



S. No.:

**VENKATARAMAN & CO.**  
STOCK & SHARE BROKERS  
MEMBER: NATIONAL STOCK EXCHANGE OF INDIA LTD.

**CLIENT REGISTRATION FORM**

☐ INDIVIDUAL ☐ NON - INDIVIDUAL

CLIENT CODE & NAME

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New No.2 (Old No.52), DR. RANGA ROAD, MYLAPORE, CHENNAI - 600 004.

PHONE : 2499 5723, 2499 5401, 2499 5205, 2498 5897

E-mail : [vnk1945@vnkco.in](mailto:vnk1945@vnkco.in) • Web Site : [www.vnkco.in](http://www.vnkco.in)

Investor complaints E- Mail id : [investorcomplaints@vnkco.in](mailto:investorcomplaints@vnkco.in)

## **TRADING ACCOUNT OPENING KIT**

# **INDEX**

S. No.	Name of the Document	Brief Significance of the Document	Page No
--------	----------------------	------------------------------------	---------

### **MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

1	Trading Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	1-8
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	9-13
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, Authorised Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	14-19
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	20-23
4	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	24-25
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker ( <i>to be added by the stock broker</i> ).	26-28
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) ( <i>to be added by the stock broker</i> ).	29
7	FATCA	Foreign Account Tax Compliance Act (FATCA) Declaration	30
8	Nomination	Opting Nomination / Opting Out of Nomination	31-32
9	CKYC	Centrak KYC Registry Know Your Customer (KYC) Application Forms	33-36
10	CVL KRA	CDSL Venture Ltd., Know Your Client (KYC) Application Forms	37-40
11	MITC	Most Importation Terms and Conditions	41
12	GTDO	Police for Handing Good Till the date Order	42-46

### **VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**

13	Running Account Authorisation	Client authorization to maintain the Running Account	47
14	Authorisation for Electronic Contract Notes	Client authorization to send the contract notes in electronic form.	48

# VENKATARAMAN & CO.,

## TRADING ACCOUNT OPENING KIT

<b><i>Trading cum / Clearing Member (for Capital Market Segment)</i></b>  VENKATARAMAN & CO., New No.2 (Old No.52) Dr. Ranga Road, Mylapore, Chennai 600 004. Phone: 24995723 / 24995401 / 24995205 Email: vnk1945@vnkco.in / vnkco1945@gmail.com SEBI Registration No.INZ000261922	<b><i>Clearing Member ( For Derivatives Segment)</i></b>  Stock Holding Corporation of India Limited 301, 3 <sup>rd</sup> Floor, Peninsula Centre Point, Opp. Bharatmata Cinema Dr. Babasaheb Ambedkar Road, Parel, Mumbai - 400 012 Maharashtra, Phone : 022 61779400 - 09 SEBI Registration No. INZ000241237
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Compliance Officer Name, Contact No. and Email Id	K. RAMALINGAM 044-24985905 ramalingamvnk@gmail.com
CEO Name, Contact No. and Email Id	R. JAYARAMAN 044-24995841 vnkjaya@gmail.com
For any Grievance / Dispute please contact Stock Broker Contact No. and Email Id	VENKATARAMAN & CO., Stock & Share Broker, New No.2 (Old No.52) Dr. Ranga Road, Mylapore, Chennai 600 004. 044-24995723 / 24995401 / 24995205 vnkco1945@gmail.com
Investors Compliance Email Id	investorcomplaints@vnkco.in
Incase not satisfied with the response, please contact the concerned exchange Contact No. and Email Id	NSE at ignse@nse.co.in 022-26598190

## **VENKATARAMAN & CO.,**

**The List of Documents are required to open a Trading Account Individual)**

**1. PAN CARD with Photo .Copy Self-attested**

**2. Proof of Identity (one of the following) - Copy Self-attested**

- Passport
- Voter-ID Card
- Driving License
- Certificate of Incorporation (In case of Non individuals)

**3. Proof of Address (one of the following) .Copy Self-Attested**

- Ration Card / Smart Card
- Passport
- Voter-ID
- Aadhaar
- Latest Electricity Bill, Water Bill, Landline Telephone bill (not older than 2 Months)
- Latest Bank Statements/Passbook (not older than 2 Months)

**4. Proof of Demat Account (one of the following) .Copy Self-Attested**

- Client Master List
- Latest Transaction Statement (not older than 2 Months)
- Latest Holding Statement (not older than 2 Months)

**5. Proof of Bank Account (one of the following) .Copy Self-Attested**

- Bank Passbook with Photo affixed along with Transactions Statement (not older than 2 Months).
- **Original** Cancelled Cheque Leaf duly printed with name of the account holder.

**6. Proof of Income (one of the following) .Copy Self-Attested**

- Latest Income Tax Return Acknowledgement
- Salary Slip (for Salaried Person)
- Self-Declaration (for Business person)

**7. Latest 3 Passport size colour photograph**

**8. Additional documents for Trading in F&O Segment**  
(Illustrative List) (Required to submit every year subsequently)

- Income Tax Return Acknowledgement
- AnnualAccounts for Previous 2 Years
- Net-worth Certificate
- Bank Account Statements for Last Six Months
- Demat Holding Statement
- In case of salaried Persons Latest salary slip and Form 16 copy
- Any other relevant documents substantiating ownership of assets.
- Self-Declaration along with relevant supporting.



## KNOW YOUR CLIENT (KYC) APPLICATION FORM

**For Individuals**

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1 

Please fill this form in ENGLISH and in BLOCK LETTERS.

