

FORM NO.: _____

SR. NO. _____



SVCM SECURITIES PRIVATE LIMITED

SEBI REGN NO.: INZ000293732

CLIENT REGISTRATION FORM FOR INDIVIDUAL

Date : _____
UCC Code : _____
Name : _____
A P Code : _____
BO ID : 12091200-00

ANNEXURE – 1
INDEX OF DOCUMENTS

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
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		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	9-11
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Rights and Obligation, Rights and Obligation (Margin Trading Facility), Risk Disclosure Document, Guidance Note, RMS Policy included as a separate client copy.

Details of Trading and Clearing Member

Name of stock broker : **SVCM SECURITIES PRIVATE LIMITED**
Regd./Correspondence office : B - 702 Divine Jalpa, Jambli Galli, Borivali (West),
Mumbai - 400 092.
Telephone Numbers : 022-2970 0323
Email : dp@svcm.in
SEBI Registration No. and Date : INZ000293732 and Date: 12th March, 2020
SEBI Registration No. of CDSL : IN-DP-557-2021 and Date: 2nd February, 2021
BSE Member Code No.: 6737 • NSE Member Code No.: 90216
MCX Code No.: 56865
Clearing Member Name : Globe Capital Market Ltd.
804, Ansal Bhawan, 16 K.G. Marg, Connaught Place, New Delhi-110001
Clearing Code : FNO & CDNSE - M50302 MCX: 8091
CIN : 65990MH2019PTC326901
PAN : ABCCS2329G
Compliance officer name : Rahul Jain
Phone No. : 022-2970 0309
Email Id : rahul.j@svcm.in
CEO Name : Chandu Jain
Phone No. : 022-2970 0309
Email Id : chandukjain@svcm.in

For any grievance/dispute please contact **SVCM SECURITIES PRIVATE LIMITED** at the above address or email id: **grievances@svcm.in** and Phone no. **022-2970 0323**. In case not satisfied with the response, please contact the concerned exchange(s) at their Contact details given below:

BSE Limited (BSE)

Tel. No.: 022-22721233/34
Fax No.: 022-22723677
Investor Services email id.: is@bseindia.com
Investor Services Tel. No.: 022 22728097
E-mail id: stanies.crasto@bseindia.com

NSE Limited (NSE)

Tel. No.: 022 2659 8190 / 1800220058
Investor Services email id.: ignse@nse.co.in

MCX

Tel. No.: 022 67318888/ 66494151
Investor Services Email id: grievance@mcxindia.com

CDSL

Tel.: 18002005533
E-mail Id: complaints@cdslindia.com

PROPRIETARY TRADE DECLARATION

Disclosure in Terms of SEBI Circular No. SEBI/MRD/SE/CIR-42/2003 dated November 19, 2003 **SVCM SECURITIES PRIVATE LIMITED** besides doing client based business also does its own investment and/or trading. "Proprietary Trading Disclosure noted".

KRA & CERSAI REGISTRATION DETAILS

Already Registered with KRA? Yes No

Name of the KRA and registration details (✓ Tick whichever is applicable)

NDML CVL DOTEX CAMS KARVY

KRA Status: _____ Date of Registration: ____/____/____

Already Registered with CERSAI? Yes No

CKYC Number: _____ Date of Registration: ____/____/____

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (Please submit the KYC documents on A4 size paper only)

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy 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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

1. UID/Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance

Copy/Unique Identification Number (UID) (Aadhaar).

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.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: **Mother's name, Spouse's name, Father's name.**

B Clarification / Guidelines on filling 'Current address details' section

- 1 In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address'.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

TRADING ACCOUNT RELATED DETAILS

MANDATORY

A. BANK ACCOUNT(S) DETAILS

Bank - 1
Bank Name
Branch
Address
Account No.
Account Type: <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____
MICR Code: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
IFSC Code (for RTGS) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Bank - 2
Bank Name
Branch
Address
Account No.
Account Type: <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____
MICR Code: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
IFSC Code (for RTGS) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

B. DEPOSITORY ACCOUNT(S) DETAILS

Demat - 1
Depository: <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
DP Name
Beneficiary Name
DP ID: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
BO ID: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Demat - 2
Depository: <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
DP Name
Beneficiary Name
DP ID: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
BO ID: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

C. TRADING PREFERENCES

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchanges		Segments		
BSE	Cash	<input checked="" type="checkbox"/>	MF	<input checked="" type="checkbox"/>
	F&O	<input checked="" type="checkbox"/>	MF	<input checked="" type="checkbox"/>
NSE	Cash	<input checked="" type="checkbox"/>	Currency Derivatives	<input checked="" type="checkbox"/>
	F&O	<input checked="" type="checkbox"/>	MF	<input checked="" type="checkbox"/>
MCX	Futures	<input checked="" type="checkbox"/>	Options	<input checked="" type="checkbox"/>

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.

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 _____

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.



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. Self-certified 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. (Not more than 4 months old)
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. 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:
 - a. Form need to be initialized by all the authorized signatories.
 - b. 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.

A. Refusal of orders for "Penny Stocks"

Although, the term "Penny Stock" has not been defined by BSE/NSE or any other stock exchange or by SEBI, a "Penny Stock" generally refers to a stock which has following characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid

(A list of illiquid securities is jointly released by BSE/NSE from time to time.)

