

## Client Registration Form (Trading Account)

• NSE      • BSE      • MCX-SX      • USEIL

NAME : \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

UCC NO. : \_\_\_\_\_



### **SS CORPORATE SECURITIES LIMITED**

NDM 2, Block D, 3rd Floor, Netaji Subhash Place,  
Pitam Pura, Delhi-110034

Tele. : 91 11 4700 3600 (30 Lines), Fax : 91 11 4700 3601

Website : [www.sscorporate.com](http://www.sscorporate.com)

**PROCESS SHEET (For Office Use Only)**

**INDIVIDUAL & NON-INDIVIDUAL**

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

| S.No. | Documents  | Specify Documents Obtained | Deviation/ Remarks |
|-------|--|----------------------------|--------------------|
| 1.    | Duly Signed/crossed <b>Passport Size Photo(s)</b> of Individual/ Partner/ Directors/ Authorized Officials  | Yes/No                     |                    |
| 2.    | Copy of <b>Client Master of Demat Account</b>  | Yes/No                     |                    |
| 3.    | Latest Bank Statement and Cancelled Cheque ( <b>Compulsory</b> )   | Yes/No                     |                    |
| 4.    | <b>Copy of PAN (Compulsory)</b> (in case of partnership firm and corporate, Pan Card of all Partners and Directors/Whole Time Directors)   | Yes/No                     |                    |
| 5.    | <b>Identity Proof (Driving Licence, Passport, Election I-Card)</b> (in case of partnership firm and corporate, Identity Proof of all Partners and Directors/Whole Time Directors/Authorized Official)  | Yes/No                     |                    |
| 6.    | <b>Proof of Address (Driving Licence, Passport, Voter ID, Bank Pass Book, Latest Electricity Bill )</b> (in case of partnership firm and corporate, Address Proof for all Partners and Directors / Whole Time Directors / Authorized Official )  | Yes/No                     |                    |
| 7.    | <b>HUF Account</b> : Identity Proof and Address proof of Karta (as mentioned in Sl. No. 5 and 6) , Pan Card of HUF Firm, Karta's Stamp on all documents, Declaration of HUF  | Yes/No                     |                    |
| 8.    | <b>Partnership Firm</b> : Certified Copy of the Partnership Deed, Last Income tax Return and Authority Letter by the partners.   | Yes/No                     |                    |
| 9.    | <b>NRI</b> : Copy of Passport, Foreign Address Proof & RBI Permission  | Yes/No                     |                    |
| 10.   | <b>Corporate</b> : Certified Copy of Board Resolution, Copy of Audited Annual Accounts, List of Directors/Wholetime Directors, with Permanent Residential Address, Latest Shareholding Pattern, Certified Copy of MOA & AOA, and Letter from Banker Certifying Account No. & Networth Certificate  | Yes/No                     |                    |
| 11.   | <b>Additional Requirements for Derivative Segment: (Reqd. Every Year)</b> Copy of ITR, Salary Slip/ Form 16, Copy of Annual Accounts, Networth Certificate, Bank account Statement for Last 6 months, Holding Statement of Demat Account, Any other relevant documents showing ownership of Assets | Yes/No                     |                    |
| 12.   | Brokerage Schedule   | Yes/No                     |                    |
| 13.   | Witness to Agreement   | Yes/No                     |                    |
| 14.   | Email Id, Telephone/Mobile Number  | Yes/No                     |                    |
| 15.   | All documents, Photos are Self Attested. Introducer's details, Financial Details, Segment/Exchange wise preference duly signed Provided  | Yes/No                     |                    |

|                                 |               |               |
|---------------------------------|---------------|---------------|
| <b>DOCUMENTS CHECKED BY</b>     | <b>NAME :</b> | <b>SIGN :</b> |
| <b>FORM VERIFIED BY</b>         | <b>NAME :</b> | <b>SIGN :</b> |
| <b>PAN VERIFIED FROM WEB BY</b> | <b>NAME :</b> | <b>SIGN :</b> |
| <b>AUDIT BY</b>                 | <b>NAME :</b> | <b>SIGN :</b> |

### **Instructions to the Applicants for opening a Trading Account :**

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

#### **National Stock Exchange Ltd**

| <b>S.No.</b> | <b>Documents to be Filled &amp; Signed</b> | <b>Page No.</b> |
|--------------|--|-----------------|
| 1.           | Trading Account (Individual)               | 1-3,10-12,30-41 |
| 2.           | Trading Account (Non Individual) HUF       | 4-7,10-12,30-41 |
| 3.           | Trading Account (Corporate)                | 4-9,10-12,30-41 |

#### **Bombay Stock Exchange Ltd**

| <b>S.No.</b> | <b>Documents to be Filled &amp; Signed</b> | <b>Page No.</b> |
|--------------|--|-----------------|
| 1.           | Trading Account (Individual)               | 1-3,13-15,30-41 |
| 2.           | Trading Account (Non Individual) HUF       | 4-7,13-15,30-41 |
| 3.           | Trading Account (Corporate)                | 4-9,13-15,30-41 |

#### **MCX-SX Stock Exchange Ltd. (Currency)**

| <b>S.No.</b> | <b>Documents to be Filled &amp; Signed</b> | <b>Page No.</b> |
|--------------|--|-----------------|
| 1.           | Trading Account (Individual)               | 1-3,16-18,30-41 |
| 2.           | Trading Account (Non Individual) HUF       | 4-7,16-18,30-41 |
| 3.           | Trading Account (Corporate)                | 4-9,16-18,30-41 |

#### **United Stock Exchange Ltd. (Currency)**

| <b>S.No.</b> | <b>Documents to be Filled &amp; Signed</b> | <b>Page No.</b> |
|--------------|--|-----------------|
| 1.           | Trading Account (Individual)               | 1-3,19-21,30-41 |
| 2.           | Trading Account (Non Individual) HUF       | 4-7,19-21,30-41 |
| 3.           | Trading Account (Corporate)                | 4-9,19-21,30-41 |

- PLEASE DO NOT USE CORRECTION FLUID ON THE FORM -

|  |
|--|
| <p><b>Disclosure pursuant to NSE Circular No. NSE / I NSP / 2006 / 52 dated 5th July, 2006<br/>&amp; BSE Circular No. 20060704 - 6 dated 4th July 2006</b></p> |
|--|

Following documents are **Mandatory** and shall be Executed/Signed compulsorily by the client:

| <b>S.No.</b> | <b>Documents to be Signed</b>                                | <b>Page No.</b> |
|--------------|--|-----------------|
| 1.           | Know Your Client (Individual)                                | 1-3             |
| 2.           | Know Your Client (Non-Individual)                            | 4-9             |
| 3.           | Member Client Agreement (NSE)                                | 10-12           |
| 4.           | Member Client Agreement (BSE)                                | 13-15           |
| 5.           | Member Client Agreement (MCX-SX)                             | 16-18           |
| 6.           | Member Client Agreement (USEIL)                              | 19-21           |
| 7.           | Tripartite Agreement Stock Broker, Sub Broker & Client (NSE) | 22-25           |
| 8.           | Tripartite Agreement Stock Broker, Sub Broker & Client (BSE) | 26-29           |
| 9.           | Combined Risk Disclosure Document (NSE/BSE/MCX-SX/USEIL)     | 30-33           |
| 10.          | Investors' Right and Obligation (Annex-1)                    | 34-35           |
| 11.          | Policies and Procedures                                      | 36-37           |

Following documents are **Non Mandatory** and to be Executed/Signed at the discretion of the client:

| <b>S.No.</b> | <b>Documents to be Signed</b>                            | <b>Page No.</b> |
|--------------|--|-----------------|
| 1.           | Running Account / Electronic Contract Note Authorization | 38              |
| 2.           | Letter of Authority                                      | 39              |
| 3.           | Family Members Adjustment                                | 40              |
| 4.           | Brokerage Slab   | 41              |

**All Financial Proof/Documents/Declaration subject to the Renewal of each and every year.**

**WELCOME LETTER**

M/s SS Corporate Securities Limited  
NDM 2, Block D, 3rd Floor,  
Netaji Subhash Place,  
Pitam Pura, Delhi-110034

Dated \_\_\_\_\_

I/We hereby confirm:

1. That I/We have received photocopy of the Client Registration Form (KYC), Member Constituent Agreement/ Tripartite Agreement, Risk Disclosure Document and other 3 Voluntary Documents executed by me/us.
2. That Unique Client Code allotted to me/us is \_\_\_\_\_ and Email ID furnished by me/us is \_\_\_\_\_.
3. That I/We have been informed by you that you do client based trading & PRO Account trading.

Signature of Client:  \_\_\_\_\_

---

**FOR OFFICE USE ONLY**

IN PERSON VERIFICATION : Details of person doing verification

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

Signature : \_\_\_\_\_

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

**Disclosure Information**

In compliance to **SEBI circular reference No SEBI/MRD/SE/Cir-42/2003 dated 19.11.2003 and NSE circular reference No NSE/INVG/PRE/2003/16 dated 25.11.2003 and BSE circular reference No 20031125-7 dated 09.09.2003**

This is to inform you that we do client based trading and Pro-account trading in National Stock Exchange of India Ltd/ Bombay Stock Exchange Ltd. (BSE) / MCX Multy Commodity Stock Exchange Ltd. (MCX -SX)/United Stock Exchange of India Ltd. (USEIL).

**NOTE : IF ANY INFORMATION REQUIRED TO BE GIVEN DOES NOT FIT IN THE FORM, AN ANNEXURE MAY BE USED.**

**MANDATORY****INDIVIDUAL CLIENT REGISTRATION FORM**

This information is the sole property of the trading member/brokerage house and would not be disclosed to any one unless required by law except with the exclusive permission of clients.



