

Application No.	
Branch	
Branch Code	
Region	

To be Filled at (HO)								
Trading Code								
DP Code								



Client Registration Form Trading & DP Account Non – Individual Client

Shriram Financial Services Limited

Reg. office: Rukmini Towers, 3rd & 4th Floor, # 3/1, Platform Road,
Seshadripuram, Bangalore - 560020
Phone: 080 - 4367 6869, Fax: 080 - 4367 6999
Website: www.shriramfs.com

SEBI Reg No: Stock Broker: INZ000178638 Depository Participant: IN-DP-472-2020 Investor Grievance Details: Exchange NSE: ig@nse.co.in Tele: 022-26598100 BSE: is@bse.co.in Tele: 022-22728097 MCX-SX: investorcomplaints@mcx-sx.com Depository: NSDL: relations@nsdl.co.in (022) 2499 4200 CDSL: complaints@cdslindia.com 1800-200-5533	Details of Compliance Officer Name: Sandhya Email: compliance@shriramfs.com Telephone: 080- 43676874 Details of CEO Name: Amit Golia Telephone: 080- 43676869, Email: ceo@shriramfs.com SEBI Scores: www.scores.gov.in Investor Grievance Details: Member grievance@shriramfs.com, Tele: 080-43676862
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For any grievance/dispute please contact stock broker at the above address, email id and Phone No. In case not satisfied with the response, please contact the concerned exchange(s) at respective investor grievance, Phone No. given above.

Particulars	Employee Code	Employee Name
Introducer/ Lead Generator		
Relationship Manager / Lead Closer		
Dealer		

Branch Manager / AP Authorisation

Date: Place:

Name:

Designation:

Contact No:

Employee Code/ AP Code:

For office use only (Branch Office)	
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.	
Document Verification/Inperson Verification & Client Interviewed by :	
Name: Designation: Employee Code/AP/Sub-Broker Code: IPV Date: Mobile No: Signature of Person Doing IPV:	Branch/Sub-Broker/AP Seal & Signature

Know Your Client (KYC) Shriram Financial Services Limited**For Non Individual Clients**

Application For Individuals

Reg. off.: Rukmini Towers, 3rd & 4th Floor # 3/1, Platform Road, Sheshadripuram, Bangalore - 560020.

www.shriramfs.com, Tele: 080-43676869



associated with Sanlam group

☐ NEW ☐ Modification **KYC Mode:** ☐ NormalPlease fill the Application in **English** and in **BLOCK Letters** with **Black Ink**:

Application No: _____

1. Entity Details: (Please See the Guide Lines over Leaf)

PAN _____

Name of the Applicant (same as ID proof)

Date of Incorporation: _____ Place of Incorporation: _____

Date of Commencement* _____ Registration Number (CIN): _____

Entity Type ☐ HUF ☐ Private Limited Co. ☐ Public Limited Co. ☐ Body Corporate ☐ Partnership ☐ LLP ☐ Trust / Charity / NGO ☐ Society☐ AOP ☐ Body of Individuals ☐ Government Body ☐ Defence Establishment ☐ Bank ☐ FPI Category I ☐ FPI Category II☐ Non-Government Organization ☐ Others _____**2. Proof of Identity (please refer the guidelines)**☐ Board Resolution ☐ Memorandum of Articles and Association ☐ Partnership Deed ☐ Trust Deed☐ POA granted to its manager, office, employees to transact on its behalf ☐ Officially Valid Document(s) in respect of person authorized to transact☐ Activity Proof -1+ (For Sole Proprietorship Only) ☐ Activity Proof -2+ (For Sole Proprietorship Only)☐ Certificate of Incorporation/Formation _____ ☐ Registration Certificate _____**3. Address Details: (Please refer the guidelines)****A. Registered Address**_____

City/ Town/Village: _____ Pin Code: _____

State: _____ Country: _____

B. Correspondence/Local Address in India (if different from above)*_____

City/ Town/Village: _____ Pin Code: _____

State: _____ Country: _____

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

☐ Certificate of Incorporation/Formation ☐ Registration Certificate ☐ Telephone Bill* (LL only) ☐ Electricity Bill* Validity: _____☐ Latest Bank Account Statement* ☐ Registered Lease/ Sale Agreement of Office Premises ☐ Other _____**4. Contact Details**

Email id: _____ Mobile No: _____

Tel. STD Code: _____ FAX No. _____

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 KRA & CKYC 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.