SVCM SECURITIES PRIVATE LIMITED recognizes that it is the client's privilege to choose shares in which he/she would like to trade. However, SVCM SECURITIES PRIVATE LIMITED would like to pay special attention to dealing in "Penny Stocks". To this end:

- SVCM SECURITIES PRIVATE LIMITED may refuse to execute any client's orders in "Penny Stocks" without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny Stock" should be referred to Head - Dealing before such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny Stock" does not result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny Stock" does not operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in "Penny Stocks" at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of SVCM SECURITIES PRIVATE LIMITED
- Notwithstanding the above, in case of sale of "Penny Stocks", clients should ensure the delivery of shares to SVCM SECURITIES PRIVATE LIMITED before the pay-in date.
- SVCM SECURITIES PRIVATE LIMITED reserves the right to refuse or restrict the execution of any transaction requests of the Client on certain stocks depending on various conditions like volume, value, illiquidity, even though a client may have credit balance or sufficient margin in the trading account or restrictions in Z group/T group or restrictions on ASM/GSM securities appearing in SMS list.

b. Setting up client's exposure limit

- Exposure limit for each client is determined by the Risk Management Department based on client's networth information, financial capacity, prevailing market conditions and margin deposited by client in the form of funds / securities with SVCM SECURITIES PRIVATE LIMITED These limits may be set exchange-wise, segment-wise, and scrip-wise.
- The limits are determined by Risk Management Department based on the above criteria and the payment history of the client in consultation with Sales/Sales traders.
- SVCM SECURITIES PRIVATE LIMITED retains the discretion to set and modify, from time to time, any client's exposure limit decided as above.
- Whenever any client has taken or wants to take exposure in any security, SVCM SECURITIES PRIVATE LIMITED may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients will be told to reduce the position immediately or they will be requested to deposit extra margin to meet the shortfall. Otherwise, SVCM SECURITIES PRIVATE LIMITED may refuse to trade on behalf of such client at its own discretion.

c. Applicable brokerage rate

- Brokerage Rate is mutually decided between the SVCM SECURITIES PRIVATE LIMITED and each client based on client's networth, expected trading volume, etc. The maximum brokerage chargeable will not exceed the rates prescribed by SEBI and the exchanges.
- The applicable brokerage rate is mentioned in the Client registration form and any change in the brokerage rate in future will be communicated to the client in writing.

d. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on the part of the client in satisfying his / her margin obligation or settlement obligation then

SVCM SECURITIES PRIVATE LIMITED shall levy delayed payment charges at the rate of 1.5% p.m. on such shortfall for the period of delay on such client. SVCM SECURITIES PRIVATE LIMITED shall recover such delayed payment charges from the client by debiting the client's account.

- No interest or charges will be paid by SVCM SECURITIES PRIVATE LIMITED to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.
- e. **Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues.**

We refer to the **SEBI circular No. CIR/HO/MIRSD/DOP/CIR/P/2019/75** on "Handling of Clients' Securities by trading Members/ Clearing Members" dated **June 20, 2019** read in line with the updated FAQ's dated 27th Sep 2019, which will be in effect from 1st October 2019. To view this circular SEBI Circular it has necessitated a change in policy and procedures with respect to retention/ handling of securities and square off policy. We hereby communicate the modification in our existing policies and procedures.

Securities handling/ retention policy:

- 1) Entire Securities received in settlement payout will be transferred to the client beneficiary owner account(BO), if the total amount outstanding from the client is realized in full by way of receipt of clear funds, considering the future obligation of unsettled transaction and margin payable on the same.
- 2) In case of partial payment, all the securities shall be retained, however, based on client instruction subject to retention of securities as a collateral for the amount outstanding, excess securities will be transferred to client BO account after applying prevailing hair cut as per scrip category as determined by SVCM SECURITIES PRIVATE LIMITED
- 3) (a) Clients securities shall be transferred to the CLIENT BENEFICIERY a/c via direct payout or transferred to the " Client Unpaid Securities Account" (CUSA) depending on the discretion of the stock broker. No securities shall be kept in the CUSA beyond 5 days from the date of payout.
(b) We may, however, at our discretion, transfer the unpaid securities to Client BO account in case the client is having BO account with SVCM SECURITIES PRIVATE LIMITED and has executed POA of the demat account for transferring securities against obligation, in favour of SVCM SECURITIES PRIVATE LIMITED
- 4) In the event of non-payment, within 5 trading days from the date of pay-out, in proportion to the amount not received and after taking into account any amount lying to the credit of the client, it will be the Broker's discretion to either DISPOSE - OFF/SELL the securities. The balance shall be transferred to the Client Beneficiary Account.
- 5) As the SEBI Circular No.CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20th 2019 read in line with the updated FAQ's dated 27th Sep 2019 mandates liquidation of securities in case of non-payment within 5 working days from the pay-out date, NO PRE-ORDER TRADE CONFIRMATION is required for the same. The Shares lying in the CUSA shall be sold on FIFO basis.
- 6) The client may want to sell some other securities lying in their respective demat account within the 5 days from the payout instead of the securities lying in the CUSA. In this case the client shall do an EARLYPAYIN of these securities to the "Pool Account" of the Broker and give a written consent duly signed by the Trading Account holder for the same. Only after these securities are disposed-off and the formalities are completed to the satisfaction of SVCM SECURITIES PRIVATE LIMITED, the securities in the CUSA shall be transferred to the "Client Beneficiary Account".
- 7) It shall be noted that SVCM SECURITIES PRIVATE LIMITED shall not allow the client to initiate a buy trade as further exposure shall not be allowed if the old debit is not realized in full by way of receipt of clear funds in the bank account of SVCM SECURITIES PRIVATE LIMITED or by way of realized payout as a result of liquidation by the Trading Member read in line with the para 2(d) of the SEBI Circular ref No.CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20th 2019 and the FAQ dated 27/09/2019 pt 19 page 7.
- 8) "Client Collateral Account" shall be used for the purpose of holding clients securities for margin purposes or for transferring to the Clearing Members. These securities held in the "Client Collateral Account" shall be released to the clients along with their funds' settlement (i.e. once in every 30/90 days after making the necessary retention in accordance with NSE circular NSE/INSP/36889) dated Feb 2nd 2018. The broker shall retain 225% of securities in client margin a/c in case of debit.
- 9) In case there is a shortfall after the selling of securities from the CUSA the client shall be liable to pay the balance.