**CORPORATE OFFICE :** NDM 2, Block D, 3rd Floor, Netaji Subhash Place,  
Pitam Pura, Delhi-110034  
Tele. : 91 11 4700 3600 (30 Lines), Fax : 91 11 47003601  
**Investor Grievances :** investor@sscoperative.com

| SEGMENT        | NSE                                 | BSE           |
|----------------|-------------------------------------|---------------|
|                | <b>SS CORPORATE SECURITIES LTD.</b> |               |
| <b>CASH</b>    | SEBI REGN. NO.- INB 230753830       | INB 010753839 |
| <b>F&amp;O</b> | SEBI REGN. NO.- INF 230753830       | INF 010753839 |
| <b>CDS</b>     | SEBI REGN. NO.- INE 230753830       |               |
| <b>MCX-SX</b>  | SEBI REGN. NO.- INE 260753839       |               |
| <b>USEIL</b>   | SEBI REGN. NO.- INE 271381936       |               |

|  |
|--|
| Photograph<br><br>Sign across the<br>Photograph<br><br><input checked="" type="checkbox"/> |
|--|

I we request you to register me/us as your client and enable me/us to trade in the cash and derivatives segment of the NSE/BSE/MCX-SX/USEIL pursuant to the agreement entered into with you. I/We read the rules, Bye-Laws and Regulations of the derivatives segment as well as the cash segment of the above Exchanges and agree to abide by them. I/We give the following information :

| Trading Preference :         |                              |                          |                          |
|------------------------------|------------------------------|--------------------------|--------------------------|
| NSE                          | BSE                          | MCX-SX                   | USEIL                    |
| CM <input type="checkbox"/>  | CM <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Sign _____                   | Sign _____                   | Sign _____               | Sign _____               |
| F&O <input type="checkbox"/> | F&O <input type="checkbox"/> |                          |                          |
| Sign _____                   | Sign _____                   |                          |                          |
| CDS <input type="checkbox"/> |                              |                          |                          |
| Sign _____                   |                              |                          |                          |

|   |  |  |  |  |  |  |  |  |  |
|---|--|--|--|--|--|--|--|--|--|
| 1. Full Name :  |  |  |  |  |  |  |  |  |  |
| 2. Father's/Husband's Name :  |  |  |  |  |  |  |  |  |  |
| 3. Date of Birth/Age : (DD/MM/YY)   |  |  |  |  |  |  |  |  |  |
| 4. Gender : <input type="checkbox"/> Male <input type="checkbox"/> Female   |  |  |  |  | Marital Status : <input type="checkbox"/> Married <input type="checkbox"/> Unmarried |  |  |  |  |
| 5. Net worth as on (DD/MM/YY) :   |  |  |  |  |  |  |  |  |  |
| 6. Residential Status : <input type="checkbox"/> Indian <input type="checkbox"/> NRI <input type="checkbox"/> Other |  |  |  |  | Nationality :  |  |  |  |  |
| 7. Permanent Account Number (PAN) :   |  |  |  |  |  |  |  |  |  |
| 8. Correspondence Address   |  |  |  |  |  |  |  |  |  |
|   |  |  |  |  |  |  |  |  |  |
| City :  |  |  |  |  | Pin code :   |  |  |  |  |
| State :   |  |  |  |  | Country :  |  |  |  |  |
| Telephone Number :  |  |  |  |  | Mobile Number :  |  |  |  |  |
| Email ID :  |  |  |  |  | Fax Number :   |  |  |  |  |

|   |  |  |   |  |                 |  |  |  |  |
|---|--|--|---|--|-----------------|--|--|--|--|
| 9. Permanent Residential Address  |  |  |   |  |                 |  |  |  |  |
|   |  |  |   |  |                 |  |  |  |  |
| City :  |  |  |   |  | Pin code :      |  |  |  |  |
| State :   |  |  |   |  | Country :       |  |  |  |  |
| Telephone Number :  |  |  |   |  | Mobile Number : |  |  |  |  |
| 10. Details of Bank Accounts  |  |  |   |  |                 |  |  |  |  |
| Name & Address of Bank :  |  |  |   |  |                 |  |  |  |  |
|   |  |  |   |  |                 |  |  |  |  |
| A/c No of the Bank & A/c Type : Saving / Current / NRI / Others .....   |  |  |   |  |                 |  |  |  |  |
| 11. Depository Accounts Details :   |  |  |   |  |                 |  |  |  |  |
| Depository Name : NSDL / CDSL   |  |  |   |  | Name of DP :    |  |  |  |  |
| DP ID :   |  |  |   |  | Client ID :     |  |  |  |  |
| 12. Financial Details of the Client : Income Range (Per Annum) (Tick Where applicable)  |  |  |   |  |                 |  |  |  |  |
| <input type="checkbox"/> Below Rs. 1,00,000   |  |  | <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 |  |                 | <input type="checkbox"/> Rs. 5,00,000 to 10,00,000 |  |  |  |
| <input type="checkbox"/> Rs. 10,00,000 to 25,00,000   |  |  | <input type="checkbox"/> Above Rs. 25,00,000          |  |                 |  |  |  |  |
| 13. Annual Income in last 3 years   |  |  |   |  |                 |  |  |  |  |
| Ist Year _____  |  |  | IInd Year _____                                       |  |                 | IIIrd Year _____                                   |  |  |  |
| 14. Investment / Trading Experience   |  |  |   |  |                 |  |  |  |  |
| <input type="checkbox"/> No Prior Experience  |  |  | Years in Derivatives _____                            |  |                 |  |  |  |  |
| _____ Years in Stocks   |  |  | _____ Years in Other investment related fields        |  |                 |  |  |  |  |
| 15. Details of any action taken by SEBI / FMC/ Stock Exchange/ Commodity Exchange/ any other authority (Last 3 years) :   |  |  |   |  |                 |  |  |  |  |
|   |  |  |   |  |                 |  |  |  |  |
| 16. Details of Registration with other Exchanges:   |  |  |   |  |                 |  |  |  |  |
| Name of Exchange :  |  |  |   |  | Client Code :   |  |  |  |  |
| Name of Broker :  |  |  |   |  | Broker Code :   |  |  |  |  |
| 17. Occupational Details  |  |  |   |  |                 |  |  |  |  |
| Service { <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public/Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body }         |  |  |   |  |                 |  |  |  |  |
| <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> House Wife <input type="checkbox"/> Others _____ |  |  |   |  |                 |  |  |  |  |
| Nature of Business (Products & Services Provided) :   |  |  |   |  |                 |  |  |  |  |
| Name of Employer/Establishment :  |  |  |   |  |                 |  |  |  |  |
| Office Address :  |  |  |   |  |                 |  |  |  |  |
|   |  |  |   |  |                 |  |  |  |  |
| City :  |  |  |   |  | Pin code :      |  |  |  |  |
| State :   |  |  |   |  | Country :       |  |  |  |  |
| Telephone Number :  |  |  |   |  | Mobile Number : |  |  |  |  |
| Fax Number (Including STD Code) :   |  |  |   |  | Email ID :      |  |  |  |  |

**MANDATORY**

18. Introduced by another client/director or employee of trading member/ any other person (Please Specify)

Name of the Introducer : \_\_\_\_\_  
(Surname) (Name) (Middle Name) Signature

PAN : \_\_\_\_\_ Address : \_\_\_\_\_

**PLEASE SIGN THIS DECLARATION**

I hereby declare that all the information and particulars given by me in this application are true to the best of my knowledge and belief. I agree to immediately inform you in writing if there is any change in the information given by me in this application. I also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted there from, I am liable to be debarred from doing business both in the Cash/F&O/Currency Derivatives Segment of the Exchanges. I hereby declare that no action has been taken by SEBI/Stock Exchanges/any other authority for violation of securities laws/other economic offences.

**For SS Corporate Securities Ltd.**

**Director**



\_\_\_\_\_  
**(Signature of the Individual Constituent)**

Place :

Date :

**NON-INDIVIDUAL CLIENT REGISTRATION FORM****MANDATORY**

This information is the sole property of the trading member/brokerage house and would not be disclosed to any one unless required by law except with the exclusive permission of clients.



**CORPORATE OFFICE** : NDM 2, Block D, 3rd Floor, Netaji Subhash Place,  
Pitam Pura, Delhi-110034  
Tele. : 91 11 4700 3600 (30 Lines), Fax : 91 11 47003601  
**Investor Grievances** : [investor@sscoperative.com](mailto:investor@sscoperative.com)

| SEGMENT        | NSE                                 | BSE           |
|----------------|-------------------------------------|---------------|
|                | <b>SS CORPORATE SECURITIES LTD.</b> |               |
| <b>CASH</b>    | SEBI REGN. NO.- INB 230753830       | INB 010753839 |
| <b>F&amp;O</b> | SEBI REGN. NO.- INF 230753830       | INF 010753839 |
| <b>CDS</b>     | SEBI REGN. NO.- INE 230753830       |               |
| <b>MCX-SX</b>  | SEBI REGN. NO.- INE 260753839       |               |
| <b>USEIL</b>   | SEBI REGN. NO.- INE 271381936       |               |

I/We request you to register me/us as your client and enable me/us to trade in the cash and derivatives segment of the NSE/BSE/MCX-SX/USEIL pursuant to the agreement entered into with you. I/We read the rules, Bye-Laws and Regulations of the derivatives segment as well as the cash segment of the above Exchanges and agree to abide by them. I/We give the following information :

| Trading Preference :         |                              |                          |                          |
|------------------------------|------------------------------|--------------------------|--------------------------|
| NSE                          | BSE                          | MCX-SX                   | USEIL                    |
| CM <input type="checkbox"/>  | CM <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Sign _____                   | Sign _____                   | Sign _____               | Sign _____               |
| F&O <input type="checkbox"/> | F&O <input type="checkbox"/> |                          |                          |
| Sign _____                   | Sign _____                   |                          |                          |
| CDS <input type="checkbox"/> |                              |                          |                          |
| Sign _____                   |                              |                          |                          |

|  |   |  |  |  |  |  |  |
|--|---|--|--|--|--|--|--|
| 1. Name of the Company / Firm / Others : |   |  |  |  |  |  |  |
| 2. Details of Registered Office :        |   |  |  |  |  |  |  |
| Correspondence Address :                 |   |  |  |  |  |  |  |
| City :                                   | Pin code : <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table> |  |  |  |  |  |  |
|  |   |  |  |  |  |  |  |
| State :                                  | Country :   |  |  |  |  |  |  |
| Telephone Number :                       | Mobile Number :   |  |  |  |  |  |  |
| Fax Number (with STD Code) :             | Email ID :  |  |  |  |  |  |  |
| 3. Date of Incorporation : (DD/MM/YY)    |   |  |  |  |  |  |  |
| 4. Registration No. (With SEBI or Any)   |   |  |  |  |  |  |  |
| 5. Date of Commencement of Business:     | Nature of Business :  |  |  |  |  |  |  |



