EQUITY AND COMMODITY TRADING AND DEMAT ACCOUNT FORM

SAMCO SECURITIES LIMITED
A-1004, 10th Floor, Naman Midtown-A Wing, Senapati Bapat Marg, Prabhadevi, Mumbai-400013
Tel: 9122227777,Website:www.samco.in

SET OF ACCOUNT OPENING DOCUMENT

INDEX OF THE DOCUMENTS

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Checklist while submitting the Trading Application Form

- ☐ **1 Passport Size Photograph – On Page 3.** Signature has to be affixed across the Photograph
- ☐ **PAN Card** - Self Attested Photocopy
- ☐ **Permanent Address Proof : Aadhar card** - Self Attested Photocopy
- ☐ **Bank Proof** - Self Attested Cancelled Cheque with your name printed **OR** Bank Statement stating IFSC & MICR
- ☐ **Income Proof** - Self Attested Photocopy of 6 months Bank Statement or Income Tax Return or Salary Slip or Any other Income Proof
- ☐ **Signatures on 19 areas on the application form**
- ☐ **Signatures on Trading Preference Segments Selected on Page 4 of the Form**
- ☐ **Demat Proof** - Self Attested Photocopy of Client Master Copy or DP Statement or Welcome Letter or Transaction cum Holding Statement of your DP

Name of the Trading Member: SAMCO SECURITIES LIMITED

Exchange	SEBI REGISTRATION NO.& DATE			Trading Member ID
	Cash	F&O	CDS	
NSE	INZ000002535 9 AUG 2012	INZ000002535 9 AUG 2012	INZ000002535 9 AUG 2012	12135
BSE	INZ000002535 15 OCT 2004	INZ000002535 30 AUG 2007		
BSE Star MF	ARN120121			
MSEI	INZ000002535 3 JAN 2013	INZ000002535 3 JAN 2013	INZ000002535 6 OCT 2008	31600
DP-CDSL	IN-DP-CDSL-443-2008		17 DEC 2012	CDSL DP ID:54200
MCX		INZ000002535		55190

Clearing Member Details:

In Cash- BSE, NSE: SAMCO SECURITIES LIMITED
In F&O- BSE, NSE, MCX & In CDS- BSE, NSE: SAMCO SECURITIES LIMITED

	Compliance Officer Details	CEO Details
Name	Mahesh P Morbia	Mahesh P Morbia
Tel No.	9122227777	9122227777
Email Id	compliance@samco.in	mahesh@samco.in

REGISTERED & CORRESPONDENCE OFFICE:
A-1004, 10th Floor, Naman Midtown-A Wing, Senapati Bapat Marg, Prabhadevi, Mumbai-400 013
For any grievance/dispute please contact to the above address or
Email at grievances@samco.in and Tel:9122227777
In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange	BSE	NSE	MCX
Address	Regional Office – West Dept. of Investor Services P.J.Towers,1st Floor,Dalal Street, Fort,Mumbai - 400001	Investor Grievan ce Cell/Arbitration Exchang e Plaza,5th Floor, Plot No.C/1, G Block, Bandra Kurla Complex, Bandra(E), Mumbai-400051	Multi Commodity Exchange of India Limited Exchange Square, SurenRoad, Andheri East, Mumbai-400093,
IG Email Id	is@bseindia.com	ignse@nse.co.in	EmailId:info@mexindia.com
Tel No.	022 22728097	022-26598190(IGC) 022-26598192(Arbitration)	Tel.No.:02267318888/6490000

FILING COMPLAINTS ON SCORES - www.samco.in >>> scores.sebi.gov.in

To,

SAMCO SECURITIES LIMITED

A-1004, 10th Floor, Naman Midtown-A Wing, Senapati Bapat Marg, Prabhadevi, Mumbai-400 013

Sub: Acknowledgement

I state confirm and declare that I have received the below documents in ☑ Electronic / ☐ Physical Mode and have read, understood, acknowledged and agreed to the contents of all the clauses of the below mentioned documents.

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of SAMCO.

Sl. No	Brief significance of the Document
1.	Duly Executed Copy of KYC
2.	Rights and Obligations
3.	Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies Segments
4.	Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors
5.	SAMCO Tariff Sheet
6.	Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009
7.	General Terms & Conditions governing securities trading and broking services of SAMCO
8.	Demat Account opening form (if any)
9.	Authorisation of documents for DDPI, Running Account Authorisation and electronic receipt of statements and documents
10.	Read SAMCO RMS Policy, Privacy Policy, Legal terms of use and Dislaimer on samco.in/policies

Yours faithfully,

1. 