- 10) Securities can be transferred from "Client Collateral Account " or " CUSA" to the "Pool Account" for selling the securities.
- 11) In exceptional scenario, where inter-depository transfer is not available i.e. SGB, G-sec,... the client will have to open an account in the relevant Depository.

Square off policy:

- 1) Open positions in CM segment may be squared off on T+7 days in either of following circumstances to the extent of due debit and unsettled obligation amount if any;
 - Ledger Account is in debit for 5 continues days and payment is not realized by the T+6th day, or
 - Securities Remain unpaid on clear fund basis for T+7 days, or
 - Total asset cover (Including shares in BO POA account offered as collateral) to debit falls below 120% on real time basis)
- 2) Payment made to SVCM SECURITIES PRIVATE LIMITED will be recognized and credited on real time basis such payments made need to be informed to accounts department.
- 3) In case of square off, securities available in unpaid securities account/ client collateral account(s) may be sold proportionate to the outstanding amount or based on liquidity/ depth in market on a FIFO basis.
- 4) On the day of square off, Client will be put on square up mode/100% margin without collateral margin benefit. No fresh exposure will be allowed on square off days unless on receipt of clear funds.

Ledger balance for the purpose will be considered on the basis of realized balance excluding unclear cheque credit. However, management at their sole discretion may take any informed decision to deviate from the aforementioned policy in certain instances on a case to case basis.

f. Shortages in obligations arising out of internal netting of trades.

- To determine the net obligation of a broker / trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. Due to default by one or more clients in fulfilling their obligations towards the broker, the broker internally might have shortages to fulfill its obligations towards the other client(s). In such situation, SVCM SECURITIES PRIVATE LIMITED shall endeavor to collect the securities from the selling client and deliver it to the purchasing client within 48 hours of the settlement date. In case the selling client is not able to deliver the securities within 48 hours, then SVCM SECURITIES PRIVATE LIMITED shall attempt to purchase the security from the market and deliver it to the purchasing client. The purchase cost as well as all the incidental charges shall be debited to the account of the defaulting client. If SVCM SECURITIES PRIVATE LIMITED is not able to procure the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and debited to the selling client.

g. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client.

SVCM SECURITIES PRIVATE LIMITED shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- There is shortfall in the margin deposited by client with SVCM SECURITIES PRIVATE LIMITED
- If there are insider trading restrictions on the client.
- If there are any unforeseen adverse market conditions or any natural calamity affecting the operations of the market.
- If there are restrictions imposed by the Exchange or the Regulator on the volume of trading outstanding positions of contracts.
- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If SVCM SECURITIES PRIVATE LIMITED has reached its limit in that particular scrip.
- If the client has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the banned period.
- If due to abnormal rise or fall in the market, the markets are closed.

h. Temporarily suspending or closing a client's account based on the client's request.

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, further dealing in such client's account will be blocked.

Whenever trade has to be resumed in any suspended client's account, a request in writing should be made by the client to the management and the management may ask for updated financial information and other details for reactivating such account. After receiving necessary documents, details, etc. and approval from the management, the client account will be reactivated and transaction will be carried out.

- Similarly, any client desirous of closing his / her account permanently is required to inform in writing and the decision in this regard will be taken by the management. After necessary approval from the management, the client code will be deactivated. Only after scrutinizing the compliance requirements and a "no pending queries" confirmation is taken, securities and funds accounts will be settled.

i. Deregistering a Client

SVCM SECURITIES PRIVATE LIMITED may, at its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which SVCM SECURITIES PRIVATE LIMITED may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such client's account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare him / her as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of SVCM SECURITIES PRIVATE LIMITED or may act as detriment to SVCM SECURITIES PRIVATE LIMITED

J. Inactive Client Account

As per the BSE/NSE/MCX circular on "Treatment of Inactive Trading account" dated February 10, 2020, the term "Inactive" refers to such account wherein no trades have been carried out since last 12 (Twelve) months across all Exchanges. Any further trading by "Inactive" client will be allowed only after undertaking sufficient due diligence (including In-person verification) and obtaining updated information related to KYC.