Place: _____ Date: _____

Signature of Applicant DSC / Wet

**KYC Verification/In Person Verification (IPV) Carried out by: (For Office Use only)**

Inperson Verification Carried Out On Date _____ Place _____

Name of Official: _____

Designation: _____ Employee / AP Code: _____

☐ Self certified document copies received (OVD)☐ True Copies of documents received (Attested)

Signature & Branch /AP Seal



1. Details of Related Person: (Please See the Guide Lines over Leaf)

Name (same as ID proof): _____

Relationship with Applicant _____

PAN No: _____ DIN No: _____

Aadhar No: _____

Address: _____

City/ Town/Village: _____ Pin Code: _____

State: _____ Country: _____



2. Details of Related Person: (Please See the Guide Lines over Leaf)

Name (same as ID proof): _____

Relationship with Applicant _____

PAN No: _____ DIN No: _____

Aadhar No: _____

Address: _____

City/ Town/Village: _____ Pin Code: _____

State: _____ Country: _____



3. Details of Related Person: (Please See the Guide Lines over Leaf)

Name (same as ID proof): _____

Relationship with Applicant _____

PAN No: _____ DIN No: _____

Aadhar No: _____

Address: _____

City/ Town/Village: _____ Pin Code: _____

State: _____ Country: _____



4. Details of Related Person: (Please See the Guide Lines over Leaf)

Name (same as ID proof): _____

Relationship with Applicant _____

PAN No: _____ DIN No: _____

Aadhar No: _____

Address: _____

City/ Town/Village: _____ Pin Code: _____

State: _____ Country: _____



5. Details of Related Person: (Please See the Guide Lines over Leaf)

Name (same as ID proof): _____

Relationship with Applicant _____

PAN No: _____ DIN No: _____

Aadhar No: _____

Address: _____

City/ Town/Village: _____ Pin Code: _____

State: _____ Country: _____



For

Date: _____

Place: _____

Name & Signatory of Authorized Signatory

ACCOUNT OPENING KIT INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES & DEPOSITORY			
1	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction / check list. Document captures the additional information about the constituent relevant to trading account and DP Account	1 - 3
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker / trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	Add Insert
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Add Insert
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Add Insert
5	Policies and Procedures	This document contains policies and procedures to be followed by the Broker relating to the various operational issues of day to day business activities. The clients are requested to go through it carefully and keep it in mind while dealing through us. Any changes in this document shall be intimated to the client through the periodic communications. The clients may any time request for the updated copies of this document or refer to it at website.	Add Insert
6	Tariff sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	2
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7	Write up on PMLA	Brief Write up on the provisions of prevention of money laundering Act 2002 (PMLA) which client needs to know.	Add Insert
8	Check List	Instructions for filling KYC form	Add Insert
9	Additional clauses	Additional Voluntary Clauses Supplements to Account Opening Form	Add Insert
10	Issuance of Electronic Contract Note	Request and acceptance by client for receiving documents in electronic form - Voluntary	6
11	Authorisation for running account	For the operational convenience, if a client is dealing frequently and wishes to avoid exchange of funds and securities for every Exchange/segment separately and on a daily/due date basis, this Document may be signed by the client authoring broker to keep the account as running account across all exchange/segment - Voluntary	6
12	Securities Trading using Wireless Technology	Agreement for Securities Trading using Wireless Technology - Voluntary	5
KYC Application Form for Depository Services			
1	Charges for Depository	Information on Tariff structure for DP Services as per DP Regulations	4
2	Rights and Obligations - Depository Participant	Rights and obligations of the beneficial owner and Depository Participant	Add Insert
3	Demat Debit Pledge Instruction Authorisation	Demat Debit Pledge Instruction Authorisation (DDPI) - Voluntary	Add Insert

ADDITIONAL DETAILS (PART - B)**Income and Occupation Details**Annual Income: ☐ <1Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25-100 Lac ☐ 100-500 Lac ☐ >500 Lac Date: _____