Client Signature

Date:

Name of the Applicant

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

KYC Mode: ☐ Online KYC ☐ Normal ☐ EKYC OTP ☐ Offline E-kyc ☐ Digilocker

☑ New ☐ Change Request (Please fill this form in **ENGLISH** and in **BLOCK LETTERS**)

(Please tick the box on left margin of appropriate row where the CHANGE/CORRECTION is required and provide the details in the corresponding row)

☐ **A. IDENTITY DETAILS**

Please affix your recent passport size photo and sign across it.

1. Name of the Applicant:*
2. Father's/Spouse's Name:*
3. Mother's Name:*
4. Maiden Name:*
5. A. Gender:* ☐ Male ☐ Female ☐ Transgender B. Marital Status:* ☐ Single ☐ Married
   C. Date of Birth:* / /
6. Nationality:* ☐ Indian ☐ Other (Please Specify)
   Status:* ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory)
7. A. PAN:* B. (UID)/Aadhaar, if any:
8. Proof of Identity Submitted PAN Card

B. ADDRESS DETAILS

1. Correspondence Address:*
   Address Line 1 :
   Address Line 2 :
   Address Line 3 :
   City/Town/Village: PIN Code:
   State: Country:
2. Specify Proof of Address submitted for Residence/Correspondence Address :
3. Permanent Address:* if different from above or overseas address, (mandatory for Non-Resident Applicant)
   Address Line 1 :
   Address Line 2 :
   Address Line 3 :
   City/Town/Village: PIN Code:
   State: Country:
4. Specify Proof of Address submitted for Permanent Address:
5. Contact Details:*
   a. Mobile Number: b. EMAIL ID:
   c. Tel. (Office): d. Tel. (Residence):
6. Any other Information : _____
7. Are you a Tax Resident of any country other than India? ☐ Yes ☑ No

(if yes , please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below)

Country	Tax Identification Number %	Identification Type(TIN or Other , Please specify)

C. DECLARATION

Differently Abled status Flag ☐ Y / ☐ N Type of impairment _____ (to be checked from page 3 of KYC form)

Percentage of impairment _____ UDID number _____ Alpha numberic (2 character and 16 digit)

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/We 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 & CKYCR 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 Aadhar 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.

I/We accord my/our voluntary consent for sharing/fetching/verifying my/our records maintained in Central KYC Registry and KYC Registration Agency

Applicant Signature

Seal &Signature of Authorized Signatory

Date: Place:

TRADING ACCOUNT & DEMAT ACCOUNT (if any) RELATED DETAILS

A. BANK ACCOUNT DETAILS: [for Trading & Dividend Bank Details]

Primary Bank Details

(i) Bank Name: (ii) Branch Name:

(iii) Bank Account No. (iv) IFSC Code:

(v) Account Type: ☐ Savings ☐ Current ☐ Others (vi) In case of NRI Account: ☐ NRE ☐ NRO

(vii) Bank Branch Address:

Secondary Bank Details

(i) Bank Name: (ii) Branch Name:

(iii) Bank Account No. (iv) IFSC Code:

(v) Account Type: ☐ Savings ☐ Current ☐ Others (vi) In case of NRI Account: ☐ NRE ☐ NRO

(vii) Bank Branch Address:

B. DEPOSITORY ACCOUNT DETAILS:

(i) Depository Participant Name:		(i) Depository Participant Name:	SAMCO SECURITIES LTD.
(ii) Depository Name:	☐ NSDL ☐ CDSL	(ii) Depository Name:	☑ CDSL
(iii) Beneficiary Name:		(iii) Beneficiary Name:	
(iv) DP ID:		(iv) DP ID:	12054200
BO ID:		BO ID:	As per client master attached

C. PAST ACTIONS:

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

D. TRADING EXPERIENCE:

No Prior Experience ☐ Years in Equities:

Years in Derivatives: Years in Other Investment related Field:

E. DEALING THROUGH SUB-BROKERS/A.P AND OTHER STOCK BROKERS:

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

Broker/Sub-Broker Name: _____ SEBI Registration Number: _____

Registered Office Address: _____

Phone No. _____ Website: _____

Whether dealing with any other stock broker/sub broker(in case dealing with multiple stock brokers/sub brokers, provide detail of all)

Name of Stock Broker: _____ Name of Sub Broker: _____

Client Code: _____ Exchange: _____

Details of disputes/dues ending from/to such stock broker/Sub Broker: _____

F. ADDITIONAL DETAILS:

(i) Whether you wish to receive (a) Physical contract note ☐ (b) Electronic Contract Note (ECN) ☑