Return of client assets:

SVCM SECURITIES PRIVATE LIMITED shall settle all client's account on monthly or quarterly basis (as per the client preferences) in the manner prescribed from time to time. In case SVCM SECURITIES PRIVATE LIMITED is unable to settle the client account due to non-availability of client's bank account and demat account details and non-traceability of client, SVCM SECURITIES PRIVATE LIMITED will make all efforts to trace the client to settle their funds and securities lying with SVCM SECURITIES PRIVATE LIMITED

Further in cases where SVCM SECURITIES PRIVATE LIMITED is unable to trace such clients in spite of all efforts taken, SVCM SECURITIES PRIVATE LIMITED will open one separate Client Bank/Client collateral Demat account and immediately set aside the funds and securities of these clients in such account.

In case of receipt of any claims from such clients, SVCM SECURITIES PRIVATE LIMITED shall settle the accounts immediately and make the payment/delivery to the respective clients only.

Any outstanding lawful dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication.

I/We have fully understood the above and do hereby sign the same. These policies and procedures may be amended unilaterally by the broker, Return of client's funds & securities aspect, provided the amendment is informed to me / us as per applicable laws, rules & regulations of Exchange/SEBI by any approved mode of communication and also uploading the revised policy on the website of the member. These policies and procedures shall always be read be compulsorily referred to while deciding any dispute or claim between me/us and broker any regulator or arbitrator or court of law.



(Signature of the constituent)

Brokerage and Schedule of Charges

MANDATORY

Further, I agree to the following terms of doing business:

Particulars	Cash Segment		Futures			Options			MCX		
									Futures	Options	
	Min (₹/Paise)	Max %	Min (₹/Paise)	Min Per Lot ₹	Max %	Min (₹/Paise)	Min Per Lot ₹	Max %	Min (₹/Paise)	Min Per Lot ₹	Max %
Single Side											
Both Sides											
Delivery											

- Note:**
- 1) Inter settlement arising out of purchase and sale transactions affected by constituent shall be debited to constituent account.
 - 2) Statutory and Exchange Charges:
 - a) Securities Transaction Charges, SEBI Turnover Fees, Transaction Charges shall be levied as per the prevailing rate;
 - b) Statutory levies including but not limited to GST & Stamp duty shall be levied as per the prevailing rate;
 - c) The above rates are subject to change by the Regulatory Authorities and Government Agencies
 - 3) Charges for issue of Duplicate Contract, Bills, statements etc Rs. 50/- per document type.
 - 4) Cheque Bounce/ Stop Payment charges Rs. 500/- + Taxe per cheque.
 - 5) Brokerage shall not exceed maximum permissible limit as per rules & regulations of Exchange / SEBI.
 - 6) Delay Payment Charges On Outstanding Bill Amount If Not Paid Within Due Date :
1.5 % Per Month (Levied Every 15 Days)
 - 7) Trading Software Charges : Pessio iTrade desktop application: Rs.500/- pa + Taxes. Mobile application FREE.
 - 8) Rs. 20 + GST , Per debit instruction for utilization of NSE/BSE CUSA Pool Accounts.
 - 9) On trading a/c service charge of Rs 8/- + GST would be charged monthly



Signature of the Client _____

RUNNING ACCOUNT AUTHORISATION

VOLUNTARY

SVCM SECURITIES PRIVATE LIMITED

B - 702 Divine Jalpa, Jambli Galli,
Borivali (West), Mumbai - 400 092.

Dear Sir,

Re: Running Account Authorisation

In order to facilitate operations of my/our trading account opened, I/We would like to authorise SVCM Securities Private Limited (hereinafter referred as "SVCM") to maintain running account, instead of settlement to settlement clearance of funds due to me/us. I hereby authorise SVCM to maintain a running account.

I/We would be like the mandatory settlement of funds (if applicable), as to be made to me/us on the basis indicated below. (Tick against your preference)

Once in a Quarter Once in a Month

Such settlement will be done by SVCM on any day at its discretion in a calendar Month or Quarter as the case may be.

Margin liability as on the date of settlement of running account, in all segments and additional margins (maximum upto 125% of total margin liability on the day of settlement). The margin liability shall include the end of the day margin requirement excluding the MTM and pay-in obligation, therefore, TM may retain 225% of the total margin liability in all the segments across exchanges.

For the clients having credit balance, who have not done any transaction in the 30 calendar days since the last transaction, the credit balance shall be returned to the client by TM, within next three working days irrespective of the date when the running account was previously settled.


I/We further agree and confirm that such periodic settlement of Running Account may not be necessary, either on a monthly or Quarterly basis, If I/We:

- Are availing margin trading facility as per SEBI circulars.
- Have provided funds received towards collaterals/margin in the form of bank guarantee (BG)/Fix Deposit Receipt (FDR).

I/We have noted that Authorized person is not permitted to accept client's funds and securities. The TM should keep a proper check.

I/We am/are aware that the authorization may be revoked by me/us any time at my/our own discretion without any advance notice. SVCM may release the funds to me/us on my/our on settlement date or on request or on revocation of authority, if sufficient margins in respect of my/our trading, across the Stock Exchange(s) and across the segment of the Stock Exchange(s) are available with SVCM.

First Holder/ Authorised Signatory

Name	
Signature	

Note: The authorisation shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.