### A. IDENTITY DETAILS

1. Name of the Applicant: \_\_\_\_\_
2. Father's/ Spouse Name: \_\_\_\_\_
3. a. Gender: Male/ Female    b. Marital status: Single/ Married    c. Date of birth: \_\_\_\_\_ (dd/mm/yyyy)
4. a. Nationality: \_\_\_\_\_    b. Status: Resident Individual/ Non Resident/ Foreign National
5. a. PAN: \_\_\_\_\_    b. Aadhaar, if any : \_\_\_\_\_
6. Specify the proof of Identity submitted: \_\_\_\_\_

### B. ADDRESS DETAILS

1. Residence Address : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_
2. Contact Details: Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Mobile No.: \_\_\_\_\_  
Fax: \_\_\_\_\_ Email id: \_\_\_\_\_
3. Specify the proof of address submitted for residence address : \_\_\_\_\_
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_

### DECLARATION

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

2 

Signature of the Applicant

Date: \_\_\_\_\_ (dd/mm/yyyy)

**FOR OFFICE USE ONLY**

☐ (Original Verified) True copies of documents received and (Self-Attested) Self Certified Document Copies received

**For VENKATARAMAN & CO.,**

.....  
Name & Signature of the Authorised Signatory

**Date** .....

**Seal/Stamp of the intermediary**

## KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in ENGLISH and in BLOCK LETTERS.

**For Non-Individuals**

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it



### A. IDENTITY DETAILS

1. Name of the Applicant: \_\_\_\_\_
2. Date of incorporation: \_\_\_\_\_ (dd/mm/yyyy) & Place of incorporation: \_\_\_\_\_
3. Date of commencement of business: \_\_\_\_\_ (dd/mm/yyyy)
4. a. PAN: \_\_\_\_\_ b. Registration No. (e.g. CIN): \_\_\_\_\_
5. Status (please tick any one):  
Private Limited Co./Public Ltd. Co./Body Corporate/Partnership/Trust/Charities/NGO's/FI/ FII/HUF/AOP/ Bank/Government Body/Non-Government Organization/Defense Establishment/BOI/Society/LLP/ Others (please specify) \_\_\_\_\_

### B. ADDRESS DETAILS

1. Address for correspondence: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_
2. Contact Details: Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Mobile No.: \_\_\_\_\_  
Fax: \_\_\_\_\_ Email id: \_\_\_\_\_
3. Specify the proof of address submitted for correspondence address: \_\_\_\_\_
4. Registered Address (if different from above): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_

### C. OTHER DETAILS

1. Name :  
PAN :  
Residential address :  
and photographs of  
Promoters/Partners  
Karta/Trustees and  
whole time directors
- } Please fill ANNEXURE - A

2. DIN/UID of Promoters/Partners/Karta and whole time directors: \_\_\_\_\_

### DECLARATION

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

2 

\_\_\_\_\_  
Name & Signature of the Authorised Signatory

Date: \_\_\_\_\_(dd/mm/yyyy)

---

### FOR OFFICE USE ONLY

☐ (Original Verified) True copies of documents received and (Self-Attested) Self Certified Document Copies received

**For VENKATARAMAN & CO.,**

.....  
Name & Signature of the Authorised Signatory

Date .....

Seal/Stamp of the intermediary

**ANNEXURE A - DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS**

Full Name_____	PHOTOGRAPH
PAN_____DIN/UID_____	
Date of birth_____Designation_____	
Address_____	
City_____State_____Pin code_____	
Telephone_____E-mail_____	
Qualification_____Experience_____Equity Stake_____	
RESIDENTIAL STATUS Resident Indian / Non-Resident Indian / Others Signature : _____	

Full Name_____	PHOTOGRAPH
PAN_____DIN/UID_____	
Date of birth_____Designation_____	
Address_____	
City_____State_____Pin code_____	
Telephone_____E-mail_____	
Qualification_____Experience_____Equity Stake_____	
RESIDENTIAL STATUS Resident Indian / Non-Resident Indian / Others Signature : _____	

**ANNEXURE B - DETAILS OF AUTHORISED PERSONS TO DEAL IN SECURITIES ON BEHALF OF COMPANY**

Full Name_____	PHOTOGRAPH
PAN_____DIN/UID_____	
Date of birth_____Designation_____	
Address_____	
City_____State_____Pin code_____	
Telephone_____E-mail_____	
Qualification_____Experience_____Equity Stake_____	
RESIDENTIAL STATUS Resident Indian / Non-Resident Indian / Others Signature : _____	

Full Name_____	PHOTOGRAPH
PAN_____DIN/UID_____	
Date of birth_____Designation_____	
Address_____	
City_____State_____Pin code_____	
Telephone_____E-mail_____	
Qualification_____Experience_____Equity Stake_____	
RESIDENTIAL STATUS Resident Indian / Non-Resident Indian / Others Signature : _____	

## **INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM**

### **A. IMPORTANT POINTS:**

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### **C. Proof of Address (POA): - List of documents admissible as Proof of Address:**

*(\*Documents having an expiry date should be valid on the date of submission.)*

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank / Multinational Foreign Banks/Gazetted Officer/Notary

public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.

6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

#### **D. Exemptions/clarifications to PAN**

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

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

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

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

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

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



## TRADING ACCOUNT RELATED DETAILS

### A. BANK ACCOUNT(S) DETAILS

For individuals & Non- individuals




1. Bank Name : \_\_\_\_\_
2. Branch address : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
3. Bank account No. : \_\_\_\_\_
4. Account Type: Saving/Current/ : \_\_\_\_\_  
Others-In case of NRI/NRE/NRO \_\_\_\_\_  
\_\_\_\_\_
5. MICR Number : \_\_\_\_\_
6. IFSC code : \_\_\_\_\_

### B. DEPOSITORY ACCOUNT(S) DETAILS

1. Depository Participant Name : \_\_\_\_\_
2. Depository Name : \_\_\_\_\_  
(NSDL/CDSL)
3. Beneficiary name : \_\_\_\_\_
4. DP ID : \_\_\_\_\_
5. Beneficiary ID : \_\_\_\_\_  
(BOID)

### C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

	Exchanges	NSE, BSE & MSEI				MCX, NCDEX, BSE & NSE
	All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
		4 	5 			

If you do not wish to trade in any of segments / Mutual Fund, please mention here

***If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.***

#### D. PAST ACTIONS

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

#### E. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:

Authorised person Name:.....

SEBI Registration number: .....

Registered office address: .....

.....

Website: .....Ph: .....

Fax: .....

- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker:.....

Name of Authorised person, if any .....

Client Code: .....Exchange: .....

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

#### F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): .....

Specify your Email id, if applicable: .....

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): .....

- Number of years of Investment/Trading Experience: .....

- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: **Please fill ANNEXURE B**

- **Gross Annual Income Details (please specify):** Income Range per annum: Below Rs 1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / >25 Lacs **or**

- **Net-worth as on** (date) ..... (dd/mm/yyyy): .....(\*Net worth should not be older than 1 year)

- **Occupation (please tick any one and give brief details):** Private Sector/ Public Sector/ Government Service/Business/ Professional/ Agriculturist/ Retired/ Housewife/ Student/ Others .....

- **Please tick, if applicable:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)

- **Any other information:** .....

## G.INTRODUCER DETAILS (optional)

Name of the Introducer: .....  
(Surname) (Name) (Middle Name)

Status of the Introducer: Authorised person/Remisier/Authorized Person/Existing Client/Others, please specify.....

Address and phone no. of the Introducer: .....

Signature of the Introducer: .....

## DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place .....

Date .....

6 

(.....)

Signature of Client/ (all) Authorized Signatory (ies)

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: -----

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

*I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.*

**For VENKATARAMAN & CO.,**.....  
**Signature of the Authorised Signatory****Date .....****Seal/Stamp of the stock broker****INSTRUCTIONS/ CHECK LIST**

1. Additional documents in case of trading in derivatives segments - illustrative list:

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

*\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals :

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/Authorised person office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals :

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

## **Annexure – 4**

### **RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS as prescribed by SEBI and Stock Exchanges**

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, Authorised person and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy 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.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker 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 stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

#### **CLIENT INFORMATION**

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and Authorised person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially 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 may so disclose information about his client to any person or authority with the express permission of the client.

#### **MARGINS**

11. The client shall 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.

12. The client understands that 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 settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

## **TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security /derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall 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 where the trade is executed.
15. The stock broker shall ensure 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 of her 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 Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed 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 Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

## **BROKERAGE**

18. The Client shall 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. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

## **LIQUIDATION AND CLOSE OUT OF POSITION**

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that 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.
20. 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 nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. 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 by the stock broker to the relevant Exchange(s).

## **DISPUTE RESOLUTION**

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

## **TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; 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 is cancelled by the Board.
28. The stock broker, Authorised person and the client shall be entitled to terminate the relationship between them 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 relationship 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.
29. In the event of demise/insolvency of the Authorised person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorised person by the stock exchange and/or termination of the agreement with the Authorised person 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 the 'Rights and Obligations' document(s) governing the stock broker, Authorised person and client shall continue clauses in to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

## **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. 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 they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.



32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

#### **ELECTRONIC CONTRACT NOTES (ECN)**

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.



41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

## **LAW AND JURISDICTION**

43. In addition to the specific rights set out in this document, the stock broker, sub-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 Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document 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 and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. 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 Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

## **Disclosure of Proprietary Trading by Broker to Client**

In pursuance of SEBI Circular No. SEBI/MRD/SE/CIR-42/2003 dated 19-11-2003, we wish to inform you that we do Proprietary Trading.

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT**  
**(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)**

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the User name and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

## **Annexure – 5**

### **RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS**

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/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 have Stock exchanges /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 relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, 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 Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation 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 stock broker. 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 derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges 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 stock broker of Stock exchanges 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. 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:**

##### **1.1 Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives 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 / derivatives 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 important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives 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 or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

### **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 / derivatives contract 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 / derivatives contracts. This in turn will hamper better price formation.

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

The placing of 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 / derivatives contract.

**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 / derivatives contract, and such order gets activated if and when the security / derivatives 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 security / derivatives contract 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 security / derivatives 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:**

News announcements that may impact the price of stock / derivatives contract 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 / currencies 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 / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

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

Trading on exchanges 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 control 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 Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-**

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

In the derivatives market, 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 margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives 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 amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker 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 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 in your own or another jurisdiction, will be affected by fluctuations in currency rates where there 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 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 nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges 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 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. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:**

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

## **4. GENERAL**

**4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

**4.2** The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

## Annexure-6

### GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

#### BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.exchange.com](http://www.exchange.com) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

#### TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. 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 the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such

settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

#### **DISPUTES/ COMPLAINTS**

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.



## **VENKATARAMAN & CO., POLICIES & PROCEDURES**

### **1. De-registering of client**

The Stock Broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances.

- a) On the death/disability of the client
- b) Client suffers any adverse material change in his/her financial position or defaults in any other agreement with broker
- c) Client is in breach of any terms, condition of the agreement
- d) Client has made any misrepresentation of fact.
- e) Client voluntarily wants to close the account, subject to payment of all dues to the Company

### **2. Temporarily suspending or closing client account at client request:**

On the request of the client in writing, the client account will be suspended temporarily and same is re-activated on the written request from the client. During the suspension period, the settlement activities of the client will take place and the trading in that account is prohibited. On the request by the client in writing, the client account can be closed provided the dues of the client is settled. If the client wants to re-open the account, the KYC requirements has to be completed again.

### **3. Re-activation of dormant/inactive client account:**

Clients who have not traded for a period of 24 months, the respective account will be treated as DORMANT/INACTIVE . To ascertain, the identification of such client will be done at the beginning of each month where the clients who do not trade even for a single day will be considered as DORMANT/INACTIVE and the available shares/funds as per the ledger balance will be transferred to the respective client within 7 days from the date of identifying the client account as inactive. For re-activation, the client has to make a written /email request stating the reasons for not trading during the period. Based on the reply, the said client account will be activated.

### **4. Setting of exposure limits & Conditions under which client may not be allowed to take further positions or broker may close the existing position of client:**

The trading limit per client of Authorised person will be 8- times of the credit balance available in the account of the respective client and additional deposit, if any given by the client / sub-broker. Clients may be allowed to take positions (margin consumed) up to the amount of credit available to his account or to the extent of the deposits made by the Authorised person. This trade limit may be modified/changed as per the Surveillance/RMS measures without any notice to the client/sub broker. In case of increase in trading limits sought during market hours, either the SBs or their clients shall transfer funds to the Account of VENKATARAMAN & CO., on-line and request for such increase, in writing, either through fax or e-mail.

Additional capital deposited by the Authorised person / client will be refunded only on request from the respective Authorised person/client, on T+4 day from the date of receipt of deposit by VENKATARAMAN & CO.