If ECN Specify your Email ID: tradeabhiyt@gmail.com

(ii) Whether you wish to avail of the facility of internet trading/wireless technology/mobile trading: ☑ Yes ☐ No

G. INTRODUCER DETAILS:

Name of Introducer:

Address: _____ Phone No:

Status of the Introducer: Sub-broker/Remiser/Authorised Person/Existing Client: Client ID : /others (please specify)

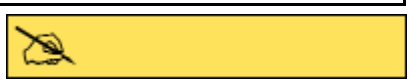
H. TRADING PREFERENCES:

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

Exchanges	**NSE & BSE**				**MCX**
All Segments	Cash / Mutual Fund	F&0	Currency	Debt	Commodity Derivatives

If you do not wish to trade in any of segments / Mutual Fund, please initiate physical account opening

_____.

3. 

SIGNATURE OF APPLICANT

I. OTHER DETAILS (for Trading & Demat (if any))

1. Gross Annual Income range(In Lakh Rs.): Below 1 ☐ 1-5 ☐ 5-10 ☐ 10-25 ☐ Above 25 ☐ AND/OR

Net-Worth in RS. _____ (Net Worth should not be older than 1 year) as on __/____/____

2. Occupation:

Name of the Employer/Establishment: Nature of Business:

Address: Mobile No.:

Designation: Phone No.

3. Qualification Details

4. Please tick, if applicable

Politically Exposed Person(PEP) ☐

Related to a Politically Exposed Person ☐

Not a Politicaly Exposed Person ☐

J. INVESTMENT/TRADING EXPERIENCE

Prior Experience (Write YES/NO)

No.of Years Experience in commodities 0

No.of Years Experience in other investment related fields _____

K. GST REGISTRATION DETAILS
(As applicable, State wise)

GST Registration No. : _____ Other GST Registration No. : _____

Validity Date : _____ Validity Date : _____

Name of the State : _____ Name of the State : _____

L. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI / Stock Exchange / Commodity Exchange/any other authority against the client during the last 3 years :

M. DEALINGS THROUGH OTHER MEMBERS

If client is dealing through any other Member, provide the following details (in case dealing with multiple members, provide details of all in a separate sheet containing all the information as mentioned below)

Member's / Authorized Person (AP)'s Name _____ Exchange _____

Exchange's Registration Number _____

Concerned Member's Name with whom the AP is registered _____

Registered Office Address : _____

Phone No. _____ Fax No. _____ Client Code : _____

Website :_____ Details of disputes/dues pending from/to such member/AP: _____

N. PMLA DECLARATION:

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which is available on the website ww.samco.in and, I declare that I shall adhere to the same.
I further undertake and confirm that;

a. I do not have any links with any known unlawful persons/institutions.
b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

Date

4. 

Place

SIGNATURE OF APPLICANT

DECLARATION for details provided above :

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP and Stock Broker any change(s) in the details / Particulars mentioned by me / us in this form. 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.

Place:

Date:

5. 

SIGNATURE OF APPLICANT

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	FARHAN NAIK		
Employee Code	E0118		
Designation of the employee	SENIOR EXECUTIVE		
Date			
Signature			

Seal & Signature of Authorized Signatory

I/We undertake that we have made the client aware of :Policy & Procedures", tariff sheet and all the non-mandatory documents.I/We have also made the client aware of "Right and Obligations" document(s),RDD and Guidance note. I/We have given /sent him a copy of all the KYC 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 to the clients.

Signature of the Authorised Signatory:_____

Date:_____ Place : _____ Seal/Stamp of the Stock Broker

Date

6. 

Place

SIGNATURE OF APPLICANT

SAMCO TARIFF SHEET

To,
SAMCO SECURITIES LIMITED
A-1004, 10th Floor, Naman Midtown,Prabhadevi, Mumbai-400 013

Charges for SAMCO Trading Services

I/ We agree to pay the charges as per following charges structure for our Trading account with SAMCO effective _____
Client Name Client PAN

Charge Head	Brokerage / Charges					
Equity Intraday	Futures	Options*	Currency Futures	Currency Options*	Commodity Derivatives	MCX
	Rs 20 per executed order or 0.25% of Turnover whichever is lower					
Equity Delivery	Rs 20 per executed order or 2.50% of Turnover whichever is lower					

*Turnover for Options is calculated as (Strike + Premium) *Lot Size

In addition to the brokerage charge the following charges will also be levied

Schedule of Charges:

No	Schedule of charges
1	Exchange turnover charges (These are charges are paid to the exchanges like NSE, BSE, MCX)
2	Securities transaction tax (Government tax for transacting in Securities Market) / CTT-Commodity Transaction Tax
3	GST (Government tax charged on Brokerage and Exchange Turnover Charge)
4	Stamp Duty:State wise stamp duty as applicable will be levied (State Government tax)
5	Clearing Member charges (These charges are paid to the clearing members for Clearing the trades)
6	SEBI turnover fees (These charges are paid to SEBI)
7	Call N Trade charges (For broker assisted trades, including RMS Square off)
8	Demat Charges (As per Schedule Below)
9	Payment Gateway Charges will be applicable at actual cost (Payable to affiliated Payment Gateway) Rs.9/- plus GST

Detailed explanation of the Schedule of Charges is available online at https://www.samco.in/charge-list-equities-and-equity-derivatives

DEMAT CHARGES

Sr No.	Services	Individual
1	Annual Account Maintenance Charges - AMC	Rs.400/- plus GST
2	Deliveries/Debit (Market & Off Market) 1. Within SAMCO DP 2. Outside SAMCO DP (Charges are inclusive of CDSL tariff)	Rs.20/- plus GST per transaction 0.02% on transaction value subject to min. Rs.25/- per transaction plus GST
3	Pledge (Creation/Closure/Invocation)	Rs.30/- per ISIN plus GST (Instant Rs.60/-)
4	Dematerialisation (Coversion of physical certificate to Demat)	Rs.10/- per certification plus Rs.50/- per request towards postal charges plus GST
5	Rematerialization (Conversion of demat shares to physical certificate)	Actual CDSL charges plus Rs.50/- per request towards postal charges plus GST
6	For BSDA account - Value of holdings upto Rs.4Lacs - Value of holdings more than Rs.4Lacs upto Rs.10 Lacs - Value of holdings more than 10 Lacs	 Nil Rs. 100+GST Normal AMC

- All charges mentioned above are inclusive of CDSL Charges.
- Any service, which is not mentioned above, will be charged separately as per the rates applicable from time to time.
- SAMCO reserves the right to revise the tariff structure from time to time with a notice of 30 days.
- Billing will be made on monthly basis.
- In addition all other statutory / regulatory levies such as GST etc. are recovered at the applicable rates from time to time.
- All instruction for transfer must be received at the DP at least 3.30 p.m. for the same day execution date & 5.00 p.m. for next day execution date on the pay in date accepted only at client's risk.
- Operation instruction for the joint account must be signed by all the holders.
- **AMC for the first year is absolutely free, However from the second financial year onwards AMC will be auto debited up-frontly into clients ledger account, subject to credit balance available in ledger, which is Rs.400 plus GST.**

7. 

Client Signature

Date:
Name of the Applicant

VOLUNTARY AUTHORIZATION LETTER

To,

SAMCO SECURITIES LIMITED
A-1004, 10th Floor, Naman Midtown-A Wing,
Senapati Bapat Marg, Prabhadevi, Mumbai-400 013

Dear Sir,

Sub: Voluntary Authorization Letter

1) **Authorization for Electronic Contract Notes (ECN)**

I/We have been/shall be dealing through you as may/our broker on the Capital Market and/or Futures & Options and/or Commodity Segment and/or Currency Derivatives and or Interest Rate Futures Segments. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt to receive contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account /email id on your record for sending the contract notes to me/us: Email:

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account / email id.

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

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that event the request for change in email id/email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

2) **Running Account Authorization**

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

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

2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.

3. I/We request you to settle my funds and securities as per Circulars issued by SEBI/Exchanges from time to time.

- Once in a calendar Month ☐
- Once in every calendar Quarter except the funds given towards collaterals / margin in form of Bank Guarantee and /or Fixed Deposit Receipt ☑

4. In case I/We have an outstanding obligation on the settlement date, you may retain the towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.

5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

6. I/We confirm you that I can revoke the above mentioned authority at any time.

3) **Authorization for Account Modification**

If I/we were to add/modify/remove any of my detail including brokerage plans and segments addition with SAMCO Securities Ltd, I/we authorize you to carry it out based on my request sent through an email to kycsupport@samco.in from my registered email address or intimation through an interface provided by you, whereto I have been allowed secured access.
If you feel the need to do so, then at your own discretion, you may put in place appropriate mechanism to confirm the request before or after its execution by way of a call from a recorded line, or otherwise, personal meeting, SMS or other such other mode as you may deem fit.

4) **Subscription for Margin Against Shares / Margin Trading Facility**

I/We undertake that we have read all the terms and conditions available on the Samco Website (www.samco.in) of Margin Against Shares / Margin Trading Facility and agree & give my consent to subscribe for the said product.

8. 