AUTHORISATION FOR COMMUNICATION IN DIGITAL FORMAT**VOLUNTARY**

From: _____

Date: _____

To,

Dear Sirs,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail

I / We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE, NSE, MCX & CDSL with you, in terms of the mandatory and voluntary client registration document entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
You can also send me/us my/our margin statement in digital form with contract notes.
2. I / we undertake to check the contract notes and bring the discrepancies to your notice within reasonable time of such issuance of contract notes. My /our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, or bouncing of email contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: grievances@svcm.in
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an interval of 1 year. If the client intends to view the digital contract notes for a period prior to 1 year client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time in writing.
10. Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note at the e-mail ID of the client.
11. Any change in the E-mail ID shall be communicated by us / me through a physical letter.

Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____


My/Our Alternative E-mail ID _____

I understand that any change in the above email ID can be made by you only against a physical letter personally signed by me, or alternatively if the request is made through the password protected secured access as provided on your website. I undertake to check the electronic contract notes regularly and bring the discrepancies, if any to SVCM Securities Pvt. Ltd. notice within reasonable time of issuance of such digital contract notes.

I also understand that Non-Bouncing of the Electronic Contract Notes (ECN) shall be construed as a valid deemed delivery of the digital contract notes and other electronic documents sent to me, and you shall send physical contract notes to me only in case of any ECN's bounced back to you from my email id.

Failure on my part to check/verify the contract notes on regular basis shall not be a reason for disputing the digital contract note at any time and the payment obligations and transactions and trades shall be adhered to and cleared by me.

First Holder/ Authorised Signatory

Name	
Signature	

Family Declaration - Email/ Mobile Updation in Family Codes
(Compulsory in case having common email & mobile in more than one account in SVCM Securities Pvt. Ltd.)

To,
SVCM SECURITIES PVT. LTD.

Date: _____

B - 702 Divine Jalpa, Jambli Galli, Borivali (West),
Mumbai - 400 092.

Dear Sir/Madam,

Subject: Family Declaration for registering common Mobile / Email details

I request you to register the following mobile number and/or email id in my demat and/or trading account(s) to be opened with you.




Mobile No.: _____ Email ID: _____

I and my family members hereby request that mobile number and email id, as mentioned above shall be considered in your records for the purpose of receiving communication from SVCM Securities Pvt. Ltd. or Stock Exchanges/ Depositories with regard to trading/demat transactions executed by me/us through SVCM Securities Pvt. Ltd.

This facility shall be provided to me/us as an additional, for my/our convenience of receiving transaction details at a single mobile number and e-mail id. I/We understand that this facility is availed only by the family members where "family" means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines).

Sr. No.	Client Name	Trading Code	BO ID	Relationship	Signature
1.				Self	
2.				Dependent Parent - Mother	
3.				Dependent Parent - Father	
4.				Spouse	
5.				Dependent Daughter	
6.				Dependent Son	
7.					
8.					

Thanking You,

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

(in case of demat account having joint holders, all holders need to sign)

SVCM SECURITIES PRIVATE LIMITED

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

DP ID - 12091200 • SEBI REGN. NO.: IN-DP-557-2021

Corporate Office: B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.

Tel.: 022-29700321 • E-mail: dp@svcm.in

Additional KYC Form for Opening a Demat Account (Individual)

(To be filled by the Depository Participant)

Application No.	Date
DP Internal Reference No	
DP ID	Client ID
1 2 0 9 1 2 0 0	0 0

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

I / We request you to open a demat account in my / our name as per the following details: -

Holders Details

Sole / First Holder's Name	PAN	
	UID	X X X X X X X X X
Exchange Name & ID	UCC	
Second Holder's Name	PAN	
	UID	X X X X X X X X X
Third Holder's Name	PAN	
	UID	X X X X X X X X X

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

Type of Account	(Please tick whichever is applicable)		
Status	Sub - Status		
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Others (specify)	<input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI-Repatriable Promoter <input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign - National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify)

Details of Guardian	(in case the account holder is minor)	
Guardian's Name		PAN
Relationship with the applicant		

I/We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No

Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No

I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

I/We wish to receive dividend/interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

NOMINATION FORM

Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts – Extension of timelines and relaxations for existing account holders] (To be filled in by individual applying singly or jointly)

TM/DP Name & Address	SVCM SECURITIES PRIVATE LIMITED B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.										Nomination Registration No.				Dated															
Date	D	D	M	M	Y	Y	Y	Y	DP ID	1	2	0	9	1	2	0	0	Client ID	0	0										
I/We wish to make a nomination. [As per details given below]																	UCC													
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 1st Nominee							Details of 2nd Nominee							Details of 3rd Nominee									
1. First Name																														
Middle Name																														
Last Name																														
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)																														
4. Address of Nominee(s)																														
City																														
State																														
Pin																														
Country																														
5. Mobile No./Tele. No. of nominee(s)#																														
6. E-mail ID of nominee(s)#																														
7. Nominee 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 <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																														
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																														
8. Date of Birth (in case of minor nominee(s))							D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y
9. Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																														

10. Address of the Guardian(s)			
City			
State & Country			
Pin			
11. Mobile/Tele. no. of Guardian#			
12. E-mail ID of the Guardian#			
13. Relationship of the Guardian with the Nominee			
14. Guardian 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 <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature*			

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

Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

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).