The trading limits for the clients may vary/reduced or imposed new limits on the basis of the risk perception of the Company. VENKATARAMAN & CO., shall not be responsible for such variation/reduction in limits/inability to route any order through the system on account of any such variation / reduction/imposition of limits.

The losses incurred if any by the clients due to the setting of limits by the VENKATARAMAN & CO., due to risk perception, shall be borne exclusively by the client alone.

#### **5. Applicable brokerage rate:**

For Cash Market Segment: The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.

#### **6. Right to sell client position without notice on account of non-payment of dues:**

VENKATARAMAN & CO., will liquidate/close-out all or any one of the clients position limits to the outstanding amount, without giving notice to the client for non-payment of margins/any other amount including pay-in obligation and outstanding dues etc and adjust the proceeds of such liquidation/closeout if any, against the client liabilities/obligations.

#### **7. Delayed payment of settlement dues:**

In case of non-payment of settlement dues, the securities will be withheld and transferred to the Client unpaid securities account (CUSA) A/c. of VENKATARAMAN & CO. Subsequently when the client's A/c. has credit balance, the securities will be re-transferred to his Demat A/c. Necessary demat charges for effecting transfer of securities will be debited to the Client's account. In case of default in pay-in of securities, which are in T-by-T group, such securities will be squared-up as per the procedure followed by the Exchanges and necessary amount will be debited to the Client's account.

#### **8. Shortages in obligations arising out of internal netting of trades:**

In case of client-to-client short (internal short) of securities in a settlement, when client needs delivery, then, we buy in the market. Otherwise such securities will be squared-up by VENKATARAMAN & CO., as per the procedure laid down by the Exchange (closing price on T+1 day +10% or contract rate whichever is higher)

#### **9. Trading in Penny Stocks:**

The PENNY STOCKS will be identified monthly as per the list provided by NSE through their notices. The trading in the penny stocks will be closely monitored by the Surveillance executives of the Company. The limits may be fixed either quantity based or value based depending upon the market condition and RMS policy of the Company. The Company reserves right to refuse to provide the limit in penny stocks and losses if any on account of such refusal shall be borne by the client only.

#### **10. For Option contracts:**

Brokerage for option contracts would not exceed Rs.100/- per lot single side or such other rates as provided by the Exchanges.

Imposition of penalty Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of units, failure on payment of auction, cheque bounce, increase open position or on any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the Exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and Stock Exchange time to time and client will be kept informed about the rate of such penalties & fines.

Purchased, margin imposed (initial + MTM) interest will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

All fines/penalties and charges levied upon the Client due to its acts / deeds or transactions will be recovered by the VENKATARAMAN & CO., directly from the client's account.

**11. The right to close clients' positions, without giving notice to the client, on account of non-Payment of client's dues (This shall be limited to the extent of settlement/margin obligation)**

- a) If payment/ towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the Client's account.
- b) In case of benefit of margin will be given only after realization of instrument.
- c) The stock Broker has the right but not the obligation, to cancel all pending orders and to sell/close/ liquidate all open positions/ securities / at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. Similarly all transactions outstanding under limit by whatsoever name called may be closed out at specified time if not squared off by the client.
- d) In case open position (i.e. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any.

**12. Client Acceptance of Policies and Procedures stated herein above:**

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.

Name of the Client

7 

Signature of the Client

Client Code :

Date

# VENKATARAMAN & CO.,

## TARIFF SHEET

### A. CAPITAL MARKET

1. Brokerage	:	0.5 to 2.5% on Market Value – Delivery Transactions.	
		Minimum 0.25% on both sides – Intraday Squaring up Transactions.	
2. Goods and Services Tax (GST)	:	18% (on Brokerage + SEBI Charges + Transaction Charges) (SGST 9%+CGST 9%) or 18% Integrated GST(IGST)	
3. Securities Transaction Tax (STT)	:	<b>Equity Delivery</b>	<b>Equity Intra-Day</b>
		0.1% on Market Value Buy and Sale	0.025% on Market Value the Sale side
4. NSE Transaction Charges	:	0.00297% on Market Value	
5. Stamp Duty	:	<b>Equity Delivery</b>	<b>Equity Intra-Day</b>
		0.015% on Market Value Buy side	0.003% on Market Value Buy side
6. Delayed Payment Charges	:	₹ 100/- per day of default or 18% per annum on the amount of default, whichever is higher till the amount is paid.	
7. Short Delivery	:	Penalty as imposed by the Exchange	
8. SEBI Charges	:	0.0001%	

### B. FUTURES & OPTIONS (F&O)

1. Brokerage	:	0.1% to 2.5% on Market Value	
2. GST(Goods and Services Tax)	:	18% (on Brokerage + SEBI Charges + Transaction Charges) (SGST 9% + CGST 9%) or 18% Integrated GST(IGST)	
3. Securities Transaction Tax (STT)	:	<b>F &amp; O – Futures</b>	<b>F &amp; O – Options</b>
		0.01% on Sale Value	0.05% on Sale Value
4. NSE Transaction Charges	:	<b>F &amp; O – Futures</b>	<b>F &amp; O – Options</b>
		0.00173% on Market Value	0.03503% on Market Value
5. Stamp Duty	:	<b>F &amp; O – Futures</b>	<b>F &amp; O – Options</b>
		0.002% on Buy Value	0.003% on Buy Value
6. Maximum Brokerage	:	In case of Option Contract Brokers can charge Brokerage up to 2.5% on Premium amount or ₹100/- per lot whichever is higher as per NSE Regulations.	
7. SEBI Charges	:	0.0001%	

- Statutory Charges such as Securities Transaction Tax (STT), Transaction Charges (TC), Stamp Duty(SD) & Goods and Services Tax (GST) will be changed as and when as applicable rates prescribed by the appropriate authorities.
- Cheque dishonours actual charges made by the Bank.
- Cost of KYC Application Form ₹ 100/-.

