Depository Participant)

(To be filled by the applicant in **BLOCK LETTERS** in English)

I / We request you to open a Depository Account in my / our name as per the following details:

**Holders Details**

Sole / First Holder's Name	PAN <input type="text"/>
Second Holder's Name	PAN <input type="text"/>
Third Holder's Name	PAN <input type="text"/>

Name \*

\* In case of Firms, Association of persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is open in the name of natural persons the name of the Firm, Association of Persons (AOP), Partnership Firm unregistered trust etc., should be mentioned above.

**TYPE OF ACCOUNT (Please tick whichever is applicable)**

Status	Sub - Status
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Others (Specify) _____	
SEBI Registration No. <input type="text"/> (If Applicable)	SEBI Registration Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
RBI Registration No. <input type="text"/> (If Applicable)	RBI Approval Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify) _____	

**CLEARING MEMBERS DETAILS (To be filled by CMs only)**

Name of Stock Exchange

Name of the CC / CH

Trading ID  Clearing Member ID

**STANDING INSTRUCTIONS**

Account Statement requirement     Daily     Weekly     Fortnightly     Monthly     As per SEBI Regulation  
 (will be charged extra)

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
Do you wish to receive dividend / interest directly into your bank account. Given below through ECS? (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID	<input type="checkbox"/> Yes <input type="checkbox"/> No

I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my/our end  
 (If not marked, the default option would be 'No')     Yes     No

I / We would like to share the email ID with the RTA     Yes     No

I / We would like to receive the Annual Report Physical / Electronic / Both Physical and Electronic     Yes     No  
 (Tick the applicable box. If not marked the default option would be Physical)

**Easi:** To register for easi, please visit website [www.cdslindia.com](http://www.cdslindia.com). Easi allows a BO to view his ISIN balances, transactions & value of portfolio online.



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.

## Tariff Plan

**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



## POLICIES AND PROCEDURES OF AUM SECURITIES PVT. LTD.

This document contains the policies and procedures of AUM SECURITIES PVT.LTD (AUM) for Cash and F&O segment as are presently in force in relation to :

1. Refusal of orders for Penny/illiquid Stock
2. Applicable Brokerage limit
3. Setting up of exposure limits
4. Delayed payment charges
5. Squaring off of market positions, collaterals and other securities,
6. Market and internal shortages,
7. Refusal of Client requests for fresh positions
8. Suspension of Client's account and deregistering of the Client.

**1. Penny / illiquid securities:** AUM shall from time to time classify and publish on its website a list of securities which are illiquid as per the list of illiquid securities notified on a periodic basis by the Stock Exchanges concerned and / or based on such internal criteria as AUM may deem fit. AUM reserves the right to refuse execution of any transaction requests of the Client on such illiquid securities or to reduce the open market interests of the Client in such securities. AUM also reserves the right not to allow any trades or transactions in respect of certain securities or segments or orders/requests which may be below / above certain value / quantity as may be decided by AUM from time to time.

### **2. Applicable Brokerage:**

- 2.1. AUM shall levy brokerage for the Client's transactions as per the brokerage slabs mutually agreed with the Client in writing in the Client Registration Form subject to the maximum rate prescribed by the Stock Exchanges / SEBI. The Client shall pay such fees, charges, and commissions as may be notified by AUM from time to time depending upon the services availed by the Client.
- 2.2. Subject to such maximum prescribed rates, AUM may revise the rates from time to time after advance intimation to the Client of the revised rates and the date on and from which the revised rates shall take effect. However in case of any upward revision in brokerage, AUM shall give 15 days advanced intimation to the client. AUM may intimate the revised rates in writing addressed to the Client and by publishing the rate on its back-office website. The Client shall intimate its objection(s) if any to the revised brokerage in writing within 15 (fifteen) days of receipt of intimation of the change in brokerage. The Client shall be deemed to have agreed to the change in brokerage rates if he does not intimate any objection thereto within the time prescribed.
- 2.3. Brokerage shall be paid in the manner intimated by AUM to the Client from time to time together with the service tax and statutory levies & duties as may be applicable from time to time on the same.
- 2.4. Without prejudice to the absolute obligation of the Client to pay/reimburse monies to AUM as set-out above, AUM shall also be entitled to set-off and appropriate any monies that may be placed with or available with AUM for and/or on behalf of the Client towards any dues of the Client to AUM, arising howsoever.