**MANDATORY**

|   |  |  |   |  |               |  |  |  |  |
|---|--|--|---|--|---------------|--|--|--|--|
| 6. A. Names of Promoters / Partners/ Karta and residential address  |  |  |   |  |               |  |  |  |  |
| 1.  |  |  |   |  |               |  |  |  |  |
| 2.  |  |  |   |  |               |  |  |  |  |
| 3.  |  |  |   |  |               |  |  |  |  |
| 4.  |  |  |   |  |               |  |  |  |  |
| 5.  |  |  |   |  |               |  |  |  |  |
| B. Names of whole time directors and residential address  |  |  |   |  |               |  |  |  |  |
| 1.  |  |  |   |  |               |  |  |  |  |
| 2.  |  |  |   |  |               |  |  |  |  |
| 3.  |  |  |   |  |               |  |  |  |  |
| 4.  |  |  |   |  |               |  |  |  |  |
| 5.  |  |  |   |  |               |  |  |  |  |
| C. Names and Designation of persons authorized to deal in securities on behalf of the Company/ firm/ others and their residential address |  |  |   |  |               |  |  |  |  |
| 1.  |  |  |   |  |               |  |  |  |  |
| 2.  |  |  |   |  |               |  |  |  |  |
| 3.  |  |  |   |  |               |  |  |  |  |
| 4.  |  |  |   |  |               |  |  |  |  |
| 5.  |  |  |   |  |               |  |  |  |  |
| 7. Net worth as on (DD/MM/YY) :   |  |  |   |  |               |  |  |  |  |
| 8. Permanent Account Number (PAN) :   |  |  |   |  |               |  |  |  |  |
| 9. Details of Bank Accounts   |  |  |   |  |               |  |  |  |  |
| Name & Address of Bank :  |  |  |   |  |               |  |  |  |  |
| A/c No of the Bank & A/c Type :   |  |  |   |  |               |  |  |  |  |
| 10. Financial Details of the Client : Income Range (Per Annum) (Tick Where applicable)  |  |  |   |  |               |  |  |  |  |
| <input type="checkbox"/> Below Rs. 1,00,000   |  |  | <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 |  |               | <input type="checkbox"/> Rs. 5,00,000 to 10,00,000 |  |  |  |
| <input type="checkbox"/> Rs. 10,00,000 to 25,00,000   |  |  | <input type="checkbox"/> Above Rs. 25,00,000          |  |               |  |  |  |  |
| 11. Annual Income in last 3 years   |  |  |   |  |               |  |  |  |  |
| Ist Year _____  |  |  | IInd Year _____                                       |  |               | IIIrd Year _____                                   |  |  |  |
| 12. Investment / Trading Experience   |  |  |   |  |               |  |  |  |  |
| <input type="checkbox"/> No Prior Experience  |  |  | _____ Years in Derivatives                            |  |               |  |  |  |  |
| _____ Years in Stock  |  |  | _____ Years in Other investment related fields        |  |               |  |  |  |  |
| 13. Details of any action taken by SEBI / Stock Exchange/ any other authority :   |  |  |   |  |               |  |  |  |  |
| 14. Depository Accounts Details :   |  |  |   |  |               |  |  |  |  |
| Depository : NSDL / CDSL  |  |  |   |  | Name of DP :  |  |  |  |  |
| DP ID :   |  |  |   |  | Client ID :   |  |  |  |  |
| 15. Details of Registration with other Exchanges :  |  |  |   |  |               |  |  |  |  |
| Name of Exchange :  |  |  |   |  | Client Code : |  |  |  |  |
| Name of Broker :  |  |  |   |  | Broker Code : |  |  |  |  |



16. Introduced by another client/director or employee of trading member/ any other person (Please Specify)

Name of the Introducer : \_\_\_\_\_  
(Surname) (Name) (Middle Name) Signature

PAN : \_\_\_\_\_ Address : \_\_\_\_\_

---

**PLEASE SIGN THIS DECLARATION**

I/We hereby declare that all the information and particulars given by me/us in this application are true to the best of my/our knowledge and belief. I/We agree to immediately inform you in writing if there is any change in the information given by me/us in this application. I/We also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted there from, I am/We are liable to be debarred from doing business both in the Cash/F&O/Currency Derivatives Segment of the Exchanges. I/We hereby declare that no action has been taken by SEBI/Stock Exchanges/any other authority for violation of securities laws/other economic offences.

**For SS Corporate Securities Ltd.**

**Director**



\_\_\_\_\_  
**(Signature with rubber stamp)**

Place :

Date :

**MANDATORY****DECLARATION BY HUF**

To,

**SS CORPORATE SECURITIES LIMITED**NDM 2, Block D, 3rd Floor, Netaji Subhash Place,  
Pitam Pura, Delhi-110034

Tele. : 91 11 4700 3600 (30 Lines), Fax : 91 11 47003601

As our HUF wishes to open an Trading Account with your Company in the said name\_\_\_\_\_

This is to inform you that the first signatory to this letter Mr. \_\_\_\_\_  
is the Karta of the joint family and other signatories are the co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories here to in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the Company from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act 1952, we have not got our said firm registered under the said act.

We hereby undertake to inform the Company of the death or birth of a co-parcener or change occurring at any time in the membership of our joint during the currency of the account.

**Names & Signatures of Adult Co-parceners (Use Annexure for additional members)**

| Name | Signature                           |
|------|-------------------------------------|
| 1.   | <input checked="" type="checkbox"/> |
| 2.   | <input checked="" type="checkbox"/> |
| 3.   | <input checked="" type="checkbox"/> |
| 4.   | <input checked="" type="checkbox"/> |

**Names & Date of Birth of Minor Co-parceners**

| Name | Date of Birth |
|------|---------------|
| 1.   |               |
| 2.   |               |
| 3.   |               |
| 4.   |               |

Your sincerely



(Signature)

Name of Karta\_\_\_\_\_

**ANNEXURE A DETAILS OF PROMOTERS/PARTNERS/KEY MANAGERIAL PERSONNEL**

|  |  |  |                     |  |          |                      |  |  |  |  |
|--|--|--|---------------------|--|----------|----------------------|--|--|--|--|
| Full Name  |  |  |                     |  |          |                      |  |  |  | Photograph<br><br>Sign across the<br>Photograph<br><input checked="" type="checkbox"/> |
| Designation  |  |  |                     |  |          |                      |  |  |  |  |
| Residence Details  |  |  |                     |  |          |                      |  |  |  |  |
| Address  |  |  |                     |  |          |                      |  |  |  |  |
| City   |  |  |                     |  |          |                      |  |  |  |  |
| State  |  |  |                     |  |          |                      |  |  |  |  |
| Pin Code   |  |  |                     |  |          |                      |  |  |  |  |
| Telephone No.  |  |  |                     |  |          |                      |  |  |  |  |
| Fax No.  |  |  |                     |  |          |                      |  |  |  |  |
| E-Mail Address   |  |  |                     |  |          |                      |  |  |  |  |
| Qualification  |  |  |                     |  |          |                      |  |  |  |  |
| Experience   |  |  |                     |  |          |                      |  |  |  |  |
| Equity Stake   |  |  |                     |  |          |                      |  |  |  |  |
| Income Tax No. (PAN/GIR)                                       |  |  |                     |  |          |                      |  |  |  |  |
| DIN No.  |  |  |                     |  |          |                      |  |  |  |  |
| Residential Status Resident Indian/ Non-Resident Indian/Others |  |  |                     |  |          |                      |  |  |  |  |
| Bank Account Details   |  |  |                     |  |          |                      |  |  |  |  |
| Name of Bank   |  |  |                     |  |          |                      |  |  |  |  |
| Branch with Address  |  |  |                     |  |          |                      |  |  |  |  |
| Telephone No.  |  |  |                     |  |          |                      |  |  |  |  |
| Account Type   |  |  |                     |  |          |                      |  |  |  |  |
| Account Number   |  |  |                     |  | MICR No. |                      |  |  |  |  |
| Date of Opening Account  |  |  |                     |  |          |                      |  |  |  |  |
| Passport No.   |  |  | Driving License No. |  |          | Voters Identity Card |  |  |  |  |
| Place of Issue   |  |  |                     |  |          |                      |  |  |  |  |
| Expiry Date  |  |  |                     |  |          |                      |  |  |  |  |
|  |  |  |                     |  |          |                      |  |  |  |  |
|  |  |  |                     |  |          |                      |  |  |  |  |