Net-worth (Should not be older than one Year): _____ Net-worth Date _____

Income Proof: ☐ IT Return ☐ Last 6 Month Bank Statement ☐ Latest DP Statement ☐ Latest Networth CertificateOccupation: ☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business Others: _____Please Tick if Applicable: ☐ Politically Exposed Person ☐ Related to Politically Exposed Person ☐ Not Applicable**Bank & Depository Account Details (Default)**

Bank Name: _____

Bank Address: _____

Bank Account No: _____ IFSC Code: _____ MICR No: _____

Type: ☐ Savings ☐ Current Others _____ UPI ID: _____

DEPOSITORY PARTICIPANT NAME

DP ID No

CLIENT ID No

DEPOSITORY

☐ NSDL ☐ CDSL**Exchange and Segment Preferences**

Please tick and sign on the relevent boxes where you wish to trade and segment not selected should be striked off by client

EXCHANGE	SEGMENTS	CLIENT SIGNATURE
National Stoick Exchange Bombay Stock Exchange	Equity Cash	
	Equity Derivatives	
	Currency Derivatives	
National Stoick Exchange	SLB	
MCX Commodity Exchange	Commodities Derivatives	

Note: In future if the client want to trade in new segment / Exchange, separate authorisation letter should be given by client

Past Actions: De  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.

Any other Information: _____

Details of Dealing through Sub-brokers and other Stock Brokers

Name & Address of Broker / Sub-Broker: _____

Telephone & Website: _____ Client Codes: _____

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

Additional Details:

GST No: (if any) _____

Whether you wish to receive physical Contract Note ☐ or Electronic contact Note (ECN) ☐Whether you wish to avail the facility of Internet / wireless trading / mobile trading / technology (please specify): ☐ Yes ☐ NoNumber of years of Investment / Trading Experience ☐ Nil ☐ 1-3 Years ☐ 3-6 Years ☐ More than 6 yearsI would like to receive the account opening kit / standard set of documents in ☐ Physical ☐ Electronic Form

Introducer Details

Name: _____

Address: _____

Signature of Introducer

Status of Introducer: ☐ Client ☐ Sub-Broker/AP ☐ Remisier Other _____

Declaration

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

I / We confirm having read / been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

I / We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure' Document, additional voluntary risks disclosure clauses, Do's and Dont's and Policies & Procedures. 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, www.shriramfs.com.

I/We confirm that the Mobile number and email id provided to you in KYC for the purpose of communication is mapped with Aadhaar ☐ Yes ☐ No

I/we have been informed that the KYC data provided by us to you would further be validated by the KRA agencies, which would require me/us to complete certain validations thru SMS/email links sent by them and I/we would promptly complete the same as and when received. Further, I/we have been informed that in case of KYC data provided herewith is found not to be correct/or validation fails then my transactions may be blocked until the validation process is completed and the KRA status changed to KYC Registered /Validated.

Client Name:

Client Signature

Place:

Date:

Brokerage Tariff for Trading

Segment	Standard Rate	
	Minimum Paisa	In %
Cash & FNO Delivery	5 Paisa	1.00%
Cash Jobbing	5 Paisa	0.10%
Futures	5 Paisa	0.10%
Options	Rs.100/-	
Currency Futures	5 Paisa	0.10%
Currency Options	Rs.25/-	
Commodity Futures	5 Paisa	0.03%
Commodity Options	Rs.100/-	
SLB Fee	20%	

Special Rates	
Minimum Paisa	In %

Flat Per order

☐ Online EXE (Fee. Rs.750/-)

- The above rates are exclusive of GST and education cess, SEBI/Exchange/Clearing Members Charges, Stamp Duty, Statutory Charges payable to exchange /SEBI/Govt. Authorities etc., which will be charged extra at the rate prevailing from time to time.
 - In Addition to this DP Annual Maintenance Charges, DP Transaction charges/Pledge/Un-pledge/demat/remat charges, DP Inter settlement charges, Account Opening charges, Bank charges towards cheques received unpaid, charges towards customized/special service, which will be charged extra at the rate prevailing from time to time.
 - The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorised Person/ Introducer and client and the same are mentioned here.
 - I have read and understand the additional risk disclosure clauses given by brokers and agreed to abed by the same.
- Note : Brokerage will not exceed the rates specified by SEBI and the Exchanges of 2.5%. All statutory and Regulatory charges are will be levied at actuals
Brokerage is also charged on expired, excercised and assigned option contracts