Declaration Form for opting out of nomination

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

To, TM/DP Name & Address	SVCM SECURITIES PRIVATE LIMITED B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.
Date	D D M M Y Y Y Y DP ID 1 2 0 9 1 2 0 0 Client ID UCC

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature			

Details of the Witness applicable for both Annexure A & B (Required only if the account holder affixes thumb impression, instead of signature)

Names of Witness	
Address of Witness	
Signature of Witness	

----- (Please Tear here) -----

Received nomination from:

ACKNOWLEDGEMENT RECEIPT

DP ID	1 2 0 9 1 2 0 0	Client ID	0 0	UCC
Name				
Address				
Nomination in favour of				
First Nominee				
Second Nominee				
Third Nominee				
No Nomination	<input type="checkbox"/> Does not wish to nominate			
Registration No.	Registered on	D D M M Y Y Y Y		

For **SVCM SECURITIES PRIVATE LIMITED**



Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at Marathon Futurex, A-Wing, 25th Floor, N.M. Joshi Marg, Lower Parel, Mumbai-400013 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Sole / First Holder

Second holder

Third Holder

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/ transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BOID

1	2	0	9	1	2	0	0		0	0						
---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+91																
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____
(Please write only ONE valid email ID on which communication; if any, is to be sent)

 _____  _____  _____
 Signatures Sole / First Holder Second holder Third Holder
 Place: _____ Date: _____

DEMAT DEBIT AND PLEDGE INSTRUCTION

VOLUNTARY













Date: __/__/__

Unique Client Code																
BO ID	1	2	0	9	1	2	0	0	0	0	0	0				
Name of First Holder																
Name of Second Holder																
Name of Third Holder																

To,
SVCM SECURITIES PVT. LTD.
 B-702, Divine Jalpa,
 Jambli Gali, Near Jain Temple,
 Borivali (W), Mumbai - 400092.

Sub: Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities as per SEBI circular SEBI/ HO/ MIRSD/ DoP/ P/ CIR/ 2022/ 44 dated April 4, 2022 on Execution of Demat Debit and Pledge Instruction' (DDPI).

1. I/We hereby execute Demat Debit and Pledge Instruction' (DDPI) in the favour of SVCM Securities Pvt. Ltd. and agree to authorize them to access my/our BO Account specified above for the limited purpose of settlement/ margin obligation as specified below:





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

2. List of Beneficial Owner Accounts that the Member is entitled to operate with DDPI are as follows*:

Sr. No.	Exchange/ Segment	Account Type	DP Name - SVCM Securities Pvt. Ltd.															
			Demat Account Number															
1	BSE CM	Pool	1	2	0	9	1	2	0	0	0	0	0	0	0	0	3	7
2	BSE CM	Early Pay-in	1	1	0	0	0	0	1	0	0	0	0	2	4	4	5	1
3	BSE CM	Principal	1	2	0	9	1	2	0	0	0	0	0	0	0	4	1	
4	NSE CM	Pool	1	2	0	9	1	2	0	0	0	0	0	0	0	5	6	
5	NSE CM	Early-Pay-in	1	1	0	0	0	0	1	1	0	0	0	2	1	2	6	7
6	All	Client Sec. Margin Pledge	1	2	0	9	1	2	0	0	0	0	0	0	0	9	4	
7	BSE CM	Pool NSDL	I	N	3	0	0	9	6	6	1	0	9	7	8	4	9	5
8	NSE CM	Pool NSDL	I	N	3	0	0	9	6	6	1	0	9	7	8	4	8	7
9	All	Client Sec. Margin Funding	1	2	0	9	1	2	0	0	0	0	0	0	1	4	3	1

*Any modification, deletion or addition in the above account shall be intimated to me/ us separately.

3. The authorization provided by DDPI shall be applicable for all transactions specified herein from the date of applicability as specified by SEBI/ Exchange.

	First/Sole Holder	Second Holder	Third Holder
Signature 			

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

DP ID	1	2	0	9	1	2	0	0	Client ID	0	0	0				
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--

To,
SVCM Securities Private Limited
 B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.

Dear Sir/Madam,

I/We hereby state that: [Select one of the options given below]

OPTION 1:

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my/our CDSL account though I/we have issued a Power of Attorney (POA)/registered for eDis/executed PMS agreement in favour of/with _____ (name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member/by PMS manager/for executing delivery instructions through eDIS.

OR

OPTION 2:

I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a POA/ registered for eDis/executed PMS agreement in favour of/with _____ (name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member/by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

Yours faithfully,



 First/Sole Holder



 Second Joint Holder



 Third Joint Holder

BSDA DECLARATION

To,
SVCM Securities Private Limited
 B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092. Date: _____

Dear Sir/Madam,

I/We do not want to avail the BSDA (Basic Services Demat Account) facility in respect of my/our below mentioned demat account with you.

I/We wish to avail the BSDA facility for my/our below mentioned demat account number

DP ID	1	2	0	9	1	2	0	0	Client ID	0	0	0				
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--

	Name	PAN
Sole/First Holder		
Second Holder		
Third Holder		

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/we also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first/Sole holder also hereby declare that I do not have/propose to have any other demat account across depositories as a first/sole holder.