Place

Signature 

Date

Name

**MANDATORY****ANNEXURE A DETAILS OF PROMOTERS/PARTNERS/KEY MANAGERIAL PERSONNEL**

|  |  |  |                     |  |          |                      |  |  |  |  |
|--|--|--|---------------------|--|----------|----------------------|--|--|--|--|
| Full Name  |  |  |                     |  |          |                      |  |  |  | Photograph<br><br><br><br>Sign across the<br>Photograph<br><input checked="" type="checkbox"/> |
| Designation  |  |  |                     |  |          |                      |  |  |  |  |
| Residence Details  |  |  |                     |  |          |                      |  |  |  |  |
| Address  |  |  |                     |  |          |                      |  |  |  |  |
| City   |  |  |                     |  |          |                      |  |  |  |  |
| State  |  |  |                     |  |          |                      |  |  |  |  |
| Pin Code   |  |  |                     |  |          |                      |  |  |  |  |
| Telephone No.  |  |  |                     |  |          |                      |  |  |  |  |
| Fax No.  |  |  |                     |  |          |                      |  |  |  |  |
| E-Mail Address   |  |  |                     |  |          |                      |  |  |  |  |
| Qualification  |  |  |                     |  |          |                      |  |  |  |  |
| Experience   |  |  |                     |  |          |                      |  |  |  |  |
| Equity Stake   |  |  |                     |  |          |                      |  |  |  |  |
| Income Tax No. (PAN/GIR)                                       |  |  |                     |  |          |                      |  |  |  |  |
| DIN No.  |  |  |                     |  |          |                      |  |  |  |  |
| Residential Status Resident Indian/ Non-Resident Indian/Others |  |  |                     |  |          |                      |  |  |  |  |
| Bank Account Details   |  |  |                     |  |          |                      |  |  |  |  |
| Name of Bank   |  |  |                     |  |          |                      |  |  |  |  |
| Branch with Address  |  |  |                     |  |          |                      |  |  |  |  |
| Telephone No.  |  |  |                     |  |          |                      |  |  |  |  |
| Account Type   |  |  |                     |  |          |                      |  |  |  |  |
| Account Number   |  |  |                     |  | MICR No. |                      |  |  |  |  |
| Date of Opening Account  |  |  |                     |  |          |                      |  |  |  |  |
| Passport No.   |  |  | Driving License No. |  |          | Voters Identity Card |  |  |  |  |
| Place of Issue   |  |  |                     |  |          |                      |  |  |  |  |
| Expiry Date  |  |  |                     |  |          |                      |  |  |  |  |
|  |  |  |                     |  |          |                      |  |  |  |  |
|  |  |  |                     |  |          |                      |  |  |  |  |

Place

Signature 

Date

Name

**AGREEMENT BETWEEN TRADING MEMBER AND CLIENT**

This agreement is made and executed at ..... this ..... day of ....., 20\_\_\_ between: M/s **SS Corporate Securities Limited** a body corporate, having incorporated under the Companies Act, 1956, being a member of the **National Stock Exchange of India Ltd.** "hereinafter referred to as 'NSE'" (hereinafter called "the exchange") and having its registered office at NDM 2, Block D, 3rd Floor, Netaji Subhash Place, Pitam Pura, Delhi-110034 (hereinafter called "the Stock Broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

**And**

Mr./Ms/M/s....., an individual/a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/registered office at .....

..... (hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/ the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the Stock Broker is registered as the Stock Broker of the Exchange with **SEBI Regd No. INB230753830 in the Capital market/Cash Segment, SEBI Regd No. INF230753830 in the F&O Segment and SEBI Regd No. INE230753830 in the Currency Derivatives Segment.**

Whereas the client is desirous of investing/trading in those securities/contracts/other instruments admitted to dealings on the Exchange as defined in the Rules, **For SS Corporate Securities Ltd.**

Byelaws and Regulations of the Exchange and circulars issued there under from time to time.

Whereas the client has satisfied itself of the capacity of the Stock Broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the Stock Broker and the client shall from time to time continue to satisfy itself of such capability of the Stock Broker before executing orders through the Stock Broker.

Whereas the Stock Broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and

Whereas the Stock Broker has taken steps and shall take steps to make the client aware of the precise nature of the Stock Broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the trading member acts.

WHEREAS the Stock Broker and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The client agrees to immediately notify the Stock Broker in writing if there is any change in the information in the 'client registration form' provided by the client to the Stock Broker at the time of opening of the account or at any time thereafter.
2. The Stock Broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
  - a. He has read and understood the risks involved in trading on a stock exchange.
  - b. He shall be wholly responsible for all his decisions and trades.
  - c. The failure of the client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and



consequences for entering into trades in the segments in which the client chose to trade.

- d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Stock Broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The Stock Broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
- e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

3. The Client agrees to pay to the Stock Broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Stock Broker renders to the Client.

4. The Stock Broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and byelaws of the relevant stock exchange/SEBI.

5. The client agrees to abide by the exposure limits, if any, set by the Stock Broker or by the Exchange or Clearing Corporation or SEBI from time to time.

6. Without prejudice to the Stock Broker's other rights (including the right to refer a matter to arbitration), the Stock Broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins 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.

7. The Stock Broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the Stock Broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Bye-laws and circulars.

8. The client agrees to immediately furnish information

to the Stock Broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

9. The Stock Broker agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange.

10. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, Stock Broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.

11. The stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.

12. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.

13. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom it may have had transactions in securities.

14. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.

15. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.

16. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity/partnership /proprietary firm or any other artificial legal entity,

**For SS Corporate Securities Ltd.**

then the name(s) of director(s)/promoter(s)/ Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).

17. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.

18. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.

19. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.

20. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.

21. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.

22. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.

23. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

24. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.

25. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same

meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.

26. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.

27. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person/ authority except as required under any law/regulatory requirements; Provided however that the stock broker may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

**For SS Corporate Securities Ltd**

**Client's Signature**

**Director**

Name

Name

Title

Title

Witness:

Witness:

1.

1.

2.

2.

Note: All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

**AGREEMENT BETWEEN TRADING MEMBER AND CLIENT**

This agreement is made and executed at ..... this ..... day of ....., 20\_\_\_ between: M/s **SS Corporate Securities Limited** a body corporate, having incorporated under the Companies Act, 1956, being a member of the **Bombay Stock Exchange Ltd.** "hereinafter referred to as 'BSE'" (hereinafter called "the exchange") and having its registered office at NDM 2, Block D, 3rd Floor, Netaji Subhash Place, Pitam Pura, Delhi-110034 (hereinafter called "the Stock Broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

**And**

Mr./Ms/M/s....., an individual/a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/registered office at .....

..... (hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/ the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the Stock Broker is registered as the Stock Broker of the Exchange with **SEBI registration number (BSE) INB010753839 in the Capital market Segment and SEBI Regd No. INF010753839 in the F&O Segment.**

Whereas the client is desirous of investing/trading in those securities/contracts/other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time.

Whereas the client has satisfied itself of the capacity of the Stock Broker to deal in securities and/or deal in

**For SS Corporate Securities Ltd.**

derivatives contracts and wishes to execute its orders through the Stock Broker and the client shall from time to time continue to satisfy itself of such capability of the Stock Broker before executing orders through the Stock Broker.

Whereas the Stock Broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and

Whereas the Stock Broker has taken steps and shall take steps to make the client aware of the precise nature of the Stock Broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the trading member acts.

WHEREAS the Stock Broker and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The client agrees to immediately notify the Stock Broker in writing if there is any change in the information in the 'client registration form' provided by the client to the Stock Broker at the time of opening of the account or at any time thereafter.
2. The Stock Broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
  - a. He has read and understood the risks involved in trading on a stock exchange.
  - b. He shall be wholly responsible for all his decisions and trades.
  - c. The failure of the client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
  - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Stock Broker or the Exchange or as may be directed by SEBI from time



to time as applicable to the segment(s) in which the client trades. The Stock Broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

3. The Client agrees to pay to the Stock Broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Stock Broker renders to the Client.

4. The Stock Broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and byelaws of the relevant stock exchange/SEBI.

5. The client agrees to abide by the exposure limits, if any, set by the Stock Broker or by the Exchange or Clearing Corporation or SEBI from time to time.

6. Without prejudice to the Stock Broker's other rights (including the right to refer a matter to arbitration), the Stock Broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins 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.

7. The Stock Broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the Stock Broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/guidelines/Exchanges Rules/Regulations/Bye-laws and circulars.

8. The client agrees to immediately furnish information to the Stock Broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

9. The Stock Broker agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of

the client to comply with such schedules/procedures of the relevant stock exchange.

10. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, Stock Broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result therefrom.

11. The stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.

12. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.

13. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom it may have had transactions in securities.

14. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.

15. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.

16. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity/partnership /proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).

17. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.

18. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI

**For SS Corporate Securities Ltd.**

(Ombudsman) Regulations, 2003.

19. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.

20. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.

21. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.

22. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.

23. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

24. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.

25. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.

26. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.

27. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person/ authority except as required under any law/regulatory requirements; Provided however that the stock broker may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and/or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

**For SS Corporate Securities Ltd**



**Client's Signature**

**Director**

Name

Name

Title

Title

Witness:

Witness:

1.

1.

2.

2.

Note: All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

**AGREEMENT BETWEEN TRADING MEMBER AND CLIENT**

This agreement is made and executed at .....this .....day of.....20..... between:

M/s SS Corporate Securities Ltd., a body corporate, incorporated under the provisions of Companies Act, 1956, being a member of the **MCX Stock Exchange Ltd.** (hereinafter called "the Exchange"), and having its registered office at NDM-2, IIIrd Floor, Block-D, Netaji Subhash Place, Pitampura, Delhi - 110034 (hereinafter called "the trading member") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the Currency Derivatives Segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

**And**

Mr./Ms/M/s....., an individual/a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/registered office at.....

..... (hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the trading member is registered as the trading member of the Exchange with SEBI registration number INE 260753839 in the Currency Derivatives Segment.

- A. Whereas the client is desirous of investing/trading in those securities/contracts/other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time.
- B. Whereas the client has satisfied itself of the capacity of the trading member to deal in securities and/or deal in equity/currency derivatives contracts and wishes to execute its orders through the trading

member and the client shall from time to time continue to satisfy itself of such capability of the trading member before executing orders through the trading member.