Client Signature

Name of the Applicant

Date:

MOBILE DECLARATION

Declaration for Mobile No. :

I having PAN do hereby declare that My mobile number is .Further I authorize SAMCO that the same may be used for giving me any information/alert/SMS.

I hereby also confirm that my aforesaid contact no. is not included in the NDNC Registry or in future if I would have activated the said contact number in NDNC Registry, SAMCO shall continue aforesaid facilities without any disturbance.

I hereby indemnify SAMCO against any legal implications in case of "Do Not Disturb" feature being activated by me.

I further declare the above mentioned statement is true & correct.

Date

9. 

Place

SIGNATURE OF APPLICANT

REQUEST FOR TRADING IN COMMODITY FORWARD CONTRACTS / COMMODITY DERIVATIVES

To

I/We, the undersigned, undertake to comply with the guidelines for calculation of net open positions permitted in any commodity.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by Exchange(s) / SEBI and such position limits will be calculated in accordance with the circulars of exchanges as modified from time to time.

I/We undertake to inform you and keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUF's/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 exchanges through you or through any other member(s) of exchanges to enable you to restrict our position/ limit as prescribed by the exchanges 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 exchanges only on the basis of our above assurances and undertaking.

I/We also am/are authorized to trade in Commodity option and hereby given my/our consent for Trading in Commodity Options subject to the regulatory requirements of the Exchange and SEBI from time to time.

Date

10. 

Place

SIGNATURE OF APPLICANT

LETTER OF AUTHORITY (Voluntary)

To,

SAMCO SECURITIES LIMITED
A-1004, 10th Floor, Naman Midtown-A Wing,
Senapati Bapat Marg, Prabhadevi, Mumbai-400 013

Client Name : Client PAN :

Dear Sir,

I/We am/are dealing in commodites with you and in order to facilitate ease of operations; I/We authorize you as under:

1. I/We authorise you to setoff outstanding in any of my accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange(s) and/or against the value of cash margin or other collateral provided to you by me/us.

2. I/We hereby authorise you not be provide order confirmation/modification/cancellation slips and trade confirmation slips to avoid unnecessary paper work. I/We shall get the required details from contracts issued by you.

3. I/We hereby authorize you to keep all the commodity which we give you in margin including the payout of commodity received, to use the commodity for meeting margin/other obligation in SEBI in whatever manner which may include pledging of commodity in favour of bank and/or taking loan against the same of meeting margin/pay-in obligation on our behalf or for giving the same as margin to the SEBI or otherwise.

4. I/We am/are desirous of regularly dealing in commodity market on commodity Exchanges and request you to maintain a running account for funds and commodity on/our behalf without settling the account on settlement of each transaction on my /our behalf. I/We further request you to retain all amounts payable and commodity receivable by me/us until specifically requested by me/us in writing to be settled or to be dealt with in any other manner .I/We understand and agree that no interest will be payable to me/us on the amounts or commodity so retained with you pending periodical settlement.

5. I/We request you to retain credit balance in any of my account and to use the idle fund towards our margin/future obligation of both the Exchange(s) unless I/We instruct you otherwise.

6. I/We request you to retain/commodity/securities/warehouse receipt in your demat account for my/our margin/future obligations at both the Exchanges, unless I/We instruct you to transfer the same to my/our account.

7. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.

8. I/We request that you may send/ despatch my/our contract notes other documents through e-mail on my designated e-mail address: I/We stress that I will not hold you responsible under any circumstances in the event of an e-mail which you send gets bounced due to any reason such as mail box being full, inactive account or due to any technical reason beyond your control.

9. I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of e-mail to me and will not dispute the same.

10. I/We will inform you the change in my/our e-mail, if any, in future.

11. Authorization for Communication of Financial Products: I/We have opened an account with you and am/are interested in knowing about other financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which SAMCO Securities Limited, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute; through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

12. Authorization for Providing Financial Ledger in Digital Form: I/we hereby authorize you to send me/us the financial ledger in the digital form in the prescribed format at my/our E-mail ID / Address.

13. Trading of commodity is in electronic mode, based on VSAT, leased line, ISDN, modem and VPN, combination of technologies and computer systems to place and route orders. I/We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We shall bear all consequences of such problems/ glitch and shall not hold the Member responsible for it.

14 .I/We agrees that if I/we fail to meet our funds pay-in obligation in respect of any one or more commodity purchased by me before the scheduled pay-in date, the Member shall be at liberty to sell the commodity received in pay-out, in proportion to the amount not received, after taking into account any amount lying to my/our credit, by selling equivalent commodity at any time after the scheduled Pay-in time on the Exchange. If the Member does not sell the commodity within five trading days after the date of Pay-in for any reason whatsoever, such commodity shall be deemed to have been closed out at closing price declared by the exchange for the fifth trading day. I/We agrees that the loss, if any, on account of the close out shall be to my account.