### **3. Setting up of Exposure limits:**

- 3.1. AUM shall be entitled to sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of funds / securities / bank guarantees / fixed deposit receipts. AUM at its sole discretion may refuse to accept any security 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 factors or conditions which AUM may consider relevant for the 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.

- 3.2. Neither AUM, nor any affiliate of AUM nor their respective directors, officers, employees, agents shall in any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees and expenses) arising from any variation or reduction of exposure or turnover limits by AUM.

### **4. Delayed payment and consequences:**

- 4.1. Notwithstanding anything contained in these presents and without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from the Client in any trading segments shall be liable to delayed payment charges at the rate of 1.5% per month or part thereof or such other rate as may be determined and communicated by AUM. AUM is authorised to debit the delayed payment charges to the account of the Client at the end of each month/such other interval as maybe decided by AUM.
- 4.2. Without prejudice to AUM's other rights and to the extent permissible under Applicable Laws, AUM shall be entitled to liquidate / close out all or any of the Client's positions for nonpayment of margin or other amounts, outstanding debts, etc, and adjust the proceeds of such liquidation/close out, if any, against the Client's liabilities / obligations. Any and all losses and financial charges on account of such liquidation/ closing-out shall be charged to and borne by the Client.
- 4.3. AUM shall be entitled to suspend or terminate the member client relationship without prior notice if the Client fails to fulfil his/its payment obligations hereunder, under the Rights and Obligations / Terms and Conditions mentioned in this document or otherwise due to AUM.
- 4.4. AUM shall not be obliged to return any money, margin or otherwise to the Client until the Client has satisfactorily discharged all its payment obligations or other obligations as specified in Client Registration Document.

**5. AUM right to square off:** Without prejudice to AUM other rights (including the right to refer a matter to arbitration), in the event of the Client failing to maintain/supply applicable margin money required to sustain the outstanding market positions of the Client, AUM shall be entitled, at its option and liberty, to liquidate/close out all outstanding market positions or any part thereof such that the outstanding market positions are either zeroed out or reduced to an extent where available margin covers the market positions remaining after such square off. The Client understands and accepts that authority of AUM to square off outstanding market interests of the Client in the event of the Client failing to furnish margin money immediately on demand is carte blanche qua the entire outstanding position and the Client shall not, as a matter of right, be entitled to reduction of the outstanding positions in stages in order that positions to the extent of available margin are retained in the Client's account. AUM may also sell off all or any securities of the Client lying with AUM as collateral or otherwise, for any amounts due by the Client and adjust the

proceeds of such liquidation/close out against the client's liabilities/obligations to AUM. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client. Client shall keep and hold AUM indemnified and harmless from any loss arising out of such closing out/squaring off. Such liquidation or close out of positions shall apply to any segment in which the Client does business with AUM.

**6. Market and internal shortages:** The Client hereby agrees that if he/she/it has short-delivered any securities against his/her/its pay-in obligation towards a counter party who is a Client of AUM and delivery of the securities was also not effected through auction in the market (self-auction) for any reason including that self-auction is not permitted on the Exchange, then the contract shall be closed out and the close out price will be higher of:

- (a) The highest price for the securities prevailing in NSE or as the case may be BSE on any date commencing from the date of transaction till the day of auction relevant to the trade (auction day) or
- (b) The closing price for the securities on the auction day as increased by 3% of the closing price for F & O traded scrip or 7% for other scrip or such other % as may be revised by AUM from time to time. The amount so determined shall be debited to the account of the Client who defaulted to deliver.