- C. Whereas the trading member has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment/trading objectives relevant to the services to be provided; and
- D. Whereas the trading member has taken steps and shall take steps to make the client aware of the precise nature of the trading member's liability for business to be conducted, including any limitations, the liability and the capacity in which the trading member acts.
- E. Whereas the trading member and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

- 1. The client agrees to immediately notify the trading member in writing if there is any change in the information in the 'client registration form' provided by the client to the trading member at the time of opening of the account or at any time thereafter.
- 2. The trading member declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
  - a. He has read and understood the risks involved in trading on the Exchange.
  - b. He shall be wholly responsible for all his decisions and trades.
  - c. The failure of the client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segment
  - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the trading member or the Exchange or as may be directed by SEBI from time to time as

**For SS Corporate Securities Ltd.**



- applicable to the segment. The trading member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
- e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
  3. The Client agrees to pay to the trading member brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that trading member renders to the Client.
  4. The trading member agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the Exchange/SEBI.
  5. The client agrees to abide by the exposure limits, if any, set by the trading member or by the Exchange or Clearing House/Clearing Corporation or SEBI from time to time.
  6. Without prejudice to the trading member's other rights (including the right to refer a matter to arbitration), the trading member shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins 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.
  7. The trading member agrees that the money/ securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the trading member for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/guidelines/the Exchange's Rules/Regulations/Byelaws and circulars.
  8. The client agrees to immediately furnish information to the trading member in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
  9. The trading member agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the Exchange.
  10. In the event of death or insolvency of the client or his /its otherwise becoming incapable of receiving and paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities, the trading member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result therefrom.
  11. The client and the trading member agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
  12. The trading member hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
  13. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the Exchange(s). In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/promoter(s)/Partner(s)/ proprietor as the case may be, shall also be communicated to the Exchange(s).
  14. The trading member and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
  15. The trading member and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
  16. The trading member and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the

**For SS Corporate Securities Ltd.**



Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.

17. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
18. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
19. This agreement shall forthwith terminate; if the trading member for any reason ceases to be a member of the Exchange including cessation of membership by reason of the trading member's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
20. The trading member and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in / be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
21. In addition to the specific rights set out in this Agreement, the trading member and the client shall be entitled to exercise any other rights which the trading member or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.
22. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under.
23. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the Exchange that may be in force from time to time.

24. The trading member hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person / authority except as required under any law / regulatory requirements; Provided however that the trading member may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement.

Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

**For SS Corporate Securities Ltd**



**Client's Signature**

**Director**

Name

Name

Title

Title

Witness:

Witness:

1.

1.

2.

2.

Note: All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

**AGREEMENT BETWEEN TRADING MEMBER AND CLIENT**

This agreement is made and executed at ..... this ..... day of ..... 20..... .

Between:

M/s. SS Corporate Securities Ltd, a body corporate, incorporated under the provisions of the Companies Act, 1956, being a member of the **United Stock Exchange of India Limited** (hereinafter called "**USEIL**"), and having its registered office at NDM-2, IIIrd Floor, Block-D, Netaji Subhash Place, Pitampura, Delhi 110034 (hereinafter called "the trading member") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the Currency Derivatives Segment and/or Interest Rate Derivatives, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

**And**

Mr./Ms/M/s....., an individual/ a sole proprietary concern/a partnership firm/a body corporate, registered/ incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/registered office at.....

(hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the trading member is registered as the trading member of the Exchange with **SEBI registration number INE271381936 in the Currency Derivatives Segment; SEBI registration number INE271381936 in the Interest Rate Derivatives Segment.**

- A. Whereas the client is desirous of investing/ trading in those securities / contracts / other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time.
- B. Whereas the client has satisfied itself of the capacity of the trading member to deal in

securities and / or deal in equity / currency derivatives contracts and wishes to execute its orders through the trading member and the client shall from time to time continue to satisfy itself of such capability of the trading member before executing orders through the trading member.

- C. Whereas the trading member has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment / trading objectives relevant to the services to be provided; and
- D. Whereas the trading member has taken steps and shall take steps to make the client aware of the precise nature of the trading member's liability for business to be conducted, including any limitations, the liability and the capacity in which the trading member acts.
- E. Whereas the trading member and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

**Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:**

- 1. The client agrees to immediately notify the trading member in writing if there is any change in the information in the 'client registration form' provided by the client to the trading member at the time of opening of the account or at any time thereafter.
- 2. The trading member declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
  - a. He has read and understood the risks involved in trading on a stock exchange.
  - b. He shall be wholly responsible for all his decisions and trades.
  - c. The failure of the client to understand the risks involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segment
  - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the trading member or the Exchange or as

**For SS Corporate Securities Ltd.**



- may be directed by SEBI from time to time as applicable to the segment. The trading member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
- e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate / require.
3. The Client agrees to pay to the trading member brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that trading member renders to the Client.
  4. The trading member agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye - laws of the relevant stock exchange / SEBI.
  5. The client agrees to abide by the exposure limits, if any, set by the trading member or by the Exchange or Clearing House/Clearing Corporation or SEBI from time to time.
  6. Without prejudice to the trading member's other rights (including the right to refer a matter to arbitration), the trading member shall be entitled to liquidate / close out all or any of the client's positions for non-payment of margins 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.
  7. The trading member agrees that the money/ securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the trading member for himself/ itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/guidelines/Exchange's Rules/Regulations/Byelaws and circulars.
  8. The client agrees to immediately furnish information to the trading member in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
  9. The trading member agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the stock exchange.
  10. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities, the trading member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.
  11. The client and the trading member agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued there under as may be in force from time to time.
  12. The trading member hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
  13. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity / partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).
  14. The trading member and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
  15. The trading member and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
  16. The trading member and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may

**For SS Corporate Securities Ltd.**



- be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued there under.
17. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
  18. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
  19. This agreement shall forthwith terminate; if the trading member for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the trading member's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.
  20. The trading member and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
  21. In addition to the specific rights set out in this Agreement, the trading member and the client shall be entitled to exercise any other rights which the trading member or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.
  22. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under.
  23. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.

24. The trading member hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person / authority except as required under any law / regulatory requirements; Provided however that the trading member may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and/or modified by the parties mutually in writing without derogating from the contents of this Agreement.

Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

**For SS Corporate Securities Ltd**



**Client's Signature**

**Director**

Name

Name

Title

Title

Witness:

Witness:

1.

1.

2.

2.

Note: All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

**TRIPARTITE AGREEMENT BETWEEN STOCK BROKER,  
SUBBROKER AND CLIENT**

This Agreement (hereinafter referred to as "Agreement") is entered into on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_, by and between **SS Corporate Securities Limited** (hereinafter referred to as "the stock broker"), a Company and having his/its office/registered office **NDM-2 Illrd Floor, Block-D, Netaji Subhash Place, Pitampura, Delhi-110034** which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

**AND**

\_\_\_\_\_ (hereinafter referred to as "the sub broker"), a \_\_\_\_\_ (Type of entity) and having his/its office/registered office at \_\_\_\_\_

\_\_\_\_\_ which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Second Part;

**AND**

\_\_\_\_\_ (Name of the client of the sub-broker) (hereinafter referred to as "the client"), an individual/a \_\_\_\_\_ (Type of entity) and having his /its residence/office/ at \_\_\_\_\_ which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Third Part;

**WHEREAS**

1. The stockbroker states that it is engaged, in the business of stock broking and is a Member of **National Stock Exchange of India Ltd.**, (hereinafter referred to as "the stock exchange") with SEBI Registration Number(s) INB230753830 in the Capital Market Segment.
2. The sub-broker states that:
  - a) **The sub-broker is recognized by The National Stock Exchange as a sub-broker affiliated to the stockbroker of the stock exchange with**

**sub-broker SEBI registration Number \_\_\_\_\_ in  
Capital market/ Cash Segment.**

- b) The sub-broker is not affiliated to any other member of the same stock exchange,
  - c) The sub-broker has the necessary infrastructure like adequate office space, equipment and manpower to effectively discharge his/its activities.
3. The Client is registered with the sub-broker as a client for purpose of availing broking services through the sub-broker affiliated to the stock broker and is desirous of investing/trading in those securities/ contracts/other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time. A copy of the Client Registration form is annexed hereto.
  4. Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and
  5. Whereas the stock broker has taken steps and shall take steps to make the client aware of the precise nature of the Stock broker's/sub broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker/sub broker acts.

**NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN STOCK BROKER, SUB-BROKER AND CLIENT AS UNDER:**

1. The stockbroker and sub broker hereby acknowledge and confirm that the sub-broker is affiliated to the stockbroker and that the sub-broker shall within the scope of the authority given under these presents, be entitled to act as a 'sub-broker' within the meaning and subject to SEBI (Stock Brokers and Sub- Brokers) Rules, 1992 and SEBI (Stock Brokers and Sub-Brokers) Regulations 1992 (hereinafter referred to as the said "Rules" and "Regulations" respectively) as amended from time to time, for assisting the client in buying, selling or dealing in securities through the stock broker.
2. The stock broker, the sub-broker and the client agree that they shall abide by all the statutory responsibilities and obligations imposed on them by the rules, regulations and /or any other rules or regulations applicable to the stockbrokers, the

**For SS Corporate Securities Ltd.**

**Sub Broker \_\_\_\_\_  
(Stamp)**

**Name of Client \_\_\_\_\_**

**Director**

**Signature \_\_\_\_\_**

**Signature  \_\_\_\_\_**

sub-brokers and the clients in general either framed by SEBI or by the relevant stock exchange/clearing corporation and/or any Government Circulars.

3. The stock broker and the sub broker declare that they have brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
  - a. He has read and understood the risks involved in trading on a stock exchange.
  - b. He shall be wholly responsible for all his investment decisions and trades.
  - c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
  - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stockbroker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stockbroker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
  - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
4. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker \ the sub-broker renders to the Client. The stockbroker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and byelaws of the relevant stock exchange/SEBI.
5. The stock broker and the sub broker agree that they shall co-operate and help each other in

redressing grievances of the client in respect of transactions routed through them and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the clients of subbroker from the member and vice-versa.

6. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
7. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circular/guidelines/Exchanges Rules/Regulations/Bye-laws and circulars.
8. The stock broker and the sub-broker agree that each of them shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through them and they shall not jointly or severally do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
9. The stock broker agrees to inform the sub-broker/client and keep them apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the sub-broker/client to comply with such schedules/procedures of the relevant stock exchange.
10. The sub broker will provide assistance to stock broker and client to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
11. The stock broker shall issue, individually for each client of his sub broker, contract notes in the format prescribed by the relevant stock exchange. The sub-broker shall render necessary assistance to his client in obtaining the contract note from the stockbroker.

**For SS Corporate Securities Ltd.**

**Sub Broker** \_\_\_\_\_  
(Stamp)

**Name of Client** \_\_\_\_\_

**Director**

**Signature** \_\_\_\_\_

**Signature**  \_\_\_\_\_

12. The stock broker, the sub-broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
14. The stock broker and the sub-broker hereby agree that they will assist and cooperate with each other in ensuring faster settlement of any arbitration proceedings arising out of the transactions entered into between them vis-à-vis the client and they shall be jointly or severally liable to implement the arbitration awards made in such proceedings. In case of an award against a sub broker, if the sub broker fails to implement the award, the stockbroker shall be liable to implement the same and would be entitled to recover the same from the sub broker.
15. The stock broker and the sub-broker hereby agree that all transactions in securities on behalf of the clients of the sub-broker shall be settled by delivery and/or payment, between the stock broker and the client in accordance with the provisions of rules, bye-laws and regulations of the relevant stock exchange on which the transactions took place and subject to the procedures for settlement of transactions laid down by the relevant stock exchange from time to time.
16. Information about default in payment/delivery and related aspects by a client, including that of a sub broker as a client shall be brought to the notice of the relevant stock Exchange(s) by the stock broker. In case where defaulting sub broker/client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s) by the stock broker.
17. The stock broker, the sub-broker or the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties at their respective addresses mentioned below. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his/ its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
18. In the event of sub broker terminating this agreement and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate the agreement by giving a notice in writing of not less than one month.
19. This agreement shall forthwith terminate;
  - (i) If the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled; stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled;
  - (ii) upon the demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or /withdrawal of recognition of the sub-broker by the stock exchange. Provided however, in such an event, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimate to the stock broker or the stock broker intimates to the client his/its intention to terminate the agreement by giving one month notice in writing.
20. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Byelaws of the relevant stock exchange that may be in force from time to time.
21. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring

**For SS Corporate Securities Ltd.****Sub Broker** \_\_\_\_\_  
**(Stamp)****Name of Client** \_\_\_\_\_**Director****Signature** \_\_\_\_\_**Signature**  \_\_\_\_\_

securities which the client has ordered to be bought or sold, stockbroker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus, which may result therefrom.

22. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins 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.
23. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
24. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, member shall be entitled to cancel the respective contract(s) with client(s) of the client shall ipso facto stand cancelled, member shall be entitled to cancel the respective contract(s) with client(s)
25. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
26. The client agrees to immediately notify the stock broker/sub broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker/sub broker at the time of opening of the account or at any time thereafter.
27. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or

Clearing Corporation or SEBI from time to time.

28. In addition to the specific rights set out in this Agreement, the stock broker, the sub-broker and the client shall be entitled to exercise any other rights which the stock broker, sub broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
29. The stock broker and the sub-broker hereby undertake to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements: Provided however that the stock broker or subbroker may so disclose information about his client to any person or authority with the express permission of the client.
30. The client agrees to immediately furnish information to the stock broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
31. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS WHEREOF, the parties hereto have set their hands and signatures on the day, month and year first above written Signed for and on behalf of the member, the sub-broker and the client

**SS Corporate Securities Ltd**

**Member: National Stock Exchange of India Ltd.**

**NDM-2 IIIrd Floor, Block-D, Netaji Subhash Place, Pitampura, Delhi-110034**

**For SS Corporate Securities Ltd.**

**Sub Broker** \_\_\_\_\_  
**(Stamp)**

**Name of Client** \_\_\_\_\_

**Director**

**Signature** \_\_\_\_\_

**Signature**  \_\_\_\_\_

**TRIPARTITE AGREEMENT BETWEEN STOCK BROKER,  
SUBBROKER AND CLIENT**

This Agreement (hereinafter referred to as "Agreement") is entered into on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_, by and between **SS Corporate Securities Limited** (hereinafter referred to as "the stock broker"), a Company and having his/its office/registered office **NDM-2 IIIrd Floor, Block-D, Netaji Subhash Place, Pitampura, Delhi-110034** which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

**AND**

\_\_\_\_\_ (hereinafter referred to as "the sub broker"), a \_\_\_\_\_ (Type of entity) and having his/its office/registered office at \_\_\_\_\_ which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Second Part;

**AND**

\_\_\_\_\_ (Name of the client of the sub-broker) (hereinafter referred to as "the client"), an individual/a \_\_\_\_\_ (Type of entity) and having his /its residence/office/ at \_\_\_\_\_ which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said entity, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Third Part;

**WHEREAS**

1. The stockbroker states that it is engaged, in the business of stock broking and is a Member of **Bombay Stock Exchange Ltd.**, (hereinafter referred to as "the stock exchange") with SEBI registration Number(s) INB010753839 in the Capital Market

Segment.

2. The sub-broker states that:
  - a) **The sub-broker is recognized by The Bombay Stock Exchange as a sub-broker affiliated to the stockbroker of the stock exchange with sub-broker SEBI registration Number \_\_\_\_\_ in Capital market/ Cash Segment.**
  - b) The sub-broker is not affiliated to any other member of the same stock exchange,
  - c) The sub-broker has the necessary infrastructure like adequate office space, equipment and manpower to effectively discharge his/its activities.
3. The Client is registered with the sub-broker as a client for purpose of availing broking services through the sub-broker affiliated to the stock broker and is desirous of investing/trading in those securities/ contracts/other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued there under from time to time. A copy of the Client Registration form is annexed hereto.
4. Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and
5. Whereas the stock broker has taken steps and shall take steps to make the client aware of the precise nature of the Stock broker's/sub broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker/sub broker acts.

**NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN STOCK BROKER, SUB-BROKER AND CLIENT AS UNDER:**

1. The stockbroker and sub broker hereby acknowledge and confirm that the sub-broker is affiliated to the stockbroker and that the sub-broker shall within the scope of the authority given under these presents, be entitled to act as a 'sub-broker' within the meaning and subject to SEBI (Stock Brokers and Sub- Brokers) Rules, 1992 and SEBI (Stock Brokers and Sub-Brokers) Regulations 1992 (hereinafter referred to as the said "Rules" and "Regulations" respectively) as amended from time to time, for assisting the client in buying, selling or dealing in securities through the stock

**For SS Corporate Securities Ltd.****Sub Broker** \_\_\_\_\_  
**(Stamp)****Name of Client** \_\_\_\_\_**Director****Signature** \_\_\_\_\_**Signature**  \_\_\_\_\_

broker.

2. The stock broker, the sub-broker and the client agree that they shall abide by all the statutory responsibilities and obligations imposed on them by the rules, regulations and / or any other rules or regulations applicable to the stockbrokers, the sub-brokers and the clients in general either framed by SEBI or by the relevant stock exchange/clearing corporation and/or any Government Circulars.
3. The stock broker and the sub broker declare that they have brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
  - a. He has read and understood the risks involved in trading on a stock exchange.
  - b. He shall be wholly responsible for all his investment decisions and trades.
  - c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
  - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stockbroker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stockbroker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
  - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
4. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker \ the sub-broker renders to the Client. The stockbroker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and byelaws of the relevant stock exchange/SEBI.
5. The stock broker and the sub broker agree that they shall co-operate and help each other in redressing grievances of the client in respect of transactions routed through them and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the clients of subbroker from the member and vice-versa.
6. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
7. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circular/guidelines/Exchanges Rules/Regulations/Bye-laws and circulars.
8. The stock broker and the sub-broker agree that each of them shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through them and they shall not jointly or severally do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
9. The stock broker agrees to inform the sub-broker/client and keep them apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the sub-broker/client to comply with such schedules/procedures of the relevant stock exchange.
10. The sub broker will provide assistance to stock broker and client to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
11. The stock broker shall issue, individually for each

**For SS Corporate Securities Ltd.**

**Sub Broker** \_\_\_\_\_  
(Stamp)

**Name of Client** \_\_\_\_\_

**Director**

**Signature** \_\_\_\_\_

**Signature**  \_\_\_\_\_

client of his sub broker, contract notes in the format prescribed by the relevant stock exchange. The sub-broker shall render necessary assistance to his client in obtaining the contract note from the stockbroker.

12. The stock broker, the sub-broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
14. The stock broker and the sub-broker hereby agree that they will assist and cooperate with each other in ensuring faster settlement of any arbitration proceedings arising out of the transactions entered into between them vis-à-vis the client and they shall be jointly or severally liable to implement the arbitration awards made in such proceedings. In case of an award against a sub broker, if the sub broker fails to implement the award, the stockbroker shall be liable to implement the same and would be entitled to recover the same from the sub broker.
15. The stock broker and the sub-broker hereby agree that all transactions in securities on behalf of the clients of the sub-broker shall be settled by delivery and/or payment, between the stock broker and the client in accordance with the provisions of rules, bye-laws and regulations of the relevant stock exchange on which the transactions took place and subject to the procedures for settlement of transactions laid down by the relevant stock exchange from time to time.
16. Information about default in payment/delivery and related aspects by a client, including that of a sub broker as a client shall be brought to the notice of the relevant stock Exchange(s) by the stock broker. In case where defaulting sub broker/client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s) by the stock broker.
17. The stock broker, the sub-broker or the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the

other parties at their respective addresses mentioned below. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his/ its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

18. In the event of sub broker terminating this agreement and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate the agreement by giving a notice in writing of not less than one month.
19. This agreement shall forthwith terminate;
  - (i) If the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled;
  - (ii) upon the demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or /withdrawal of recognition of the sub-broker by the stock exchange. Provided however, in such an event, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the agreement governing the client and stock broker shall continue to be in force as it is, unless the client intimate to the stock broker or the stock broker intimates to the client his/its intention to terminate the agreement by giving one month notice in writing.
20. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Byelaws of the relevant stock exchange that may be in force from time to time.
21. In the event of death or insolvency of the client or

**For SS Corporate Securities Ltd.**

**Sub Broker** \_\_\_\_\_  
**(Stamp)**

**Name of Client** \_\_\_\_\_

**Director**

**Signature** \_\_\_\_\_

**Signature**  \_\_\_\_\_

his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stockbroker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus, which may result therefrom.

22. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins 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.
23. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
24. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, member shall be entitled to cancel the respective contract(s) with client(s)
25. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
26. The client agrees to immediately notify the stock broker/sub broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker/sub broker at the time of opening of the account or at any time thereafter.
27. The client agrees to abide by the exposure limits, if

any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.

28. In addition to the specific rights set out in this Agreement, the stock broker, the sub-broker and the client shall be entitled to exercise any other rights which the stock broker, sub broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
29. The stock broker and the sub-broker hereby undertake to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements: Provided however that the stock broker or subbroker may so disclose information about his client to any person or authority with the express permission of the client.
30. The client agrees to immediately furnish information to the stock broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
31. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS WHEREOF, the parties hereto have set their hands and signatures on the day, month and year first above written Signed for and on behalf of the member, the sub-broker and the client.

**SS Corporate Securities Ltd**

**Member: National Stock Exchange of India Ltd.**

**NDM-2 IIIrd Floor, Block-D, Netaji Subhash Place, Pitampura, Delhi-110034**

**For SS Corporate Securities Ltd.**

**Sub Broker** \_\_\_\_\_  
(Stamp)

**Name of Client** \_\_\_\_\_

**Director**

**Signature** \_\_\_\_\_

**Signature**  \_\_\_\_\_

**COMBINED RISK DISCLOSURE DOCUMENT FOR  
CAPITAL MARKET/CASH SEGMENT, FUTURES  
& OPTIONS SEGMENT AND CURRENCY  
DERIVATIVES SEGMENT  
(TO BE GIVEN BY THE BROKER TO THE CLIENT)**

This document is issued by the member of the National Stock Exchange of India (hereinafter referred to as "NSE")/The Stock Exchange, Mumbai (hereinafter referred to as "BSE")/The MCX Stock Exchange Ltd (hereinafter referred to as "MCX-SX")/The United Stock Exchange of India (hereinafter referred to as "USEIL") which has been formulated by the Exchanges in coordination with the Securities and Exchange Board of India (hereinafter referred to as "SEBI") and contains important information on trading in Equities, F&O and Currency segments of NSE/BSE/MCX-SX/USEIL. All prospective constituents should read this document before trading on Capital Market/Cash Segment or F&O or Currency segment of the Exchanges. NSE/BSE/MCX-SX/USEIL/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor has NSE/BSE/MCX-SX/USEIL/SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading. In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk. You must know and appreciate that investment in Equity shares, Derivative, Currency, Interest rate or other instruments traded on the Stock Exchange(s), which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance.

You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on NSE/BSE/MCX-SX/USEIL and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE/BSE/MCX-SX/USEIL, its Clearing Corporation/Clearing House and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there

can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a security or derivative being traded on NSE/BSE/MCX-SX/USE. It must be clearly understood by you that your dealings on NSE/BSE/MCX-SX/USE through a member shall be subject to your fulfilling certain formalities set out by the member, which may inter alia include your filling the know your client form, client registration form, execution of an agreement, etc., and are subject to the Rules, Byelaws and Regulations of NSE/BSE/MCX-SX/USEIL and its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE/BSE/MCX-SX/USEIL or its Clearing Corporation/Clearing House and in force from time to time.

NSE/BSE/MCX-SX/USEIL does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any trading member and/or sub-broker of NSE/BSE/MCX-SX/USEIL and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same. In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

**1. BASIC RISKS INVOLVED IN TRADING ON THE STOCK EXCHANGE (EQUITY AND OTHER INSTRUMENTS)**

**1.1 Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that securities undergo when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security/contract, greater is its price swings. There may be normally greater volatility in thinly traded securities/contracts than in active securities/contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

**1.2 Risk of Lower Liquidity:**

Liquidity refers to the ability of market participants to buy and/or sell securities /contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is



## MANDATORY

important because with greater liquidity, it is easier for investors to buy and/or sell securities / contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities/contracts purchased or sold. There may be a risk of lower liquidity in some securities/contracts as compared to active securities/contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

**1.2.1** Buying/selling without intention of giving and/or taking delivery of a security, as part of a day trading strategy, may also result into losses, because in such a situation, stocks may have to be sold/purchased at a low/high prices, compared to the expected price levels, so as not to have any obligation to deliver/receive a security.

### **1.3 Risk of Wider Spreads:**

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities/contracts. This in turn will hamper better price formation.

### **1.4 Risk-reducing orders:**

Most Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc". The placing of such orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

**1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security.

**1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed "away" from the current price of a stock / contract, and such order gets activated if and when the stock / contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the stock reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a stock / contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

### **1.5 Risk of News Announcements:**

Issuers make news announcements that may impact the price of the securities / contracts. These announcements may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

### **1.6 Risk of Rumors:**

Rumors about companies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

### **1.7 System Risk:**

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

**1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

**1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason.

### **1.8 System/Network Congestion:**

Trading on NSE/BSE/MCX-SX/USEIL is in electronic mode, based on satellite/leased line based communications, combination of technologies and



computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Futures and Options segment is concerned, please note and get yourself acquainted with the following additional features:-

### 2.1 Effect of "Leverage" or "Gearing"

The amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives trading and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin equivalent to the principal investment amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involves daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index. If the index has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading next day.

B. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the broker/member may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of the derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

### 2.2 Currency specific risks

1. The Profit or loss in transactions in foreign currency-denominated contracts, whether they are traded is a need to your own or another jurisdiction, will be affected by fluctuations in currency rates whether is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer or that a customer will not incur losses from such events.

### 2.3 Risk of Option holders

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchange may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

### 2.4 Risks of Option Writers

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options



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markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

**3. GENERAL**

**3.1 Commission and other charges**

Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

**3.2 Deposited cash and property**

You should familiarise yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which has been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the member, the same shall be subject to arbitration as per the byelaws/regulations of the Exchange.

**3.3** For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.

**3.4** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of securities through the mechanism provided by NSE/BSE/MCX-SX/USEIL.

**3.5** The term 'member' shall mean and include a trading member, a broker or a stock broker, who has been admitted as such by NSE/BSE/MCX-SX/USEIL and who holds a registration certificate as a stock broker from SEBI.

**I hereby acknowledge that I have received and understood this risk disclosure statement and Annexure-1 containing my rights and obligations.**

Customer Signature (If Partner, Corporate, or other Signatory, then attest with company seal.)

**For SS Corporate Securities Ltd**

**Client's Signature**

**Director**

Name

Name

Title

Title

Witness:

Witness:

1.

1.

2.

2.

**ANNEXURE-1****INVESTORS' RIGHTS AND OBLIGATIONS:**

**1.1** You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the stock market or the broking firm's insolvency or bankruptcy.

**1.1.1** Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.

**1.1.2** Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE/BSE/MCX-SX/USEIL and the scheme of the Investors' Protection Fund in force from time to time.

**1.1.3** Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE/BSE/MCX-SX/USEIL or its Clearing Corporation/Clearing House.

**1.2** Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges, which will be levied on you for trading. These charges will affect your net cash inflow or outflow.

**1.3** You should exercise due diligence and comply with the following requirements of the NSE/BSE/MCX-SX/USEIL and/or SEBI:

**1.3.1** Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE/BSE/MCX-SX/USEIL and whether they are enabled to trade may be verified from NSE/BSE/MCX-SX/USEIL website ([www.nseindia.com](http://www.nseindia.com)/[www.bseindia.com](http://www.bseindia.com)/[www.mcx-sx.com](http://www.mcx-sx.com)/[www.useindia.com](http://www.useindia.com)).

**1.3.2** Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.

**1.3.3** Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving Licence or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by SEBI/NSE at any time, as is available with the investor.

**1.3.4** Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE or its Clearing Corporation/Clearing House from time to time, because this may be useful as a proof of your dealing arrangements with the member.

**1.3.5** Give any order for buy or sell of a security in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.

**1.3.6** Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order no., trade number, trade time, trade price, trade quantity, and name of security, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE/BSE/MCX-SX/USEIL, without delaying.

**1.3.7** Facility of Trade Verification is available on NSE/BSE/MCX-SX/USEIL website ([www.nseindia.com](http://www.nseindia.com)/[www.bseindia.com](http://www.bseindia.com)/[www.mcx-sx.com](http://www.mcx-sx.com)/[www.useindia.com](http://www.useindia.com)), where details of trade as mentioned in the contract note may be verified from the trade date upto five trading days. Where trade details on the website, do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of NSE/BSE/MCX-SX/USEIL.

**1.3.8** Ensure that payment/delivery of securities against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE/BSE/MCX-SX/USEIL or its Clearing Corporation/Clearing House. Payments should be made only by account payee cheque in favour of the firm/company of



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the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member. Delivery of securities is made to the pool account of the member rather than to the beneficiary account of the member.

**1.3.9** In case pay-out of money and/or securities is not received on the next working day after date of pay-out announced by NSE/BSE/MCX-SX/USEIL or its Clearing Corporation/Clearing House, please follow-up with the concerned member for its release. In case pay-out is not released as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE/BSE/MCX-SX/USEIL.

**1.3.10** Every member is required to send a complete 'Statement of Accounts', for both funds and securities settlement to each of its constituents, at such periodicity as may be prescribed by time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE/BSE/MCX-SX/USEIL, without delaying.

**1.3.11** In case of a complaint against a member/registered sub-broker, you should address the complaint to the Office as may be specified by NSE/BSE/MCX-SX/USEIL from time to time.