Client Signature

Additional Details for DP account

☐ CDSL DP ID: 12062900

☐ NSDL DP ID: IN 303077

A/C Type: ☐ HUF ☐ Private Limited Co. ☐ Public Limited Co. ☐ Body Corporate ☐ Partnership ☐ LLP ☐ Society ☐ AOP
☐ Body of Individuals ☐ Government Body ☐ Defence Establishment ☐ Bank ☐ FPI Category I ☐ FPI Category II
☐ Trust / Charity / NGO ☐ Non-Government Organization ☐ Others

Standing Instructions:

- 1 I/We authorise you to receive credits automatically into my / our account ☐ Yes ☐ No
- 2 SMS Alert Facility 1st Holder ☐ Yes ☐ No All Joint Holders ☐ Yes ☐ No
- 3 Account Statement requirement : ☐ Weekly ☐ Monthly
- 4 I/We request you to send Electronic Transaction-Cum-Holding Statements at Sole/ First Holders Email id stated in the account opening form ☐ Yes ☐ No ☐ E-CAS
- 5 Do you wish to receive Dividends/Interest directly into your bank account mentioned in KYC ☐ Yes ☐ No
- 6 Standing Instruction for Auto Pledge Confirmation by Pledgee ☐ Yes ☐ No
- 7 Option for Issuance of Delivery Instruction Slip (DIS) Booklet. ☐ With A/C Opening ☐ On Request
- 8 Mode of operation ☐ Karta ☐ As per resolution
- 9 I/We Would like to share the email id with the RTA ☐ Yes ☐ No
- 10 I/We Would like to receive the annual report (If Not selected it will be physical) ☐ Electronic ☐ Physical
- 11 PAN is seeded with Adhaar ☐ Yes ☐ No
- 12 Transactions Using Secured Texting Facility (TRUST) ☐ Yes ☐ No

(Refer to terms & Conditions given as Annexure - B)

I wish to avail the Trust Facility using the mobile number registered for SMS alert Facility, I have read and understood the terms and conditions prescribed by CDSL for the same.

I /We Wish to register the following clearing member ID under my/our Below mentioned BO ID registered as TRUST

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID

13 UCC Mapping for DP account

UCC Code	Exchange ID	Segment ID	CM ID	TM ID

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am/We are aware that I/we may be held liable for it. I/We further agree that any false / misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action. In case non resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.

Signature of Holders

		
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Shriram Financial Services Private Limited

NSDL DP-ID: IN303077 and CDSL DP ID – 12062900, 12031500

Schedule 'A' Charges for Depository Services applicable to Individuals/HUF/Corporate

DP ID/CLIENT ID _____

Schedule 'A' Charges for Depository Services applicable to Individuals/HUF/Corporate