 First/Sole Holder



 Second Joint Holder



 Third Joint Holder

ELECTRONIC STATEMENT OF ACCOUNT MANDATE

To,

SVCM SECURITIES PRIVATE LIMITED

B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.

Re: - Beneficial Owner (BO) Account No. _____

I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.




I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation to provide me/us with statement of my/our BO account. But I/We reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

(Email address: _____)

I/We confirm that any change in the aforesaid email address or any other instruction with regard to dispatch / service of my/our statement on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours Faithfully,

Name/s of the Beneficial Owner/s

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

TARIFF STRUCTURE

Nature of Charges (effective 01.04.2022)	Rate
Demat Account Opening Charges (One Time)	Rs. 0 (Free)
Demat Account Annual Maintenance Charges AMC	Non BSDA Individual Clients ` 600/- per year. Non-Individual Clients ` 1500/- per year. (Charged Yearly Upfront)
Demat Account Annual Maintenance Charges AMC	Non BSDA (Basic Services Demat Account) Clients - Holding Value Less Than 50,000: NIL - Holding Value Between 50,000 To 2,00,000 ` 100 + Tax/year
Franking/POA, KRA, CKYC, ESignature Charges	As per actuals.
Email Statements / Contract Notes	Free
Dp Charges	Rs. 20 Per Debit Transaction. + Taxes Rs. 50 Per Debit Transaction For BSDA Clients + Taxes
Pledge Creation / Closure/Invocation	Rs. 25 Per Debit Transaction + Taxes Rs. 50 Per Debit Transaction For BSDA Clients + Taxes
Demat	Rs. 100 for upto first hundred securities and thereafter Rs. 50 for every hundred securities + Taxes Courier/Postage charges additional.
Remat	Rs. 100 for upto first hundred securities and thereafter Rs. 50 for every hundred securities + Taxes. Courier/Postage charges additional.
DIS Booklet (new request)	Rs. 50 + Taxes. Couries/Postage charges additional
Additional CML Copy (Print Out)	Rs 20 + Taxes. Courier/Postage charges additional.

Note:

- Maintenance charges will be charged in advance at the time of opening the account.
- Stamp Duty, GST, Education Cess & Other Statutory Levies (If Any) will be charged as applicable.
- Tariff is Subject To Change. Changes if any will be intimated 30 Days in Advance.
- Bounce/Return cheque charges Rs.500 per instance.
- Periodic statement on email is free, for printing Rs.50/- or actual postage charges.
- Non Periodic statement shall be charged Rs.5/- per page and postage/courier charges Rs.50/- or actual whichever is higher.

_____
First/Sole Holder_____
Second Joint Holder_____
Third Joint Holder

DEBIT AUTHORIZATION LETTER

VOLUNTARY

From: _____

Date:

To

SVCM SECURITIES PRIVATE LIMITED

B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.

Dear Sir,

SUB: LETTER OF DEBIT AUTHORISATION:

I am client of SVCM SECURITIES PRIVATE LIMITED having client code _____ & I hereby willfully & unconditionally issue following debit authorisation:-

I am agreeable and authorise you to debit my client code _____ towards DP Charges and Annual Maintenance Charges (AMC).

Thanking you,

Yours Faithfully,



Signature

(please sign with stamp of the firm if applicable)

**INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002
(APPLICABLE TO INDIVIDUAL CLIENTS - FIRST HOLDER)**

CLIENTS DETAILS

Experience	Number of years of Investment / Trading Experience <input type="checkbox"/> <input type="checkbox"/> Any other Information
Education	<input type="checkbox"/> Non-Metric <input type="checkbox"/> SSC/HSC <input type="checkbox"/> Graduate <input type="checkbox"/> Lawyer <input type="checkbox"/> Other Specify
Residential Details	<input type="checkbox"/> Owned <input type="checkbox"/> Rented
Source of Income (Fund Details)	Do you intend to invest in stock market with: <input type="checkbox"/> Own Funds <input type="checkbox"/> Borrowed Funds a) Primary Source <input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Other Specify _____ b) Secondary Source <input type="checkbox"/> Royalties <input type="checkbox"/> Rental <input type="checkbox"/> Dividend <input type="checkbox"/> Other Specify _____

DETAILS OF RELATIVES, HAVING ACCOUNT WITH SVCM SECURITIES PVT. LTD.
(use Additional Sheet if more than 1 relatives having A/c.)

Name	
Relationship	
UCC	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
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at the time of account opening

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with SVCM Securities Pvt. Ltd.

For SVCM SECURITIES PVT. LTD.

Authorised Signatory

**COMMODITY OPTION TRADING ACTIVATION FORM
(To be taken on letter head in case of Non-Individual client)**

To,
SVCM Securities Private Limited
B - 702 Divine Jalpa, Jambli Galli,
Borivali (West), Mumbai - 400 092.


Date: _____

Dear Sir/Madam,

I/We, a client (client code) of M/s. SVCM Securities Private Limited do hereby undertake that I/We wish to trade in Commodity Options subject to regulatory requirements of the Exchange and SEBI from time to time.

I/We have read and understood Additional Risk Disclosure documents for Options Trading about Risk of Option Holders and Risk of Option Writers as per attached **ANNEXURE 1**.