8 

**VENKATARAMAN & CO.,**  
**Stock & Share Brokers,**  
**New No.2 (Old No.52)**  
**Dr. Ranga Road,**  
**Mylapore, Chennai 600 004.**

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**Foreign Account Tax Compliance Act (FATCA) Declaration**

**CLIENT NAME :** \_\_\_\_\_

**CLIENT CODE :** \_\_\_\_\_

**Place / City of Birth :** \_\_\_\_\_

**ISO Country Code of Birth :** IN

**Is your Country of Tax Residency other than India – Yes** ☐ **No** ☐  
(Please tick at appropriate place)

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

S No	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type [TIN or other, please specify]
1			
2			
3			

# to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

**Declaration:**

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you **Venkataraman & Co.,** to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Regulators, their employees ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize y o u to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I/ We authorize **Venkataraman & Co.,** to provide relevant information to the above Regulators and to enable withholding any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

**Date :**

**Signature:**

**Place:**


9 



भारतीय प्रतिभूति और विनियम बोर्ड  
Securities and Exchange Board of India

Nomination Form

[Annexure A to SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/81  
dated June 10, 2024 on Nomination for Eligible Trading and Demat Accounts]

TM Name & Address VENKATARAMAN & CO. STOCK & SHARE BROKERS NEW NO.2 (OLD NO.52) DR. RANGA ROAD MYLAPORE CHENNAI 600 004.										 <b>FORM FOR NOMINATION</b> (To be filled in by individual applying singly or jointly)												
Date	D	D	M	M	Y	Y	Y	Y	UCC / Client Code		Client Name											
I/We wish to make a nomination. [As per details given below]																						
Nomination Details																						
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																						
Nomination can be made upto three nominees in the account.										Details of 1 <sup>st</sup> Nominee						Details of 2 <sup>nd</sup> Nominee				Details of 3 <sup>rd</sup> Nominee		
Mandatory Details																						
1	Name of the nominee(s) (Mr./Ms.)*																					
2	Share of each Nominee		Equally		[If not equally, please specify percentage]				%				%				%					
										Any odd lot after division shall be transferred to the first nominee mentioned in the form.												
3	Relationship With the Applicant (If Any)																					
* Date of Birth and Name of Guardian to be provided in case of minor nominee(s)																						
Non-mandatory Details																						
4	Address of Nominee(s) /Guardian in case of Minor																					
City / Place:																						
State & Country:																						
PIN Code																						
5	Mobile / Telephone No. of nominee(s)/Guardian in case of Minor																					
6	Email ID of nominee(s)/Guardian in case of Minor																					
7	Nominee/Guardian (in case of Minor) Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar No. Proof of Identity ID																					
Name(s) of holder(s)															Signature(s) of holder*							
Sole / First Holder (Mr./Ms.)																						
Second Holder (Mr./Ms.)																						
Third Holder (Mr./Ms.)																						

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

Note:

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

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

**Nomination Form – Continued...**

**[Annexure B to SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/81  
dated June 10, 2024 on Nomination for Eligible Trading and Demat Accounts]**

**Annexure B**

**Declaration for opting-out of nomination**

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

**Name and Signature of Holder(s)\***

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

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



# VENKATARAMAN & CO.,

Member : The National Stock Exchange of India Ltd.,  
New No.2 (Old No.52) Dr. Ranga Road, Mylapore, Chennai 600 004. Website: www.vnkco.in



## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

### Important Instructions :

- A) Fields marked with (\*) are mandatory fields.  
B) Please fill the form in English and in BLOCK letters.  
C) Please fill the date in DD - MM -YYYY format.  
D) Please read section wise detailed guidelines / instructions at the end.  
E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
F) List of two character ISO 3166 country codes is available at the end.  
G) KYC number of applicant is mandatory for update application.  
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



### For office use only

(To be filled by financial institution)

Application Type \*

☐ New ☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type \*

☐ Normal ☐ Simplified (for low risk customers) ☐ Small

### ☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle name	last name
<input type="checkbox"/> Name* (same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse name *	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother name *	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth *	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
PAN *	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T - Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN - Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Individual		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
RBI Ref.No. / PIS No.	<input type="text"/>			
Occupation Type*	<input type="checkbox"/> S- Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector )	<input type="checkbox"/> O- Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife	<input type="checkbox"/> B- Business <input type="checkbox"/> Student <input type="checkbox"/> X- Not categorised	

**PHOTO**

Signature / Thumb Impression

### ☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end.)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

### ☐ 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A - Passport Number	<input type="text"/>	Passport Expiry date	<input type="text"/>
<input type="checkbox"/> B - Voter ID card	<input type="text"/>		
<input type="checkbox"/> C - PAN card	<input type="text"/>		
<input type="checkbox"/> D - Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E - UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F - NREGA Job card	<input type="text"/>		
<input type="checkbox"/> Z - Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S - Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

### 4. PROOF OF ADDRESS(PoA)\*

#### ☐ 4.1 CURRENT/PERMANENT / OVERSEAS ADDRESS DETAILS (Please refer instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)	<input type="checkbox"/> Voter Identity card	<input type="checkbox"/> NREGA Job card
	<input type="checkbox"/> Others	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Address	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			
Line 1*	<input type="text"/>				
Line 2	<input type="text"/>				
Line 3	<input type="text"/>				
District*	<input type="text"/>	Pin / Post Code*	<input type="text"/>	State / U.T. Code*	<input type="text"/>
				ISO 3166 Country Code*	<input type="text"/>



☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS\* (Please refer instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill "Annexure A1")

Line 1\*   
Line 2   
Line 3  City / Town / Village\*   
District\*  Pin / Post Code\*  State / U.T. Code\*  ISO 3166 Country Code\*

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1\*   
Line 2   
Line 3  City / Town / Village\*   
District\*  Pin / Post Code\*  State / U.T. Code\*  ISO 3166 Country Code\*

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email ID) (Please refer instruction F at the end)

Tel. (Off) - Tel. (Res) - Mobile -  
Fax - Email ID

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (Please refer instruction F at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ KYC Number of Related Person (if available\*)

Related Person Type\* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name\*  Prefix  First Name  Middle name  last name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY (PoI) OF RELATED PERSON\* (Please refer instruction H at the end)

☐ A - Passport Number  Passport Expiry date --  
☐ B - Voter ID card   
☐ C - PAN card   
☐ D - Driving Licence  Driving Licence Expiry Date --  
☐ E - UID (Aadhaar)   
☐ F - NREGA Job card   
☐ Z - Others (any document notified by the central government)  Identification Number   
☐ S - Simplified Measures Account - Document Type code  Identification Number

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

● I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

● I hereby consent to receiving information from Centrak KYC Registry through SMS/Email on the above registered number/email address.