TRANSACTION TYPE	SCHEME – 1 ☐	SCHEME – 2 ☐	BSDA / IPO ☐
Refundable Deposit *	Nil	2000/- *	Nil
Annual Maintenance Charges	Rs.550/- p.a. per account	Nil	Nil Upto Stock Value of Rs.50,000/-, Rs.100/- for Stock Value Rs.50,001/- to Rs.2 Lac
Demat & Remat Charges			
Demat Charges	Rs.2/- per cert. + Rs.150/-		
Remat Charges	Rs.25/- per cert. (for every hundred securities) + Rs.150/-		
Demat Rejection Charges	Rs.150/- per rejection		
Transaction Charges			
Selling through M/s.Shriram Financial Services Pvt. Ltd with POA	Nil	Rs.10/- per Debit transfer	Rs.50/- Per Debit Instruction
Market Selling other than POA to SFSL POOL (Including Inter Depository)	Rs.25/- per Transaction within SFSL pool accounts 0.03% of transaction value subject minimum Rs.25/- other than SFSL pool accounts		Rs.50/- Per Debit Instruction 0.03% of transaction value subject minimum Rs.50/- other than SFSL pool accounts
Off Market Debit (Including Inter-Depository)	Target account is non SFSL - 0.03% of Transaction Value, subject to minimum of Rs.25/-		Target account is non SFSL- 0.03% of Transaction Value, subject to minimum of Rs.100/-
	Target account within SFSL - 0.03% of Transaction Value, subject to minimum of Rs.25/- and Maximum 100/- per Transaction		
Failed Transaction	Rs.20/- per Transaction		
Pledge & Securities Lending & Borrowing			
Pledge Creation	0.02% of the value of securities Pledged, subject to minimum of Rs.50/- per Transaction. Flat rate of Rs.50/- per Pledge Transaction within SFSL i.e. both Pledgor & Pledgee DP accounts are in SFSL		
CUSPA Pledge	Rs.30/- per Transaction within SFSL		
Margin Pledge	Rs.10/- per Margin Pledge Transaction within SFSL, 25/- for other than W2W margin account		
Margin Un-pledge	Rs.15/- per Margin Un-Pledge Transaction within SFSL, 25/- for other than SFSL margin account		
Securities Lending & Borrowing	Rs.50/- per Transaction		

* Deposit amount of Rs.2000/- [Rs.5000/- in case of corporate accounts] will be payable upfront and will be refunded only on closure of Demat account. AMC of 600/- will be deducted from the deposit amount if the account is closed within one year of the account opened or within one year of the scheme change. ** In case of Corporate Accounts – AMC will be = SFSL AMC + AMC charged by Depository.

Terms & Conditions:

- The Above schedule of charges is based on NSDL and CDSL charges) charged on us and is subject to revision at the discretion of Shriram Financial Services Pvt. Ltd. Any revision in the schedule of charges will be notified by ordinary post/email/electronic mode within 30 days notice.
- All the percentages in the above rates would be applied on the value of the transactions as computed by NSDL. And CDSL
- Any extra statement would be charged @ Rs.15/- for first 10 pages, thereafter it would be charged a Rs.2/- per page.
- For accounts opened during the year, AMC will be charged on pro-rata basis in the first bill. The AMC is charged for first/one year and will be automatically renewed at the end of the financial year at the prevailing rates, unless Shriram Financial Services Pvt. Ltd. received written communication in the prescribed format. AMC once paid will not be refunded on any circumstances. GST as applicable will be levied extra.
- CAS Transaction Statement will be sent monthly, only if there is any transaction in the relevant month. If there is no transaction, statement will be provided once in a year. CAS charges will be levied as per actuals.
- Demand Draft in favour of "Shriram Financial Services Pvt. Ltd." payable at "Bangalore" only. No outstation cheques will not be accepted other than our branches located.
- Cheque Bounce charges will be applied based on charges as determined by the bankers with minimum of Rs.50/- per instance.
- All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to payin day as per SEBI Guidelines. All off market instructions for transfer must be received at least 24 hours before the execution date. Late instruction would be accepted at the account holder's sole risk/responsibility.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- Depository Service charges bills should be paid on or before the due date. Interest @ 2% p.m. will be charged on the outstanding amount for non- payment. Notwithstanding this, DP reserves rights to "Freeze depository account for debit transactions" in case client fails to pay charges.
- This rate card supersedes all our earlier rate structures.
- Insurance charges on holding if any, charged by NSDL, will be recovered from the clients at the discretion of the DP, in proportion to their holdings.
- *Stamp duty payable as per local charges. For additional services like Internet agreement, Power of Attorney, Fax Indemnity etc., stamp duty payable at actual.

I/We have accepted the Schedule 'A' as stated herein above. We have chosen to open our Trading account with Shriram Financial Services Pvt. Ltd. for debiting the depository service charges. I/We hereby authorize Shriram Financial Services Private Limited for debiting amount due towards Scheme-2 to My/Our Trading account.

(First/Sole Holder)	(Second Holder)	(Third Holder)
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Internet & wireless technology based trading facility provided by stock broker to the 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 website 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 is as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username 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 a 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 Stockbroker 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 stockbroker/Exchanges.