**1.4** In case where a member surrenders his membership, NSE/BSE/MCX-SX/USEIL gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE/BSE/MCX-SX/USEIL, ensure that you lodge a claim with NSE/BSE/MCX-SX/USEIL/NSCCL/Clearing House within the stipulated period and with the supporting documents.

**1.5** In case where a member is expelled from trading membership or declared a defaulter, NSE/BSE/MCX-SX/USEIL gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE/BSE/MCX-SX/USEIL, ensure that you lodge a claim with NSE/BSE/MCX-SX/USEIL within the stipulated period and with the supporting documents.

**1.6** Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye-laws and the scheme under the Investors' Protection Fund (IPF) may be payable first out of the amount vested in the Committee for Settlement of Claims against Defaulters, on pro-rata basis if the amount is inadequate. The balance amount of claims, if any, to a maximum amount of Rs.10 lakhs per investor claim, per defaulter/expelled member may be payable subject to such claims being found payable under the scheme of the IPF.

**Notes:**

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE/BSE/MCX-SX/USEIL for the purpose of acquiring and/or selling of securities through the mechanism provided by NSE/BSE/MCX-SX/USEIL.

2. The term 'member' shall mean and include a member or a broker or a stock broker, who has been admitted as such by NSE/BSE/MCX-SX/USEIL and who holds a registration certificate as a stock broker from SEBI.

3. NSE/BSE/MCX-SX/USEIL may be substituted with names of the relevant exchanges, wherever applicable.

**For SS Corporate Securities Ltd**



**Client's Signature**

**Director**

Name

Name

Title

Title

Witness:

Witness:

1.

1.

2.

2.

## POLICY &amp; PROCEDURE

- a) **Refusal of orders for Penny Stocks**  
Penny stocks are those securities, which are declared to be illiquid securities by the exchanges every month. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity. So clients are advised not to deal in penny stocks and if a client deals with the penny stocks, 100% margin will be taken from the client. Stock Broker also reserves the right to refuse to provide limit/exposure in Penny stocks if it does not commensurate with the risk profile of the client as assessed by the Broker.
- b) **Setting up client's exposure limits**  
The stockbroker may from time to time impose and vary limits on the orders that the client can place through the stockbroker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker may at its sole discretion without prior notice, prohibit or restrict client from placing orders or trade in securities through the stock broker's trading system on account of any such variation, reduction or imposition of limits.
- c) **Applicable brokerage rate**  
Brokerage will be charged within the limits prescribed by SEBI/Exchange.
- d) **Imposition of penalty / delayed payment charges**  
Clients will be liable to pay late pay in/delayed payment charges for non-making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate upto 2% per month.  
Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with or any actions of the client, the same shall be borne by the client.
- e) **The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues.**  
Without prejudice to the stock broker's other right (including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations.
- f) **Shortages in obligations arising out of internal netting of trades**  
Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.
- g) **Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**  
We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non-making of payment for their payin obligation/outstanding debts.
- h) **Temporarily suspending or closing a client's account at the client's request**  
On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. After suspension market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.
- i) **Deregistering a client: -**  
Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:  
If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.  
If there is any commencement of a legal process against the client under any law in force;  
On the death/lunacy or other disability of the Client;



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If the Client has voluntarily or compulsorily become subject to proceedings under any bankruptcy or insolvency law;

If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;

If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

**Inactive Client account: -**

Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

**Client Acceptance of Policies and Procedures stated hereinabove:**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended/ changed unilaterally by the broker, provided the change is informed to me/us with through any one

or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non-receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and stock broker before any court of law/judicial / adjudicating authority including arbitrator/ mediator etc.

**For SS Corporate Securities Ltd**



**Client's Signature**

**Director**

Name

Name

Title

Title

Witness:

Witness:

1.

1.

2.

2.

**Format for Board Resolution of Corporate Account**

**ABSTRACT OF THE MINUTES OF MEETING OF BOARD OF DIRECTORS OF M/S. \_\_\_\_\_**  
**\_\_\_\_\_ HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_**  
**\_\_\_\_\_ ON \_\_\_\_\_.**

**“RESOLVED THAT** the Company be and is hereby authorized to open a Trading Account with SS Corporate Securities Ltd. having its registered office at NDM 2, Block D, 3rd Floor, Netaji Subhash Place, Pitam Pura, Delhi-110034. A member of National Stock Exchange & Bombay Stock Exchange”

RESOLVED FURTHER THAT Mr. \_\_\_\_\_ Director be and is hereby authorized severally to execute, sign and issue all / any such agreements, documents, writing and instruments and all instruction that SS Corporate Securities Ltd. may require for all purpose of operating the Trading Account of M/s. \_\_\_\_\_.

RESOLVED FURTHER THAT a copy of the following resolution certified as True Copy by Mr. \_\_\_\_\_ Director be given to SS Corporate Securities Ltd. for its record and that SS Corporate Securities Ltd. is authorized to act and rely on those resolution and that the company seal in the said documents be affixed in presence of Mr. \_\_\_\_\_ Director of the company.

Certified true copy

For \_\_\_\_\_

**Director**

**RUNNING ACCOUNT AUTHORISATION**

Date.....

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account once in every calendar Quarter/Month or such higher period as allowed by SEBI/Stock Exchange from time to time except funds given towards collaterals/margin in the form of BG/FDR.  
Quarter  Month
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We agree that stock broker will transfer funds/securities lying with the member within one working days of the request and within three working days if the same are lying with Clearing Corporation.
6. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. After that I/We shall have no right to dispute the transaction, funds and/or securities ever and agree that you shall not be liable for any incidental loss/damage caused due to retention of funds and/or securities.
7. This authorization is subject to the renewal of at least once in year.
8. I/We confirm you that I can revoke the above-mentioned authority by giving 15 working days notice in writing to you.

Thanking you  
Yours faithfully,



(Signature)

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

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTE**

I/We have been/shall be dealing through you on the Capital Market and/or Futures & Options/Currency Segments/. I/We understand that, I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form. Accordingly, please take the following email account(s)/email id on your record for sending the contract notes to me/us.

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

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any no receipt/ delayed receipt for nay reason whatsoever

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you,



(Signature)

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

Dear Sir,

**Sub: Letter of Authority - CASH/F&O/Currency Derivative Segment of NSE/BSE/MCX-SX/USEIL**

I/We are dealing in securities with you at NSE/BSE/MCX-SX/USEIL in Cash, Derivative & Currency Segment and in order to facilitate ease of operations, I/We authorize you as under:

1. I/We authorize you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by us.
2. I/We hereby authorize you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favor of bank and / or taking loan against the same of meeting margin/ pay - in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.
3. I/We request you to retain Securities in your Demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
4. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
5. I/We will collect from your office Contract Notes, Bills, Securities, etc. as per our convenience.
6. I/We request that you may send/dispatch me/us contract notes other documents through E-mail: on my/our designated e-mail address of \_\_\_\_\_
7. It is understood that I am/we are entitled to receive following documents with regard to our dealings with you:

Contract notes within 24 hours

Quarterly statement of account (funds and securities)

As and when a contract note is not received, I/we shall bring the same to your notice in writing within 7 days from the date of the trade. Similarly, as and when a statement of account is not received, I/we shall bring the same to your notice in writing within 7 days from the last date of the quarter (30<sup>th</sup> June, 30<sup>th</sup> September, 31<sup>st</sup> December and 31<sup>st</sup> March) for which the statement is not received. If no communication is received from me/us within the time frame as stated above, it may be taken as an acknowledgement of having timely received the above documents. We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of e - mail to me/us and will not dispute the same.

8. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
9. I/We have a Trading As well as depository relationship with **SS Corporate Securities Limited** Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reasons.

We have read the Risk Disclosure Documents as prescribed by SEBI/NSE/BSE/MCX-SX/USEIL for Capital Market as well as for Future & Options Segment, Currency Derivatives Segment and have clearly understood the contents. We have also noted our rights and obligations as an investor and we undertake to timely and appropriately exercise our rights and fulfill our obligations.

We have visited the Internet sites of NSE (nseindia.com), BSE (bseindia.com), MCX-SX (mcx-sx.com), USEIL (useindia.com) and SEBI (sebi.gov.in) have gone through various investor education contents (practices procedures and usage on the Indian capital markets) as well as Risk Disclosure Contents provided thereon. We have understood the risks as well as our rights and obligations as an investor with regard to our dealings with you. We shall continue to update ourselves on these matters by visiting these sites regularly.

Thanks and best regards.



(Signature)

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

**THIS PAGE IS VOLUNTARY DOCUMENT IN THE CLIENT REGISTRATION FORM**

Dated \_\_\_\_\_

**M/s SS Corporate Securities Limited**

NDM 2, Block D, 3rd Floor,  
Netaji Subhash Place,  
Pitam Pura, Delhi-110034

Dear Sir,

I am dealing in the Capital Market/ Future & Option and Currency Derivatives Segment of **NSE/BSE/MCX-SX/USEIL** with you under client code \_\_\_\_\_. My other family members are also having an account with you as per

| S. No. | Client Code | Name of the Family Member |
|--------|-------------|---------------------------|
|        |             |                           |
|        |             |                           |
|        |             |                           |
|        |             |                           |
|        |             |                           |

I/We authorise you to adjust the credit balance available in my account of any segment against any debit balance of any segment outstanding in the account of above mentioned family members and shall be treated as a group while considering our obligation towards you.

This is being done to avoid frequent payments/ receipts from our group accounts.

Thanking you,

Yours faithfully,



Signature

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

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**BROKERAGE**

**NSE**

Maximum      Minimum

Jobbing

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Delivery

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**BSE**

Maximum      Minimum

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**FUTURES**

Maximum      Minimum

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BSE

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**OPTIONS**

Per Lot

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**CURRENCY**

Maximum

Minimum

Per Lot

NSE

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MCX-SX

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USEIL

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**MUTUAL FUNDS**

NSE \_\_\_\_\_

\* Transaction Charges, Service Tax, STT, Stamp Duty, Other Govt. Levies are extra.

One Time Account Opening Charges Rs. 50/- per segment.



(Signature)

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