Date : --

Place :



Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Original verified & self attested document copies received

KYC VERIFICATION CARRIED OUT BY

Date --  
Emp. Name   
Emp. Code   
Emp. Designation   
Emp. Branch

(Employee Signature)

INSTITUTION DETAILS

Name : VENKATARAMAN & CO.,

Code : IN0832

[INSTITUTION STAMP]

# VENKATARAMAN & CO.,

Member : The National Stock Exchange of India Ltd.,  
New No.2 (Old No.52) Dr. Ranga Road, Mylapore, Chennai 600 004. Website: www.vnkco.in



'CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/ Other than Individuals

## Important Instructions:

- A) Fields marked with "\*" are mandatory fields.  
B) Tick '✓' wherever applicable.  
C) Please fill the date in DD-MM-YYYY format.  
D) Please fill the form in English and in BLOCK letters.  
E) KYC number of applicant is mandatory for update application.  
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
G) List of two character ISO 3166 country codes is available at the end.  
H) Please read section wise detailed guidelines / instructions at the end.  
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only** Application Type\* ☐ New ☐ Update

(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

### ☐ 1. ENTITY DETAILS\* (Please refer instruction A at the end)

☐ Name\*

Entity Constitution Type\* ☐ Others (Specify)  (Please refer instruction B at the end)

Date of Incorporation / Formation\*  Date of Commencement of Business

Place of Incorporation / Formation\*  Country of Incorporation / Formation\*  TIN or Equivalent Issuing Country

PAN \*  ☐ Form 60 furnished

TIN / GST Registration Number

### ☐ 2. PROOF OF IDENTITY (Pol)\* (Please refer instruction B at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation  ☐ Registration Certificate  Regn Certificate No.

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

### ☐ 3. ADDRESS\* (Please see instruction C at the end)

#### 3.1 Registered Office Address / Place of Business\*

Proof of Address\* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  PIN / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

#### 3.2 Local Address in India (If different from Above)\*

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  PIN / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

### ☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction D at the end)

Tel. (Off)  FAX

Mobile  Email ID

Mobile  Email ID

### ☐ 5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)

[illegible]

Signature / Thumb Impression of Authorised Person(s)

[INSTITUTION STAMP]

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

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

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

**CDSL VENTURES LIMITED**

...Exploring New Horizons

**VENKATARAMAN & CO.,**Member : The National Stock Exchange of India Ltd.,  
New No.2 (Old No.52) Dr. Ranga Road,  
Mylapore, Chennai 600 004.  
Website: www.vnko.in

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

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

PAN\*

Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name\* (if any) \_\_\_\_\_

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

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

Gender\*

☐ Male☐ Female☐ Transgender

Marital Status\*

☐ Single☐ Married

Nationality\*

☐ Indian☐ Other \_\_\_\_\_

Residential Status\*

☐ Resident Individual☐ Non Resident Indian

Please Tick (✓)

☐ Foreign National☐ Person of Indian Origin<sup>+</sup>(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC.  
Select NRI or Foreign National based on Nationality of the individual)Recent passport size  
Applicant Photo

Cross Signature across photograph

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

☐

A — Aadhaar Card

XXXX XXXX \_\_\_\_

(Expiry Date) \_\_\_\_\_

☐

B — Passport Number

\_\_\_\_\_

☐

C — Voter ID Card

\_\_\_\_\_

(Expiry Date) \_\_\_\_\_

☐

D — Driving License

\_\_\_\_\_

☐

E — NREGA Job Card

\_\_\_\_\_

☐

F — NPR

\_\_\_\_\_

☐

Z — Others

\_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

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

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

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

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_

District\* \_\_\_\_\_

Pin Code\* \_\_\_\_\_

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

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

Address Type\*

☐

Residential/Business

☐

Residential

☐

Business

☐

Registered Office

☐

Unspecified

Applicant e-SIGN

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

Line 1\*

Line 2

Line3

City/

Town/Village\*

District\*

Pin Code\*

State\*

Country\*

Address Type\*

☐

Residential/Business

☐

Residential

☐

Business

☐

Registered Office

☐

Unspecified

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

A — Aadhaar Card

XXXX XXXX \_ \_ \_ \_

☐

B — Passport Number

(Expiry Date)

☐

C — Voter ID Card

☐

D — Driving License

(Expiry Date)

☐

E — NREGA Job Card

☐

F — NPR Letter

☐

Z—Others

(any document notified by Central Government)

Identification Number

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

Email ID\*

Mobile No. \*

Tel (off)

Tel (Res)

**4. Applicant Declaration**

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

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

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

DATE: \_\_\_\_\_ (DD-MM-YYYY)

PLACE: \_\_\_\_\_

Applicant e-SIGN

Applicant Wet Signature

**5. For Office Use Only**

In-Person Verification (IPV) carried out by\*

Intermediary Details\*

IPV Date

Emp. Name

Emp. Code

Emp. Designation

☐

Self certified document copies received (OVD)

☐



True Copies of documents received (Attested)

AMC / Intermediary Name :

**VENKATARAMAN & CO.**

Employee Signature and Stamp

Institution Name and Stamp

<b>Know Your Client (KYC)</b> <b>Application Form (For Non- Individuals Only)</b> <small>Please fill the form in ENGLISH and in BLOCK letters  Fields marked * are mandatory  Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also</small>	 <b>CDSL VENTURES LIMITED</b> <small>...Exploring New Horizons</small>  <b>VENKATARAMAN &amp; CO.,</b> <small>Member : The National Stock Exchange of India Ltd.,  New No.2 (Old No.52) Dr. Ranga Road,  Mylapore, Chennai 600 004.  Website: www.vnkco.in</small>
Application Number: _____	
Application Type*: <input type="checkbox"/> New KYC <input type="checkbox"/> Modification KYC	
<b>1. Entity Details</b> (please refer guidelines)	
PAN* _____ <small>Please enclose a duly attested copy of your PAN Card</small> Name* (same as ID proof) _____ Date of Incorporation* _____ Place of Incorporation* _____ Date of Commencement* _____ Registration Number* _____ Entity Type* <small>Please Tick (✓)</small> <div style="display: flex; flex-wrap: wrap;"> <div style="width: 50%;"><input type="checkbox"/> Private Ltd. Co.</div> <div style="width: 50%;"><input type="checkbox"/> Public Ltd. Co.</div> <div style="width: 50%;"><input type="checkbox"/> Body Corporate</div> <div style="width: 50%;"><input type="checkbox"/> Partnership</div> <div style="width: 50%;"><input type="checkbox"/> Trust/Charity/NGO</div> <div style="width: 50%;"><input type="checkbox"/> HUF</div> <div style="width: 50%;"><input type="checkbox"/> FPI Category I</div> <div style="width: 50%;"><input type="checkbox"/> FPI Category II</div> <div style="width: 50%;"><input type="checkbox"/> AOP</div> <div style="width: 50%;"><input type="checkbox"/> Bank</div> <div style="width: 50%;"><input type="checkbox"/> Government Body</div> <div style="width: 50%;"><input type="checkbox"/> Defence Establishment</div> <div style="width: 50%;"><input type="checkbox"/> Body of Individuals</div> <div style="width: 50%;"><input type="checkbox"/> Society</div> <div style="width: 50%;"><input type="checkbox"/> LLP</div> <div style="width: 50%;"><input type="checkbox"/> Non-Government Organization</div> <div style="width: 50%;"><input type="checkbox"/> Others _____</div> </div>	
<b>2. Proof of Identity<sup>+</sup></b> (please refer the guidelines)	
<div style="display: flex; flex-wrap: wrap;"> <div style="width: 50%;"><input type="checkbox"/> Officially Valid Document(s) in respect of person authorized to transact</div> <div style="width: 50%;"><input type="checkbox"/> Certificate of Incorporation/Formation _____</div> <div style="width: 50%;"><input type="checkbox"/> Registration Certificate _____</div> <div style="width: 50%;"><input type="checkbox"/> Memorandum of Articles and Association</div> <div style="width: 50%;"><input type="checkbox"/> Partnership Deed</div> <div style="width: 50%;"><input type="checkbox"/> Trust Deed</div> <div style="width: 50%;"><input type="checkbox"/> Board Resolution</div> <div style="width: 50%;"><input type="checkbox"/> Power of attorney granted to its manager, office, employees to transact on its behalf</div> <div style="width: 50%;"><input type="checkbox"/> Activity Proof –1<sup>+</sup> (For Sole Proprietorship Only)</div> <div style="width: 50%;"><input type="checkbox"/> Activity Proof –2<sup>+</sup> (For Sole Proprietorship Only)</div> </div>	
<b>3. Address Details*</b> (please refer the guidelines)	
<b>A. Registered Address*</b> Line 1* _____ Line 2 _____ Line 3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____	
<b>B. Correspondence/Local Address in India</b> (if different from above)* Line 1* _____ Line 2 _____ Line 3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____	
	Applicant Digital Signature (DSC)

**Proof of Address\*** (attested copy of any one POA to be submitted—\*Not more than 3 months old)

<input type="checkbox"/> Certificate of Incorporation/Formation	<input type="checkbox"/> Registration Certificate	<input type="checkbox"/> Other document _____
<input type="checkbox"/> Latest Telephone Bill* (Landline only)	<input type="checkbox"/> Latest Electricity Bill*	<input type="checkbox"/> Latest Bank Account Statement*
<input type="checkbox"/> Registered Lease/ Sale Agreement of Office Premises	Validity/Expiry Date of POA (Expiry Date) ____	
<input type="checkbox"/> Any other proof of address document (as listed overleaf) _____		

**4. Contact Details**

Email ID _____	Mobile No. _____
Email ID _____	Mobile No. _____
Tel (off) _____	Fax _____

**5. Annexures Submitted**Number of Related Persons - **6. Remarks / Additional Information**


**7. Applicant Declaration**

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

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

DATE: \_\_\_\_ (DD-MM-YYYY)

PLACE: \_\_\_\_\_

Applicant Digital Signature (DSC)

Applicant Wet Signature

**8. For Office Use Only**

KYC carried out by*	Intermediary Details*
KYC Date ____	<input type="checkbox"/> Self certified document copies received (Originals Verified)
Emp. Name _____	<input type="checkbox"/> True Copies of documents received (Attested)
Emp. Code _____	AMC / Intermediary Name OR Code:
Emp. Designation _____	<b>VENKATARAMAN &amp; CO.</b>
Employee Signature and Stamp	Employee Signature and Stamp

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## National Stock Exchange of India Limited

### Annexure A

#### Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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





**VENKATARAMAN & CO**

**POLICY FOR HANDLING GOOD  
TILL DATE ORDERS**



## Policy for Handling Good Till Date Orders

### 1. **Background:**

Exchanges vide its circular NSE/INSP/62528 dated June 21, 2024 and NSE/INSP/63789 dated September 6, 2024 pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled" / "Good Till Triggered" orders or orders of similar type.

### 2. **Scope:**

The Exchanges have stated that the policy shall include –

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

### 3. **Details of Good Till Cancelled/Good Till Triggered/orders:**

- a. Venkataraman & Co., (VNK) enables its clients to place "Good Till Date" (GTDt) orders.
- b. GTDt is an order facility through which a client can place buy and sell limit orders in shares, index futures & index options specifying the period for which the order instruction is valid. The period selected by the client shall be within the maximum validity date defined by VNK. Since client has the right to define validity date ("order validity date"), this order type is called as Good Till Date (GTDt) order.
- c. All existing and new clients of VNK who are eligible to trade in Equity Cash product & Derivatives can avail GTDt facility for order placement.
- d. The facility of placing a GTDt order is available in Equity Cash product, Index futures, Index Options and E-Margin (MTF) product only. It is not available for other products like Margin, Spot, etc. As and when, GTDt orders are introduced in new segments the same shall be displayed through the VNK website and subsequently updated in the policy.
- e. Client can specify disclosed quantity while placing cash orders with GTDt order validity.