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.

Client Name: _____

Place: _____

Date: _____

Client Signature



To,
Shriram Financial Services Private Limited, Rukmini Towers, 3rd & 4th Floor, # 3/1, Platform Road, Sheshadripuram, Bangalore - 560 020
Dear Sirs,

Subject: Issuance of Electronic Contract notes, Statements and Communications

I/we understand that digital signed contract notes and other electronic communications is a specialized service offered by the member which is optional in nature and this document has been signed by me/us voluntarily without any coercion or force. I/we also understand that I/we have a right to terminate this document. However in such an event this facility shall be liable to be terminated. I/we agree and permit the Member to provide digitally signed contract notes through internet (web-based) at the registered email id mentioned in the KYC which belongs to me/us.

I/we shall access the contract notes/ confirmations of the trades executed on my/our behalf on the trade date electronically. I/we understand that it is my/our responsibility to review all confirmations, contract notes, statements, notices and other communications including but not limited to margin and maintenance calls, etc. All information contained therein shall be binding on me/us, if I/we do not object, either in writing or via electronic mail within 24 hours after any such documents are available to me/us.

Should I/we experience any difficulty in opening a document electronically delivered by the Member, the Member may, on receipt of intimation from the me/us in that behalf, make the required delivery by any other electronic means (e-mail, fax, electronic mail attachment, or in the form of an available download from the back-office website) or in paper based format. Failure by me/us to advise the Member of such difficulty within twenty four hours after delivery shall serve as an affirmation that I/we was/were able to receive and open the said document on the internet.

I/we agree not to receive the contract notes in paper form from the Member. Provided however that in case when the Member is not able to provide Contract Note to me/us through (web based)

electronic medium due to any unforeseen problems, the Member would ensure that the contract note reaches me/us in physical form as per the time schedule stipulated in the Bye-Laws, Rules and Regulations of the Exchanges

I/we shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password which secure my/our email-ID. Unless I/we lodge a complaint with the Member as to my/our inability to access the system, it would be presumed that contract notes and all have been properly delivered.

I/we agree that the Member fulfils its legal obligation to deliver to the Client any such document if sent via electronic delivery and the Member has not received any report indicating bouncing back of such electronic delivery.

I/we agree that as an alternative to the e-mail communication and/or in case of non-receipt of the digital contract note through e-mail I/we shall utilize the facility of accessing the website hosted by the Member to access the contract note.

I/we agree that in any change in the Email-ID specified above shall be communicated by me/us to the Member in writing or digitally.

I/We request you allocate a login and mail the password to me/us for accessing your website to download my contract notes and my statement

Client Name:	
Client Signature	

Subject: Maintenance of Running Account (Voluntary)

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

I/We request you to maintain running balance in my account & retain the credit balance in my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s) /Clearing corporation unless I/We instruct you otherwise.

I/We request you to settle my fund and securities account (choose one option)

- ☐ Once in a calendar Month
- ☐ Once in every calendar Quarter

In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds up to the extent of allowed by SEBI/Exchange/relevant regulatory from time to time

I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within working days from the date of receipt of funds or statement of account or statement related to it, at your registered office

I/We understand that I/We can revoke the above mentioned authority at any time by submitting such request in writing to us and the same would be processed and updated by us within working days from receipt of such written request

his running account authorisation will continue until it is revoked by me

Client Name:	
Client Signature	

Most Important Terms and Conditions [MITC]

(For non-custodial settled trading accounts)

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

Date: _____

To
The Manager,
M/s. Shriram Financial Services Private Limited
Rukmini Towers, 3rd & 4th Floor, # 3/1,
Platform Road, Sheshadripuram,
Bangalore - 560 020

Dear Sir,

Sub: DDPI Authorisation for my DP Account No. _____

With reference to the above, please find enclosed here with Demat Debit Pledge Instruction (DDPI) authorisation letter for activating the DDPI facility. I hereby request you to kindly update the same in your records and request you to execute the instructions given by the DDPI request.

Thanking you.