**7. Refusal of Client requests for trades/transactions:**

- 7.1. AUM is entitled in its sole discretion to: Restrict or refuse execution of any orders for transaction in any scrip if transaction in such scrip is not in accordance with its internal due diligence policy and/or the directives and guidelines of the Exchanges and/or the Regulator issued from time to time and the client shall not call in question any decision of AUM to restrict or refuse transactions in such scrip on the ground that transactions in such scrip are not in violation of AUM's due diligence policy or the directives or guidelines of the Exchange and/or the Regulator or on the ground that the Client has not been put on notice about the scrip on which trade restrictions have been imposed by AUM. Impose trade restrictions on any scrip having regard in particular to any one or more of the following factors viz. (i) Market volatility, or (ii) Price sensitive announcements relating to any scrip, or (iii) Restrictions on trade volume imposed by the Exchange concerned or (iv) Political instability in the country or (v) External aggression or internal rebellion or (vi) Default by the Client to maintain applicable collateral/margin or to make payment of dues or such other factors influencing the securities market.
- 7.2. Refuse to accept or act upon any request/order which in Aum's sole opinion, amounts to manipulating trades or price manipulation or artificial trade(s) and/or fraudulent trade(s) or otherwise in breach of applicable laws and/or Aum's internal policies, without obligation to give the Client its reasons for doing so;
- 7.3. Close out any transaction which may have been executed but which Aum was entitled to refuse to execute being contrary to its internal due diligence policies or by reason of any other factors including but not limited to trades being manipulative in nature;
- 7.4. Disallow any trades or transactions in respect of certain securities or segments which may be below/above certain value/quantity as may be decided by Aum from time to time;
- 7.5. Aum may at its sole discretion decline to carry out the instructions for any reason whatsoever

I/we have read & understood the above mentioned policies and procedures.

**8. Suspension and deregistering of Client's Account:**

8.1. If the Client apprehends that security of his account has been breached, the Client shall by writing to AUM, request suspension of transactions in the Client's account and AUM may on receipt of such request suspend transactions in the account. The Client shall ensure pay in of funds and securities in respect of all transactions pending to be settled on or before the respective settlement date(s) and shall compulsorily square off all open derivative positions, failing which AUM without further reference to the Client shall square off all open derivative positions prior to suspending the account. The account of the Client shall, if suspended, remain so suspended until such time as the Client's request in writing for reactivation of the account is not received by AUM. Provided always that AUM may, without prejudice to its other rights to effect recovery of its dues, sell all or any collateral and other securities of the Client lying with it in the Client's account towards full or part recovery of the dues owing by the Client without prior notice or consent of the Client.

8.2. AUM may at any time, as it considers necessary in its sole discretion and without prior notice to the Client, prohibit, restrict or suspend the Client's access to or use of the Services provided to the Client under this document, whether in part or entirely.

**8.3. AUM reserves the right to suspend and deregister the client without prior notice in the event of:**

- a. Any breach of the terms of this document.
- b. In the event of infraction of any Rules, Bye-Laws, Regulations of SEBI or the Stock Exchange or of the provisions of any law for the time being in force governing dealings in the securities market without prior notice or the directions of SEBI and/or the Exchanges.
- c. Upon the death, winding up, bankruptcy, liquidation or lack of legal capacity of the Client.
- d. The Client being designated as a defaulter by any credit rating agency or any action or proceedings have been initiated by the relevant regulator/Authority including without limitation SEBI.
- e. Bank account, demat account, securities account of the client being frozen or attached by any court of law or any other competent authority for whatever reason.
- f. The Client having misrepresented facts at the time of registration or at the time of giving instructions or otherwise.
- g. Any proceedings or investigations that involve the Client or his/its properties having been initiated (or is/are ongoing).
- h. The Client fails to fulfil his/its payment obligations under this document or otherwise due to Aum or
- i. If the Client migrates to a jurisdiction which prohibits trading in Indian Securities or otherwise subjects Aum or any of its employees to any licensing or registration requirements.
9. The prevailing policies and Procedures of Aum in respect of the above said matters shall remain published on its website as may be notified to the Client from time to time and the Client agrees that it is Client's responsibility to access, understand and abide by such policies at all times during the subsistence of this agreement.