- f. GTDt orders can only be placed by specifying a limit price. GTDt orders cannot be placed at market price.
- g. If a GTDt order is not executed for the entire quantity, VNK is authorised to place fresh orders for the unexecuted quantity for the client on the subsequent trading days till the entire quantity is executed or till the validity expires, whichever is earlier. This feature permits the client to specify the number of days during which the client intends to place the orders.
- h. GTDt orders can be placed during the pre-open session for all scrips, however only orders in scrips that are pre-open enabled would be sent to exchange during the pre-open session. Orders in all other scrips not enabled for pre-open session would be treated as overnight orders and sent to exchange during normal trading session.
- i. Client shall ensure that necessary funds/margins are available to place GTDt orders in their account for the unexecuted quantity of the order.
- j. “Order Validity Date” means the date entered by the client while placing GTDt orders. This date shall be equal to or less than the maximum validity date defined by VNK which would appear as the default “Order Validity Date”. Client can choose the GTDt order validity date as less than or equal to the maximum validity date defined by VNK. Client shall not be allowed to place orders with GTDt validity beyond maximum defined validity date.
- k. In case the GTDt order validity date falls on a non-trading day, the order is expired by VNK on the last trading day which falls prior to such order valid date which is a non-trading day. Post the expiry, the status of GTDt order is updated as Expired (Closed).
- l. Once a client has placed a GTDt order, VNK will place orders for the unexecuted quantity of the GTDt order for all the days during the validity period or till the quantity is fully executed or cancelled or rejected due to any reason. Client may login only to check the status of such orders.
- m. For the unexecuted quantity orders shall be placed daily as overnight orders during the validity period, i.e. until the order validity date is less than or equal to the next trade date provided such GTDt order remains unexecuted and is not cancelled, nor rejected due to any reason. The orders would be placed on these dates provided they are trading days.
- n. All securities in BSE & NSE except securities in debt segment, NCD, Bonds and illiquid securities are eligible for the placing GTDt order.
- o. Orders with GTDt validity can be placed both during the market hours as well as post market hours.



- p. GTDt orders can be placed over CallNTrade.
- q. Client can place maximum 5 GTDt orders for a particular scrip and in all a client can place maximum 30 GTDt orders across all eligible scrips.
- r. Clients can modify the quantity or limit price of a GTDt orders Clients can modify the order only when the order is in 'Ordered status' (during market hours) or 'Requested status' (after market hours). "GTDt Blocked" orders cannot be modified but can only be cancelled.
- s. All GTDt orders can be cancelled.
- t. The Brokerage rates and applicable charges are same for normal transactions and GTDt orders. Further, GTDt orders shall be settled in the same manner as normal equity / derivative market transactions.
- u. Clients can also place GTDt Buy and Sell (sell- Open position only) order under E-Margin Product.
- v. Stoploss orders can also be placed with GTDt validity.

#### **4. Handling of GTDt orders in case of corporate actions:**

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

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

Emails and SMS will be sent to the customers when the GTDt orders fall short of Funds / Securities or Blocked due to price beyond DPR range.

#### **5. Updating Clients of upcoming Corporate Actions:**

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

Clients shall review their GTDt orders pro-actively whenever there may be impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.



**6. Policy Communication:**

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

**7. Policy Review:**

The said policy shall be reviewed on an annual basis.

## VOLUNTARY DOCUMENTS --- NON-MANDATORY

Client Code :

Date :

To  
VENKATARAMAN & CO.  
Stock & Share Brokers,  
New No.2 (Old No.52),  
Mylapore, Chennai 600 004.

### Running Account


I / We hereby agree to maintain the Running Account for all my / our transaction(s) including F&O segment for purchase / sale of securities in NSE. I / We also authorise you to hold the funds / securities on my / our behalf and transfer funds from my Capital Market Account to F&O segment and F&O segment to Capital Market as and when require and securities upon my / our instruction(s) only.

I / We can revoke the Running Account authorisation at any point of time at our convenient.

We both Trading Member and Client have agreed to done the actual settlement of funds and securities atleast once in a calender quarter / month.

Thanking You,

Yours faithfully,

10  .....

## AUTHORISATION LETTER FOR ELECTRONIC COMMUNICATION

From

Date

Venkataraman & Co.,  
New No.2, Old No.52, Dr. Ranga Road,  
Mylapore, Chennai - 600 004

Sub: Communication in Electronic Form

Dear Sir,

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 as well as all other communications including but not limited to account statement, holding statement, trade, order confirmation and any other notices also electronically.

I / We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account on your record for sending the contract notes and other communications to me/us.

1. ....

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 servers, 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 and any other electronic communication to 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 non-receipt / delayed receipt for any reason whatsoever.

I / We also agree that non-receipt of bounced mail notification by the stockbroker shall amount to delivery at my / our e-mail id.

Please treat this authorization as written rectification of my / our verbal directions / authorizations given and carried out by you earlier. I / We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given below.

I / We further agree to intimate to you that if any change in the email-id will be communicated to you in writing.

Thanking you,

Yours faithfully,

Client Code : \_\_\_\_\_

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

11 

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





# VENKATARAMAN & CO

Member: National Stock Exchange of India Ltd.,

## To become a client of Venkataraman & Co.

We refer to your application to become a client of Venkataraman & Co.,

We wish to inform you that the client code allotted to you is \_\_\_\_\_

Please find enclosed a copy of the following documents.

1. Rights and Obligations
2. Risk Disclosure document
3. Guidance Note – Do's and Don'ts
4. Policies and Procedures
5. Tariff Sheet
6. Nomination
7. Most Important Terms and Conditions (MITC)
8. Policy for Handling Good Till Date of Orders
9. KYC and Other voluntary documents

1. Wish to receive in Electronic Form

☐

2. Wish to receive in Physical mode

☐

Kindly return the copy of this letter duly signed by you in proof of having received the aforesaid documents.

Yours faithfully  
For Venkataraman & Co.,

Compliance Officer

Encl.: As above.

12/12/20