15. I/We further agree that if I/We fail to deliver any one or more commodity to the Member's pool account in respect of the commodity sold by me before the pay-in date notified by the Exchange from time to time, such undischarged obligation(s) in relation to delivering any one or more commodity shall be deemed to have been closed out at the auction price or closing price, as may be debited to me in respect of the commodity for the respective settlement, to the extent traceable to me on my failure to deliver; otherwise the closing price on the date of pay-out in respect of the relevant commodity, declared by the Exchange. I/We acknowledge that the loss, if any, on account of the close out shall be debited to my account. I/We further agrees that if for any reason, schedule of pay-out is modified, the aforesaid shall be made applicable reckoning the actual date of pay-in and /or pay-out, as the case may be.

16. I/We agree that if I/we fail to meet my/our funds pay-in obligation in respect of any one or more contracts purchased by me/us before the scheduled pay-in date, the Member shall be at liberty to square off any open position in my/our account in proportion to the amount not received, after taking into account any amount lying to my credit, at any time after the scheduled Pay-in time on the Exchange. I/We agree that the loss, if any, on account of the said squaring off shall be to the my/our account. I/We acknowledge that the Member will make available the delivery against my purchases only if there are no dues against me/us.

17. I/We can revoke any or all of the above authorizations at any time in writing. Any change in any of the above voluntary/non-mandatory clauses will have to be preceded by a notice . The Member and the Client understand that none of the above voluntary/non-mandatory clause is in contravention with the Rules/Business Rules/Notices/Circulars of Exchanges / SEBI. If any of the above clauses or part thereof is found to be or becomes in such contravention, it shall be of no effect to the extent of contravention.

Date

11. 

Place

SIGNATURE OF APPLICANT

Additional KYC Form for Opening a Demat Account

For Individuals

SAMCO SECURITIES LIMITED
DEPOSITORY PARTICIPANT – CENTRAL DEPOSITORY SERVICES LTD
DP ID: 12054200 SEBI REGN NO. IN-DP-CDSL-443-2008
A-1004, 10th Floor, Naman Midtown-A Wing, Senapati Bapat Marg, Prabhadevi, Mumbai-400 013,
Email: **depository@samco.in**

(To be filled by the Depository Participant)

DP ID	1	2	0	5	4	2	0	0	Client ID	As per client master attached

(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 following details:-

Holders Details

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

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**	
☑ Individual	☑ Individual Resident ☐ Individual Director's Relative ☐ Individual Promoter ☐ Individual Margin Trading A/C (MANTRA)	☐ Individual-Director ☐ Individual HUF / AOP ☐ Minor ☐ Others(specify)_____
☐ NRI	☐ NRI Repatriable ☐ NRI Repatriable Promoter ☐ NRI - Depository Receipts	☐ NRI Non-Repatriable ☐ NRI Non-Repatriable Promoter ☐ Others (specify)_____
☐ Foreign National	☐ Foreign National ☐ Foreign National - Depository Receipts ☐ Others (specify) _____	

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

Standing Instructions

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] ☐ Yes ☐ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	☐ Yes ☐ No
Account Statement Requirement ☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☑ Monthly	
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID **tradeabhiyt@gmail.com**	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I / We would like to receive the Annual Report ☐ Physical / ☑ Electronic / ☐ Both Physical and Electronic (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]	☐ Yes ☐ No

12. 

Client Signature

Name of the Applicant

Date:

Voluntary Authorization Letter

To,
SAMCO SECURITIES LIMITED
A-1004, 10th Floor, Naman Midtown-A Wing, Senapati Bapat Marg, Prabhadevi, Mumbai-400 013

Dear Sir,

Sub: Voluntary Authorization Letter

BO ID: 12054200 Client code :

SMS Alert Facility Refer to Terms & Conditions given as **Annexure - 2.4**	MOBILE NO. +91 [(Mandatory , if you are giving Power of Attorney / Demat Debit and Pledge Instruction (POA / DDPI)] (if DDPI is not granted & you do not wish to avail of this facility, cancel this option).
Easi	To register for easi, please visit our website **www.cdslindia.com.** Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

2) Authorisation to debit trading account for the demat account charges

I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and trading purpose. It would be difficult for me/us to keep issuing separate cheques against your depository bills. I/We therefore authorise you to debit the charges payable towards operations of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

3) Option form for issue of DIS Booklet (Voluntary)

I/We hereby state that: [select one of the option given below]

OPTION 1: I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/ We have issued a Demat Debit and Pledge Instruction (DDPI) in favour of **SAMCO Securities Limited** for executing delivery instructions for settling stock exchange trades [Settlement related transactions] effected through such Clearing Member. **OR**

OPTION 2: I / We do not require the delivery Instruction Slip(DIS)for the time being, Since samco provides an OTP based online instruction service & we will issue a DDPI in favour of **SAMCO Securities Limited** for executing the delivery instructions for settling stock exchange trades [settlement related transaction]effected through such Clearing Member. However, the Delivery Instruction Slip (DIS)booklet should be issued to me / us immediately on my / our request at any later date.

I We here by select ☐ **OPTION 1** ☐ **OPTION 2**

4) Request for bill/transaction/holding statement through email.

I/We request you to send me/us bill, transaction and holding statement of my CDSL Demat account at following email address: tradeabhiyt@gmail.com

I/We fully agree and are aware of following Terms and Conditions mentioned below.

(a) that I/We will not receive the bill, transaction and holding statements in paper form.

(b) that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.

(c) that I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.

(d) that I/We in case bill, transaction and holding statements are sent by email, I/We will immediately inform the SAMCO SECURITIES LIMITED. about change in email address, if any.

In case, the SAMCO Securities Limited is not able to provide bill/transaction statement to its Clients by email or on website due to any reason (including bounced emails), SAMCO Securities Limited will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.

I/We hereby request you to sent the statements: ☐ daily ☐ fortnightly ☐ weekly ☐ monthly

13. 

Sole Holder or Guardian (in case of minor)

Date:

Annexure-A
Format for providing Nomination for Demat Account and MF Folios

Mandatory Details

1. I / We wish to make nomination [as per details given below]
(You can nominate upto 3 persons)

Details	1st Nominee	2nd Nominee	3rd Nominee
1 Name of the nominee*			
2 Relationship with the Applicant			
3 Date of Birth (to be provided in case the nominee is a minor)			

2. I want the following nomination details to be printed in the account / holding statements (tick one of the boxes below):

☐ Name of the Nominee(s)
☐ Whether nomination given: ☐ Yes / ☐ No (not name of the nominee)

3. Optional details of nomination:

Details	1st Nominee	2nd Nominee	3rd Nominee
a) % Share of nominee** (equal share if % is not specified)			
b) Mobile of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)			
c) Email ID of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)			
d) Specify Personal identifier document Aadhaar (last four digit), PAN, Driving Licence, Passport ***			

**Any odd lot after division shall be transferred to the first nominee mentioned in the form.
*** The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.

4. Signature:

Name(s) of holder(s)	Signature(s) of holder****
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

****If nomination is submitted:
Online: validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address.
Physical / offline: wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.

Note:
- Investors can provide, changes or cancel nominations any number of times.
- The signature of all the joint holders shall be obtained for providing / changing nomination regardless of mode of operations.
- This nomination shall supersede any prior nomination made by the investor(s), if any.
- Investors can change nomination any number of times.
- Investor have the right to receive acknowledgement of the nomination form for each instance of nomination / subsequent change.

Annexure-B

Declaration for Opting-out of Nomination

I hereby confirm that I do not wish to appoint any nominee(s) to my demat account/ mutual fund folio at this point of time.

I understand that –

(i) the nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.

(ii) in the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).

(iii) if no claim is made on the account / folio for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

Name and Signature of Holder

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

Demat Debit and Pledge Instruction

S.No.	Purpose	Signature of Client*
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	
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.	
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	
4.	Tendering shares in open offers through Stock Exchange platforms.	

Demat Account Details-Samco Securities Limited

EXCHANGE & SEGMENTS	TYPE OF A/C	NSDL	CDSL
BSE CASH	EARLY PAYIN A/C		1100001000018570
NSE CASH	EARLY PAYIN A/C		1100001100018602
NSE CASH	POOL A/C	IN560708	1205420000002691
NSE CASH	TM/CM CMPA A/C		1205420001505078
NSE CASH	SLB POOL A/C		1205420001834205
NSE CASH	TM/CM CSMFA A/C		1205420001506582
NSE CASH	POOL A/C		1205420000002307

Date

16. 

Place

SIGNATURE OF APPLICANT

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

17. 

Place

SIGNATURE OF APPLICANT

Good Till Triggered (GTT) Policy

1. Purpose

The purpose of this Goods Till Triggered (GTT) Order Policy is to define the procedures and conditions under which GTT orders are placed, managed, and executed. This policy aims to provide clarity on how GTT orders work and ensure that they are handled in a transparent and efficient manner.