**I agree and understand that AUM may from time to time at its sole discretion amend or modify the policies and procedures under intimation to me / us.**

Authorised Signature with company Seal

**3. BENEFICIAL OWNER'S EMPLOYMENT INFORMATION**

Employer Name   
 Type of Business  Position   
 Years with Employer   
 Address   
 City/Town  Pin Code   
 State  Country   
 Tel (Off)  Tel (Res)   
 Mobile No.  Fax

Recent  
Passport Size  
Photograph of  
Beneficial  
Owner Only


(11/19)  **Authorised Signature with company Seal**

Sign across


I/we certify that the information provided by me/us in this document is true and complete and I/we hereby agree to advise you immediately of any material change in the information.

Beneficial Owner/Authorised Person Signature  Date

Witness Name

Witness Signature   Date

Branch Manager Name

Branch Manager Signature   Date

**Note:** Beneficial Owner is required to submit copy of PAN card and valid address proof alongwith the captioned form.

**DECLARATION BY HUF AND CONSENT LETTER**

To,  
**AUM SECURITIES  
PVT.LTD..**

With regard to Beneficiary account no. (BO ID) \_\_\_\_\_ And Trading Account \_\_\_\_\_  
maintained in the name & style " \_\_\_\_\_ " with 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 depository \_\_\_\_\_ 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.

**Details of our HUF and all its co-parceners are stated as mentioned below:**

Sr.No	Name of Family Member	Date of Birth (DD MM YYYY)	Gender	Relationship with Karta	Signature

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)

DECLARATION BY PARTNERSHIP FIRM (TO BE OBTAINED ON FIRMS LETTER HEAD OR ATTESTED WITH FIRM'S SEAL)

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

To  
**AUM SECURITIES PVT.LTD.**  
806-807 KOSHA  
COMMERCIAL COMPLEX 8  
TH 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 depository \_\_\_\_\_, 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

**BOARD RESOLUTION (Trading / Demat)  
(On the Company letterhead)**

**CERTIFIED TRUE COPY OF AN EXTRACT FROM THE MINUTES OF A MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_**

**LIMITED DULY CONVENED AND AT WHICH A PROPER QUORUM WAS PRESENT HELD AT THE REGISTERED OFFICE OF THE COMPANY AT \_\_\_\_\_**

**(ADDRESS) ON (DATE)**

We hereby certify that the following resolution of the Board of directors of \_\_\_\_\_ LTD was passed at the Meeting of the Board held on \_\_\_\_\_ and has been duly recorded in the Minutes Book of the said Company.

**"RESOLVED THAT** having regard to the object/s of the Company and to the operations of the Company and its future plans, the Company do open a Trading Account for dealing in shares and securities in Cash Segment and / or Derivative Segment on the Bombay Stock Exchange Ltd. (BSE) and / or National Stock Exchange of India Ltd. (NSE) and / or MCX Stock Exchange Ltd. (MCX-SX) and / or Clearing member / beneficiary account for the Company, with AUM SECURITIES PVT. LTD. (Depository Participant of CDSL) in the name and style of" \_\_\_\_\_ (name of the co.) \_\_\_\_\_ LIMITED" and Mr.

\_\_\_\_\_ Director of the Company be and is hereby authorized to negotiate and finalize the terms and conditions for opening the account and completing the formalities.

**"FURTHER RESOLVED THAT** Mr. \_\_\_\_\_ and Mr. \_\_\_\_\_ the Directors and Mr. \_\_\_\_\_ the Authorised Person in this behalf, be and are hereby jointly and severally authorized to sign and execute necessary forms and KYC disclosures and agreements as might be required for the purpose of opening the Trading and / or Beneficiary account/s as aforesaid and THAT they are also authorized to as such to operate the said account for and on behalf of the Company"

**"RESOLVED THAT** for the company do grant in favor of AUM SECURITIES PVT. LTD. a Power of Attorney limited to enabling AUM SECURITIES PVT. L.T.D. meet payin obligations for sale transactions carried out in the account of the Company and authorize Mr. \_\_\_\_\_ of the company to execute, notarize and deliver to AUM SECURITIES Pvt. Ltd., the said Power of Attorney and to do all other things as may be necessary in this connection.

**"FURTHER RESOLVED THAT** a certified copy of the said resolution be communicated to AUM SECURITIES PVT. LTD. together with the specimen signatures of all the aforesaid officials by the Chairman of the meeting / company.

Place: \_\_\_\_\_ CERTIFIED TRUE COPY

Date: \_\_\_\_\_ For \_\_\_\_\_ LTD.

Signatory

SPECIMEN SIGNATURES

NAME SIGNATURE

1. Mr. \_\_\_\_\_ \_\_\_\_\_

2. Mr. \_\_\_\_\_ \_\_\_\_\_

3. Mr. \_\_\_\_\_ \_\_\_\_\_

## ACKNOWLEDGEMENT

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

# **VOLUNTARY DOCUMENTS**

## VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open securities 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 of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., and the MCX Stock Exchange Ltd. and Mutual Fund transactions Facilities offered by SEBI recognized Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by AUM and also the additional services that may be made available by AUM from time to time, the Client, on its own free will & volition, agrees to accept & be bound by the following terms & 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 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 Broking.

**2. Payment by cheque:** Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favor of AUM, trades may be executed at the discretion of AUM only upon realization of the funds of the said cheque/pay order/demand draft.

**3. Lien:** All securities, funds and/or properties of the Client as may be permitted by the Exchange(s) from time to time to be placed with 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, funds and/or property of the Client as security towards any such undischarged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, funds or properties at its sole discretion and at any point of 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 to its ledger account in any other segment or to transfer any stock purchased/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of 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 the transmission or delivery of any such data, information or message, or
- (b) **Any loss or damage arising from or occasioned by** (i) Any such inaccuracy, error, delay or omission, (ii) Non-performance, or (iii) Interruption in making available any such data, information or 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, equipment or software malfunction) or any other cause beyond the reasonable control of AUM or any disseminating party.

**6. Manner and Mode of placing orders/instructions:** The Client may communicate orders and other instructions to AUM or the sub-broker/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. Client may use any one or more of these means as may be permitted by the SEBI / Exchanges from time to time for placing orders.

**7. Non-execution/delay/cancellation of Orders:** 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 system generally in any manner due to one or the other reasons beyond the control of AUM or the Exchange.

**8. 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.

**9. 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. 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.

**10. 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.

**11. Disclosure as to Proprietary Trades by AUM:** AUM may carry out proprietary trades in addition to trades on behalf of its Clients.

**12. 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.

**13. 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.

**14. 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:

14.1 (a) By ordinary post or (b) By registered post (c) Under certificate of posting or (d) By express delivery post or (e) by SMS on registered mobile or by telephonic call or (f) By affixing it on the door at the last known business or residential address or (g) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (h) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (i) By publishing it in the website of AUM wherein secured log-id and password to Client is provided or (j) By a notice posted on the notice board of the Exchange if no address be known or (k) By electronic mail or tax or (l) By hand delivery or By Courier or any other mode as may be allowed for communication.

14.2 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.

**15. Electronic Contract Note (ECN):**

15.1. 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.

15.2. 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 7 working days of the receipt of the same. AUM shall also publish the Contract Note on the Web site [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.

**16. Electronic Transmslion 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 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 seven working days from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.

**17. 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.

**18. Internet / Wireless Technology based Trading facility:**

18.1. 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 therefor.

18.2. 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.

18.3. 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.

18.4. 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."

**19. 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 network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond Aum's control resulting in non-execution, 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.

**20. 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.

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

**For Aum Securities PVT. LTD.**

**Authorised Signatory:** \_\_\_\_\_

(14/19) 

**Authorised Signature with company Seal**

**RUNNING ACCOUNT AUTHORIZATION (VOLUNTARY)**

To,  
**AUM SECURITIES PVT.LTD.**  
806-807 KOSHA  
COMMERCIAL COMPLEX 8  
TH FLOOR PODDAR ROAD  
NEAR RAM LEELA MAIDAN  
MALAD EAST.MUMBAI  
400097.

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

Dear Sir,

**Ref: Authorization to maintain running accounts for transactions and retention of securities and funds for my client code** \_\_\_\_\_


I request you to settle my account on a monthly/ quarterly basis. (Strike off whichever is not applicable).

I hereby authorize you to maintain running account(s) for my transactions executed through Aum Broking on any of the stock exchanges/segment for both securities and funds with you. I also request you to consider the balances in my/our running fund/securities account with you for the purpose of margins/ all trade related liabilities due to you. I further authorized you to retain securities and funds as may be permitted by Stock Exchanges / SEBI from time to time while settling my account. I also authorize AUM to consider the funds/securities so retained by AUM towards collateral margin and for allowing enhanced gross exposure to me. I agree that Aum shall not be liable for any claim for loss or loss of profit, or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds.

Additionally the funds and securities due to me may be released in the interim, on my specific request. I understand and agree that no interest will be payable to me on the amount of securities and funds as retained with you. The authorization may be revoked by me at any time by giving prior written intimation to Aum Broking.

Yours faithfully,

Client Name: \_\_\_\_\_

(15/19) 

**Authorised Signature with company Seal**

**POWER OF ATTORNEY (VOLUNTARY)**

(To be executed on stamp paper of Rs. 50/-)



TO ALL TO WHOM THESE PRESENTS SHALL COME We M/s \_\_\_\_\_, a sole proprietary concern with Proprietor Mr./Ms. \_\_\_\_\_ and having place of business and or residing at \_\_\_\_\_

(hereinafter referred to as "the client"), send greetings; **(or)** M/s \_\_\_\_\_, a HUF with Mr./Ms \_\_\_\_\_ as its Karta and having its office at \_\_\_\_\_

\_\_\_\_\_ (hereinafter referred to as "the client") send greetings; **(or)** M/s \_\_\_\_\_, a partnership firm with Mr./Mrs./Ms \_\_\_\_\_; Mr./Mrs./Ms \_\_\_\_\_ and Mr./Mrs./Ms \_\_\_\_\_ as its partners (names of all partners to be given) having its office at \_\_\_\_\_

(hereinafter referred to as "the client") send greetings; **(or)** M/s \_\_\_\_\_, a public/private limited company incorporated under the Companies Act, 1956 and having its registered office at \_\_\_\_\_ and corporate office at \_\_\_\_\_

(hereinafter referred to as "the client") send greetings

Whereas I/we hold a Beneficiary account no. \_\_\_\_\_ (BO-ID) with Central Depository Services (India) Limited, with Aum Securities pvt.ltd. (a Depository Participant registered with CDSL) bearing DP -ID \_\_\_\_\_.

And Whereas I/we are registered as a client with AUM Securities Pvt. Ltd. (trading member of Bombay Stock Exchange Ltd, MCX Stock Exchange Ltd. and National Stock Exchange of India Ltd) for dealing in the securities market.

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/We THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT M/s Aum securities pvt ltd., as my/our true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our name to do the following:

1. To debit my/our aforesaid beneficiary account and to transfer securities there-out for the purpose of delivering / pledging the same to the clearing house of the recognized stock exchange in any segment to discharge my/our settlement obligations in respect of securities sold by me/us or for the purpose of providing margins in respect of the trading positions taken up by me/us.
2. To apply for and subscribe to, on my/our instructions, Initial Public Offerings made by any company registered under the provisions of the Companies Act, 1956 through online/offline bidding platform and to perform, do, undertake, discharge all incidental and ancillary acts, deeds, matters, things, functions and obligations in connection therewith.
3. To apply, on my/our instructions, for Mutual Funds of various asset management companies through online / offline platform and to perform, do, undertake, discharge all incidental and ancillary acts, deeds, matters, things, functions and obligations in connection therewith.
4. I/we authorize my/our said Attorney to send me/us consolidated summary of scrip wise buy and sell positions, subscriptions to IPOs and Mutual Funds by way of short messaging services or e-mails on a daily basis.
5. The said Attorney shall return to me/us the Securities that may have been received by it erroneously or that it was not entitled to receive.
6. I/we do hereby ratify and confirm and agree to ratify and confirm whatsoever my/our said Attorney shall have lawfully done or may lawfully do or cause to be done by virtue of or in exercise of any power hereby granted, given authorised or implied or intended to be so granted, given or authorised and also all lawful acts, deeds, matters and things done by the said Attorney of the nature mentioned above or incidental or relating thereto or arising there-from or deemed by my/our Attorney to be requisite or expedient to be done or performed in exercise of any power herein.
7. I/we further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue to be good, valid and effective until revoked by me/us in writing given to my Attorney and that the Power of Attorney shall not be affected by lapse of time. This Power of Attorney shall continue in full force and effect until my/our Attorney shall receive written notice of revocation thereof, signed by me/us; or, in the event of termination thereof by my/our death, until my/our Attorney shall have received actual notice thereof, and such revocation or termination shall in no way affect the validity of this Power of Attorney with reference to any transactions initiated by my/our Attorney, prior to the actual receipt by the Attorney of the notice of such revocation or termination, as above provided.. Further, without prejudice to the generality of the aforesaid, such revocation of this Power of Attorney, in so far as any transaction, settlement of which is pending on the date of receipt of notice of revocation by my/our Attorney is concerned, shall become effective only after all pending obligations in respect of such transactions are settled on the respective settlement dates and all dues owing by me/us in connection therewith have been fully paid by me/us to the Stock Broker. Further, such revocation of the power and authority given to my/our Attorney hereby shall in no way affect the validity of any acts, deeds or things done or action taken by my/our Attorney for discharging any of my/our settlement obligations in respect of any transactions settlement of which is pending on the date of receipt of the notice of revocation by the Attorney.
8. As per SEBI Circular Dated 23rd August 2010, the list of demat A/C's where securities can move is listed as per schedule 1



**DECLARATION ON MOBILE NUMBER / EMAIL ID (VOLUNTARY)**

To,  
**AUM SECURITIES PVT.LTD.**  
806-807 KOSHA COMMERCIAL COMPLEX  
8TH FLOOR PODDAR ROAD  
NEAR RAM LEELA MAIDAN  
MALAD EAST.MUMBAI  
400097.

**Subject: Mobile Number and Email ID Update**

Dear Sir / Madam,

With reference to Exchange circulars to update mobile number / email ID before trading in Stock Market, I/we hereby declare that:

- I/We do not have Mobile number  
 I/We do not have Email Id  
 I/We have Mobile Number / Email ID however does not wish to update and avail the facility.

Client Code

Client Name: \_\_\_\_\_

(18/19)  **Authorised Signature with company Seal**

**MUTUAL FUND SERVICE SYSTEM FACILITY / BSE STAR MF (VOLUNTARY)**

To,  
**AUM SECURITIES PVT.LTD.**  
806-807 KOSHA COMMERCIAL COMPLEX  
8TH FLOOR PODDAR ROAD  
NEAR RAM LEELA MAIDAN  
MALAD EAST.MUMBAI  
400097.

**Sub: Client/Investor consent on terms and conditions for dealing in Mutual Fund Service System (MFSS) facility / BSE StAR MF or mutual fund facility offered by SEBI recognized Stock Exchange from time to time (hereinafter jointly referred to "Mutual Fund Transaction Facilities")**

Dear Sir,

I/We am/are registered as your client and have 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").

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges.

For the purpose of availing Mutual Fund Transaction Facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of Mutual fund transaction facilities and I/We further confirm that the details contained in the same remain unchanged as on date.

I/We am/are willing to 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.

I/We 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).

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

I/We confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy). I/we therefore request you to register me/us as your client for participating in Mutual Fund Transaction Facilities.

I have read and understood the above and I agree to abide by the same.

(19/19)  **Authorised Signature with company Seal**

### 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

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#### 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.

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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 GTD 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 GTD expiration date. The GTD order requires cash/ (Limit) up front, and the Client must ensure that there is sufficient cash (Limit).

2. Handling of GTD orders in case of corporate actions :

Post Corporate Action, GTD 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 "GTD 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