Yours truly,
(Signature)

Client Name: _____

Client ID: _____

Demat Debit and Pledge Instruction (Authorisation)

As per SEBI circular SEBI/MIRSD/DOP/P/CIR/2022/44 dated April 04th 2022 & SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/137 dated 6th oct 2022 with respect to execution of 'Demat Debit and Pledge Instruction' (DDPI) under I / We, _____,

_____ residing / registered office at _____

individual / joint / corporate account holders hold Depository participant (DP) Account with **Shriram Financial Services Limited** in its capacity as NSDL DP under DP-ID IN303077 & CDSL DP under DP-ID 12062900, open with the application no _____ hereby do authorize **Shriram Financial Services Private Limited** a private company incorporated under the Companies Act, 1956 and having its registered office at **Rukmini Towers, 3rd & 4th Floor, # 3/1, Platform Road, Seshadripuram, Bangalore - 560020** (trading member cum clearing member of NSE (Mem ID: 11502), BSE (Mem ID: 3117), MSEI (Mem ID:51000) and MCX (Mem ID: 56730) having SEBI registration no. INZ000178638; DP of NSDL: IN303077 CDSL: 12062900 and 12031500 having DP SEBI registration no IN-DP-472-2020 to act to access my/our DP BO accounts for the limited purpose of meeting pay-in obligations for settlement of trades executed by me/us through yourself as a trading member.

Designated DP Accounts for the purpose of DDPI execution (for specified DDPI clauses signed herein below are as follows:

Particulars	Account No	Particulars	Account No
NSDL NSE Pool	IN303077 10004896	CDSL SLB Early Payin	11000023 00000465
NSDL BSE Pool	IN303077 10002386	NSDL Margin Pledge (TM/CM)	IN303077 10765073
CDSL NSE Pool	12062900 00000014	CDSL Margin Pledge (TM/CM)	12062900 00172530
CDSL CM Principal Pool	12062900 00000048	NSDL Margin Pledge (TM/CM)	IN303077 10789875
CDSL BSE Pool	12062900 00000052	CDSL Margin Pledge (TM/CM)	12062900 00300781
CDSL SLB NSE Pool	12062900 00154437	CDSL Margin Pledge (MTF)	12062900 00183268
CDSL NSE Early Payin	11000011 00019469	NSDL Margin Pledge (MTF)	IN303077 10777479
CDSL BSE Early Payin	11000010 00020972	NSDL MFSS Payin A/C	IN565576
CDSL MFSS Payin A/C	11000011 00017837	BSE STAR MF Payin A/C	IN620031

DDPI clauses (All holders to sign)

A. Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stockbroker.	
B. Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
C. Mutual Fund transactions being executed on Stock Exchange order entry platforms (Applicable from 25 th Nov 2022 or any other day as extended by SEBI/MIs)	
D. Tendering shares in open offers through Stock Exchange platforms (Applicable from 25 th Nov 2022 or any other day as extended by SEBI/MIs)	

Client defaulter declaration (Voluntary)

I _____ having PAN _____ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.

Signature of the Applicant:



To,
Shriram Financial Services Private Limited
Rukmini Towers, 3rd & 4th Floor, # 3/1, Platform Road, Sheshadripuram, Bangalore - 560 020, Karnataka (India)

Sub: Acknowledgement for receiving the client registration documents

Dear Sir, This is to acknowledge the receipt of the following listed client registration documents.

S. No.	Brief Significance of the document
1.	Client Registration Form (KYC)
2.	Rights and obligation
3.	Risk Disclosure document (RDD)
4.	Guidance Note
5.	Polices & Procedures
6.	Write up on PMLA (Check List)
7.	Tariff Sheet
8.	Contact Details
9.	Rights and obligations of the Beneficial owner and Depository Participants
10.	Additional Voluntary clauses supplemental to Account Opening Form
11.	Smart Terms & Conditions for receiving SMS alerts from CDSL
12.	Most Important Terms & Conditions (MITC)

I further state and confirm that I have read and understood all the clauses of aforesaid document. I also confirm that I have received the relevant clarifications, wherever required from the officials of **Shriram Financial Services Private Limited** to my complete understanding and satisfaction.

Yours Faithfully,

Name of the Applicant: _____

Signature of the Applicant:

