

S.N.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent	5
		B. Document captures the additional information about the Constituent relevant to trading account and an instruction /check list.	6 – 8
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker /trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Ann-1
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Ann-2
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Ann-3
5	Policies and Procedures	Document describing significant policies and procedures of Stock Broker.	Ann-4
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	9
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7	Undertaking	Contains voluntary undertakings by the client with respect to SOUTH ASIAN STOCKS LTD.'s internal operations during the course of relationship with SOUTH ASIAN STOCKS LTD.	10– 12
8	Authorization for Electronic Contract Notes	Client consent letter for receiving the contract notes by Email.	13
9	Declaration & Authorization For Account Modification	Client consent letter for receiving SMS from SOUTH ASIAN STOCKS LTD and a client declaration stating that he is not a defaulter. Authorization for account detail modification	14
10	Running Account Authorization	Letter of Authorization for maintaining a Running Account with SOUTH ASIAN STOCKS LTD.	15

SOUTH ASIAN STOCKS LTD.

Regd. Office: - 3rd Floor , Building No. 5, Local Shopping Complex, Rishabh Vihar, Near Karkarduma Metro Station . East Delhi – 110092

Phone: 011-40409999 website www.sasonline.in

Correspondence address: same as above

SEBI Registration No. : INZ000164738

Compliance officer Name: Shrey Jain

CEO Name: R K Jain

Phone No. & mail ID: 011-40409999, info@sasonline.in

011-47377200, info@sasonline.in

For any grievance please contact SOUTH ASIAN STOCKS LTD. at the above address or email complaints@SASOnline.in and Phone no. 91-011-40409999

In case not satisfied with the response, please contact the concerned exchange at:

1. NSE: ignse@nse.co.in or contact at 022-26598100

2. BSE: is@bseindia.com or contact at 022-22728097

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card / document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
- C. **Proof of Address (POA):** - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)
 1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
 2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
 3. Bank Account Statement/Passbook -- Not more than 3 months old.
 4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
 5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary Public / Elected representatives to the Legislative Assembly/ Parliament / Documents issued by any Govt. or Statutory Authority.
 6. Identity card/document with address, issued by any of the following: Central/State Government and its departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
 7. For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.
 8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

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

Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

F. 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.

- G. 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.

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

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.

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.

To
SOUTH ASIAN STOCKS LTD.
 3rd Floor, Building No. 5, Local Shopping Complex,
 Rishabh Vihar, Near Karkarduma Metro Station.
 East Delhi – 110092

Sub: Acknowledgement

This is to acknowledge the receipt of following documents.

S. No	Brief significance of the Document
1.	Rights and Obligations
2.	Risk Disclosure document (RDD)
3.	Guidance Note – do's and dont's
4.	Policy and Procedure
5.	Executed copy of KYC

I further state and confirm that I have read and understood all the clauses of aforesaid document.

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of SOUTH ASIAN STOCKS LTD.

Yours faithfully,



S1 Client Signature

Name of the Applicant: _____

Date: _____

Checklist before submitting the Application Form CORPORATE ACCOUNT

- ☐ Copy of PAN Card of the company
- ☐ Copy of PAN Card / Passport / Voter ID / Driving License of director / authorized signatories
- ☐ Certified true copy of annual report for the last year.
- ☐ Proof of the Demat account.
- ☐ Verification / attestation of signature of the directors by the bank
- ☐ Copies of the balance sheet for the last 2 financial years (Copies of annual balance sheet to be submitted every year)
- ☐ Copies of the Memorandum & Articles of Association
- ☐ Photographs of whole time directors, individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorized to deal in securities on behalf of the company.
- ☐ Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the Company Secretary/Whole Time Director/ M.D. (Copy of updated shareholding pattern to be submitted every year)
- ☐ Copy of the Resolution of Board of Directors approving participation in equity / derivatives trading and authorizing persons for dealing in securities.
- ☐ Copy of Form No. 32 of the company.

Note:

1. Complete document to be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.
2. Trading in Currency Derivative allowed only to Resident Clients.

KNOW YOUR CLIENT APPLICATION FORM (NON-INDIVIDUALS)

(This information is the sole property of SOUTH ASIAN STOCKS LTD. and would not be disclosed to any one unless required by law or except with the express permission of clients) Please fill this form in ENGLISH and in BLOCK LETTERS.

SOUTH ASIAN STOCKS LTD.