Yours Faithfully,

Name	
Signature	

(Note: In case of Corporate/ Trust, a resolution from Board of Directors/ Trustees clearly stating that the Corporate/ Trust are authorized to trade in Commodity Options and they intend to trade in Commodity Options on Multi Commodity Exchange of India Limited)

ANNEXURE - 1

ADDITIONAL RISK DISCLOSURE DOCUMENTS FOR OPTION TRADING

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.

Risk 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.

Signature	
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To, **Authorization for Electronic Contract Note [ECN] - Declaration**
SVCM Securities Private Limited

VOLUNTARY

B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.

Sub: Authorization for Electronic Contract Notes & Acceptance for Electronic Communication:


Dear Sir / Madam,

_____ a client with Member M/s. SVCM Securities Private Limited ed of MCX Exchange undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I/myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out I ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is * _____.
This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note of the above e-mail ID.

{The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.}

*(The email id must be written in own handwriting of the client.)

Name	
Signature	

VOLUNTARY

APPLICATION FOR INTERNET BASED TRADING (IBT) & SECURITIES TRADING THROUGH WIRELESS TRADING (STWT)

Date: _____


Branch/ AP Code :

Branch/ AP Name:

User Name	_____		
	(First Name)	(Middle Name)	(Last Name)
Unique Client Code:	_____		
Login ID required	<input type="checkbox"/> PESSO MOBILE APP	<input type="checkbox"/> PESSO I-TRADE DESKTOP APP	
(✓ Tick as appropriate)			

Declaration:

- 1) I/ We agree with the terms and conditions specified in Rights and Obligations in respect of IBT and STWT.
- 2) I agree to take all necessary measures for security of User ID and Password. Further, I agree to indemnify for all transactions done through my user ID.
- 3) I/ We have read the Risk Disclosure Document (RDD), Guidance Note, Policies and Procedures. Further, I/We have read and understood the standard set of documents displayed for the information on stock broker's designated website.

Name	
Signature	

DECLARATION OF OPEN POSITION**MANDATORY**

To,

SVCM Securities Private Limited

B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.

Sub: My request for trading in commodity forward contracts/commodity derivatives on MCX as your client

Dear Sir/Madam,

I/We the undersigned have taken cognizance of circular no. MCX/338/2006 dated December 7, 2006 on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circular of NCDEX as modified from time to time.


I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms /companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

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

In this connection I/We hereby submit the details of the entities with which I am related.

Sr. No.	Trading Member Name	Client Code	Name	Related As

Yours faithfully,

Name	
Signature	

Acknowledgement

To,

SVCM Securities Private Limited

B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.


I/We hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:

- Account Opening Form
- Tariff Sheet
- Right and Obligations of Equity Market, Commodity Brokers, Authorised Person and Clients
- Risk and Disclosure document for Equity Market and Commodity market.
- Policies and Procedures
- Option Trading Form and Additional Risk Disclosure Document related to option trading.
- Guidance Note - Do's and Don'ts for trading on the Exchange(s) for Investors.
- Other disclosure/documents as agreed by me specifically in voluntary segment.

I/We am/are abiding by these terms & conditions. I/we reconfirm that I/we, Equity and Commodity Broker shall refer any claim and/or disputes with respect to trade, deposits, margin money, etc to arbitration as per the Rules, Byelaws, and Regulation of the Exchanges and the circulars/notices issued there under as may be in force from time to time.

I also confirm that it is informed that the Risk Disclosure Document, Right and Obligations, Do's and Don'ts and other relevant documents are also available on member's website.

Yours faithfully,

Signature	
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DECLARATION FOR COMMODITY-WISE CATEGORIZATION
(To be taken on letter head in case of Non-Individual client)

MANDATORY

To,

SVCM SECURITIES PVT. LTD.

B - 702 Divine Jalpa, Jambli Galli, Borivali (West), Mumbai - 400 092.

Date: _____

Ref: Client Code: _____

Dear Sir/Madam,

Subject: Declaration for categories of participant for each commodity

In pursuant to SEBI circular no. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 04, 2019 on Disclosures by Stock Exchanges for commodity derivatives on their website.

I/We do hereby confirm my/our consent for commodity wise categorization details as below:

Participants Categories (Please tick any one as applicable)	Mention name of interested commodities which are allowed to trade in commodity derivatives markets:
<input type="checkbox"/> Farmer / FPO	
<input type="checkbox"/> Value chain participant (VCP)	
<input type="checkbox"/> Proprietary trader	
<input type="checkbox"/> Domestic financial institutional investor	
<input type="checkbox"/> Foreign participant	
<input type="checkbox"/> Others (All other participants which cannot be classified in the above categories)	

Yours Faithfully,

_____ (Client Name) 

_____ (Client Signature)

Attention Investors....

1. Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 1, 2020.
2. Update your mobile number & email Id with your stock broker/depository participant and receive OTP directly from depository on your email id and/or mobile number to create pledge.
3. Pay 20% upfront margin of the transaction value to trade in cash market segment.
4. Investors may please refer to the Exchange's Frequently Asked Questions (FAQs) issued vide circular reference NSE/INSP/45191 dated July 31, 2020 and NSE/INSP/45534 dated August 31, 2020 and other guidelines issued from time to time in this regard.
5. Check your Securities /MF/ Bonds in the consolidated account statement issued by NSDL/CDSL every month.