2. Definition

A GTT order is a type of conditional order that remains valid until a predefined trigger condition is met. Once the trigger condition is satisfied, the GTT order is activated and executed according to the specified instructions.

3. Scope

This policy applies to all GTT orders placed by clients for the purchase or sale of securities, or other financial instruments through our trading platform.

4. Order Placement

Trigger Condition: The client must specify the conditions under which the GTT order will be activated. This could include price levels, quantity, or other relevant criteria. Further on trigger of price, the GTT order will then be executed with exchange.
Order Details: The client must provide complete details of the GTT order, including the trigger condition, order type (buy/sell), quantity, price, and any additional instructions.

5. Validity

Duration: GTT orders are valid until the trigger condition is met or until the order is canceled by the client. GTT orders do not expire until activated or explicitly canceled. The validity of GTT orders is till 31st Dec 2099, after placing the request if they are not triggered according to the specified conditions.
Trigger Satisfaction: Once the trigger condition is met, the GTT order is activated and treated as a standard order, subject to market conditions and execution practices.

6. Order Execution

Activation: Upon activation, the GTT order will be executed based on the prevailing market conditions and the instructions provided by the client.
Partial Execution: If only part of the order can be filled, the remaining quantity may remain open or be canceled based on client instructions.
Market Conditions: Execution is subject to market liquidity and other factors. The company does not guarantee that the order will be executed at the specified price.

7. Modification and Cancellation

Modification: Clients may modify the trigger condition, order details, or other relevant parameters of a GTT order before it is activated.
Cancellation: Clients can cancel a GTT order at any time before it is triggered. Once activated, the order can only be canceled or modified according to standard order management procedures. In the event of corporate actions, all existing GTT orders are canceled one day before the ex-date of the corporate action and clients will be intimated on the same day.

8. Risk Disclosure

Market Risk: Clients should be aware of market risks, including price volatility and liquidity issues, which may impact the execution of GTT orders.
System Risk: There may be technical issues or system limitations that affect the activation and execution of GTT orders. The company does not guarantee that the order will be triggered and executed during market volatility.

9. Compliance and Reporting

Regulatory Compliance: GTT orders and their execution are subject to relevant regulatory requirements and compliance standards. The GTT orders are subject to certain terms and conditions which are listed on our official website www.samco.in
Reporting: Clients will receive reports and confirmations regarding the status and execution of their GTT orders as per standard practices.

Date

18. 

Place

SIGNATURE OF APPLICANT

Policy on facility of voluntary freezing/blocking the online access of the trading account

1. SCOPE AND APPLICABILITY

Samco Securities Limited, being a Trading Member providing Internet Based Trading/ Mobile Trading/ other online access for trading, is required to make available to the clients at least two modes as prescribed by the exchanges through which the client may request for voluntary freezing/ blocking the online access of trading account if any suspicious activity is observed in the trading account.

2. Mode of receipt of request for freezing/blocking the trading A/c:

Following modes shall be provided by the Company for receipt of request for freezing/blocking the clients trading A/c:
1. Client can raise voluntary freeze request through his own Back-office login under Profile section and complete 2FA authentication.
2. A dedicated land Line No.: 022-69080514 is provided to clients to place request for voluntary freezing/ blocking of the online access of the clients' trading account.

3. Procedure to be followed on receipt of request for freezing/blocking the trading A/c.:

n receipt of request from clients through any of the prescribed modes of communications; for freezing/blocking of the online access of the trading account from the client:
1. Company shall validate that the request is received from a registered client and issue an acknowledgement for the same.
2. Company shall freeze/block the online access of the client's trading account and simultaneously cancel all the pending orders of the said client.
To validate that the request for freezing/blocking of the online access of the trading account is received from the respective client; company shall verify, whether request is received from the registered e-mail Id / mobile number of the client
3. The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgement as well as freezing/ blocking of the online access of the trading account
Request received during the trading hours and within 15 minutes before the start of trading	Within 15 Minutes
Request received after the trading hours and 15 minutes before the start of trading	Before the start of next trading session

4. Post freezing/blocking the client's trading account, company shall send a communication on the registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account.

5. Company shall also communicate / provide the details of open positions of client (if any) along-with contract expiry information within one hour from the freezing/blocking of the trading account.

6. Company shall maintain the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients.

4. Re-enabling the client for online access of the trading account: -

Company shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request received on support@samco.in and unfreezing / unblocking the online access of the trading account.

5. Clarification

Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of company.
The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the records of respective Exchanges.

Date

19. 

Place

SIGNATURE OF APPLICANT