3rd Floor , Building No. 5 , Local Shopping Complex , Rishabh Vihar,

Near Karkarduma Metro Station . East Delhi – 110092

Phone: 011-40409999

SEBI Registration No. : INZ000164738

HUF ☐ Partnership Firm ☐ Proprietary Firm ☐ Corporate ☐

A. IDENTITY DETAILS

1. Name of the Applicant Company/ Firm: _____ As per PAN card
2. PAN: _____ Compulsory
3. Constitution: _____
4. Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

1. Address for Correspondence: _____

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

 City/town/village: _____ Pin Code: _____
 State: _____ Country: _____
5. Specify the proof of address submitted for permanent address: _____

C. OTHER DETAILS

1. Date of incorporation /formation: _____
2. Date of commencement of business: _____
3. Nature of Business: _____
4. Registration number: _____
5. Gross Annual Income Details (please specify): Income Range per annum:
 Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lacs or
 Net-worth as on (date) _____ (_____) (Net worth should not be older than 1year)
6. Please tick, if applicable: Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐



S2 Client Signature

Date: _____

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT DETAILS

	PRIMARY BANK ACCOUNT	SECONDARY BANK ACCOUNT
Bank Name		
Branch Address		
Bank Account No.		
Account Type:	Savings <input type="checkbox"/> Current <input type="checkbox"/> Others <input type="checkbox"/>	Savings <input type="checkbox"/> Current <input type="checkbox"/> Others <input type="checkbox"/>
In case of NRI Account	NRE <input type="checkbox"/> NRO <input type="checkbox"/>	NRE <input type="checkbox"/> NRO <input type="checkbox"/>
MICR Number		
IFSC code		

B. DEPOSITORY ACCOUNT(S) DETAILS

	Existing details	New details																																								
DP Name																																										
DP id	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%;">NSDL</td> <td style="width: 5%;">I</td> <td style="width: 5%;">N</td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> </tr> <tr> <td>CDSL</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>	NSDL	I	N								CDSL										<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%;">I</td> <td style="width: 5%;">N</td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>	I	N																		
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Beneficiary Name																																										
DP A/c no																																										

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. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name: _____ SEBI Registration number: _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

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

Name of stock broker: _____ Name of Sub-Broker, if any _____

Client Code: _____ Exchange: _____

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



S3 Client Signature






Date: _____

E. TRADING PREFERENCES / EXPERIENCE

No Prior Experience ☐ Years in Equities ____/____/____ Years in Derivatives ____/____/____

Years in other Investment Related Field ____/____/____

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

	Cash		F&O		Currency Derivatives	
NSE	S4 (a)	 Client Signature	S4 (b)	 Client Signature	S4 (c)	 Client Signature
BSE	S4 (d)	 Client Signature	S4 (e)	 Client Signature		

If, in future, the client wants to trade on any new segment, a separate authorization/letter should be taken from the client by the 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: _____

ii. Whether you wish to avail of the facility of internet trading/ wireless technology/mobile trading YES ☐ NO ☐

iii. Number of years of Investment / Trading Experience: _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer: _____

Status of the Introducer: Sub-broker/Remiser/Authorized Person/Existing Client: Client ID _____

Others, please specify _____

Address of the Introducer: _____

Phone no. of the Introducer: _____

Signature of the Introducer: _____

H. Names and Designation of persons authorized to deal in securities/ derivatives/ currency derivatives on behalf of the company / firm / others and their residential address

1. Name : _____ Designation: _____

Address : _____

2. Name : _____ Designation: _____

Address : _____

3. Name : _____ Designation: _____

Address : _____

DECLARATION

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



S5 Client Signature

Personal Details Of Directors / Managing Directors / Wholetime Directors / Partners / Karta Of HUF / Co-Parcener

Name		Paste passport size photograph of Karta and cross sign over it
Designation		
Residential Address		
Date Of Birth		
Qualification		
PAN No. (Compulsory)		

Name		
Designation		
Residential Address		
Date Of Birth		
Qualification		
PAN No. (Compulsory)		

Name		
Designation		
Residential Address		
Date Of Birth		
Qualification		
PAN No. (Compulsory)		

Name		
Designation		
Residential Address		
Date Of Birth		
Qualification		
PAN No. (Compulsory)		


 S6 Client Signature

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 _____



S7 Client Signature

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

SOUTH ASIAN STOCKS LTD. TARIFF SHEET

To

SOUTH ASIAN STOCKS LTD.

3rd Floor, Building No. 5, Local Shopping Complex,

Rishabh Vihar, Near Karkarduma Metro Station.

East Delhi – 110092

Sub: Charges for SOUTH ASIAN STOCKS LTD. Trading Services

Dear Sir or Madam,

I would like to subscribe to the SOUTH ASIAN STOCKS LTD. plans and request SOUTH ASIAN STOCKS LTD. to apply any applicable tariff as per the terms and conditions of SOUTH ASIAN STOCKS LTD.

I hereby authorize SOUTH ASIAN STOCKS LTD. to debit my ledger for the subscription amount as per terms and conditions of SOUTH ASIAN STOCKS LTD. Rs. 999 for Equity or Rs.499 for Currency per month unlimited Plan, if I choose to subscribe to either plan

Rs. 9 Per executed order Plan

For no monthly fees, you will be allowed to trade CASH, F&O and CURRENCY at Rs. 9 per executed order. For BSE Cash Intraday and NSE Cash Intraday you can trade at Rs. 9 per executed order or 0.01% whichever is lower. For BSE Cash Delivery and NSE Cash Delivery you can trade at Rs. 9 per executed order or 0.10% whichever is lower. For Currency you can trade at Rs. 9 per executed order or Rs. 0.99 per lot whichever is lower.

Rs. 999 Per Month unlimited Plan

The Rs. 999 per month unlimited Plan provided for a monthly fee of Rs. 999 only. You can do unlimited trading across NSE Cash, BSE Cash and NSE F&O segments.

Rs. 499 Per Month unlimited Plan

The Rs. 499 per month unlimited Plan provided for a monthly fee of Rs. 499 only. You can do unlimited trading across Currency Future and Options.

FOR NSE F&O, NSE CM, BSE CM - PLEASE SELECT ONLY ONE

Rs. 9 Per order traded Plan ☐

Rs. 999 per month unlimited Plan. ☐

FOR NSE CURRENCY - PLEASE SELECT ONLY ONE

Rs. 9 Per order traded Plan ☐

Rs. 499 per month unlimited Plan. ☐

*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:

- | | |
|-------------------------------|--|
| 1. Transaction Charges | 4. Stamp Duty |
| 2. Securities Transaction Tax | 5. Education and Higher Education Cess |
| 3. GST | 6. SEBI Turnover Fees |

Terms and Conditions can be subject to change.

The terms and conditions of the SOUTH ASIAN STOCKS LTD. plans has been read and understood by me. I wish to avail the plans below provided by SOUTH ASIAN STOCKS LTD. my trading account subject to the terms and conditions mentioned above



S8 Client Signature

Date: _____

To

SOUTH ASIAN STOCKS LTD.

3rd Floor, Building No. 5, Local Shopping Complex,
Rishabh Vihar, Near Karkarduma Metro Station.
East Delhi – 110092

SUB : UNDERTAKING / AUTHORISATION

With respect to Member-Constituent Relationship and Mandatory and Voluntary (optional) Documents executed between us, I / We do hereby authorize SOUTH ASIAN STOCKS LTD. to do the following:

1. Order Placement Instructions

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ Emailing the Call centre / branch specified for the said purpose by SOUTH ASIAN STOCKS LTD. in case of breakdown of internet connectivity or other similar reasons.

I hereby request you to kindly accept my, my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify SOUTH ASIAN STOCKS LTD. and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances SOUTH ASIAN STOCKS LTD. shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold SOUTH ASIAN STOCKS LTD. responsible beyond this and claim additional damages/loss.

I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by SOUTH ASIAN STOCKS LTD..

3. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, SOUTH ASIAN STOCKS LTD. has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients In case I wish to deal for other clients also, I undertake to apply to SEBI through SOUTH ASIAN STOCKS LTD. to obtain a sub broker registration.

In case SOUTH ASIAN STOCKS LTD. perceives that I am acting as an unregistered sub broker, SOUTH ASIAN STOCKS LTD. has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to SOUTH ASIAN STOCKS LTD. without the requirement of any notice from SOUTH ASIAN STOCKS LTD. Further, SOUTH ASIAN STOCKS LTD. has the right to inform the concerned regulatory authorities about the same.

In aforesaid eventuality, I agree and undertake to indemnify SOUTH ASIAN STOCKS LTD. from any loss/ damage/claim arising out of such activity.

5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/or Statutory authority to deal in securities directly or indirectly. I agree to inform SOUTH ASIAN STOCKS LTD., in writing, of any regulatory action taken by any Exchange or Regulatory/ Statutory authority on me in future. In case I fail to inform

the same and SOUTH ASIAN STOCKS LTD. on its own comes to know of such action, SOUTH ASIAN STOCKS LTD. has the right to suspend/close my trading account and refuse to deal with me.

Also, SOUTH ASIAN STOCKS LTD. can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

6. **PMLA DECLARATION**

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by SOUTH ASIAN STOCKS LTD. officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

- a. I do not have any links with any known criminal
- 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.

7. **INDEMNIFICATION**

I hereby indemnify and hold SOUTH ASIAN STOCKS LTD., its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the SOUTH ASIAN STOCKS LTD. directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold the SOUTH ASIAN STOCKS LTD. harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and /or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

8. **MUTUAL FUND SERVICE SYSTEM (MFSS) FACILITY**

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

9. **NRI DECLARATION**

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to SOUTH ASIAN STOCKS LTD. every time the investment is made.

Yours faithfully



S9 Client Signature

Applicant Name: _____

Date : _____

A. THIRD-PARTY PAYMENTS

SOUTH ASIAN STOCKS LTD. shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along-with adequate proof thereof as per Performa prescribed by SOUTH ASIAN STOCKS LTD. SOUTH ASIAN STOCKS LTD. shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by SOUTH ASIAN STOCKS LTD. and the credit for the same has been given in the client's ledger, SOUTH ASIAN STOCKS LTD. shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, SOUTH ASIAN STOCKS LTD. reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. SOUTH ASIAN STOCKS LTD., its Directors and employees shall not be responsible for any consequential damages or losses.

B. NO DEALINGS IN CASH

SOUTH ASIAN STOCKS LTD. as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/Remisier/Employee/Authorised Person of SOUTH ASIAN STOCKS LTD.

C. DISCLOSURE OF PROPRIETARY TRADING BY SOUTH ASIAN STOCKS LTD.

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, SOUTH ASIAN STOCKS LTD. discloses to its clients about its policies on proprietary trades. SOUTH ASIAN STOCKS LTD. does proprietary trades in the cash and derivatives segment at NSE, BSE.

D. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of SOUTH ASIAN STOCKS LTD., for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/ SOUTH ASIAN STOCKS LTD. In case the client fails to transfer the shares on time to SOUTH ASIAN STOCKS LTD., SOUTH ASIAN STOCKS LTD. shall not be responsible for any loss/damages arising out of such delayed transfers.

E. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares.

In case the client fails to settle the transactions within the settlement date, then SOUTH ASIAN STOCKS LTD. has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. SOUTH ASIAN STOCKS LTD., its Directors and Employees shall not be responsible for any loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of SOUTH ASIAN STOCKS LTD.

After such square off of open positions by SOUTH ASIAN STOCKS LTD., as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, SOUTH ASIAN STOCKS LTD. shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. SOUTH ASIAN STOCKS LTD., its Directors and employees shall not be responsible for any loss or damages arising out of such selling.



S10 Client Signature

LETTER OF AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES

Date: _____

To

SOUTH ASIAN STOCKS LTD.

3rd Floor, Building No. 5, Local Shopping Complex,
Rishabh Vihar, Near Karkarduma Metro Station.
East Delhi – 110092

Dear Sir,

Sub: Authorisation for Electronic Contract Notes

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options 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:

Enter Email ID

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.

Thanking you

Yours faithfully



S11 Client Signature

MOBILE NUMBER DECLARATION

I _____ having PAN _____ do hereby declare that my mobile no. is _____. Further, I authorize SOUTH ASIAN STOCKS LTD. that the same may be used for giving me any information/ alert/SMS.

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

Date: _____



S12 Client Signature

DEFAULTER DECLARATION

I _____ having PAN _____ do hereby declare that I have not been involved in any terrorist activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc.

I further declare that the above mentioned declaration/ statement are true and correct.

Date: _____



S13 Client Signature

AUTHORIZATION FOR ACCOUNT MODIFICATION

If I/we were to add/modify/remove any of my account details including bank a/c, brokerage plans with SOUTH ASIAN STOCKS LTD. , I/we authorize you to carry it out based on my request sent through an email to support@sasonline.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.

Date: _____



S14 Client Signature

RUNNING ACCOUNT AUTHORIZATION

Date: _____

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

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account
 - Once in 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 requisite securities/funds 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 further authorize you to retain an amount of upto Rs. 10,000/- (net amount across segment and across stock exchanges) in order to avoid administrative/operational difficulties in settling my/our account. The same may be released on my/our specific request.
7. The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking you

Yours faithfully,



S15 Client Signature