

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

Sr. No.	Name of the Document	Brief Significance of the Document	Page No
	MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES		
1	Right KYC Detail	A) Individual B) Non-Individual	1-11
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	12-17
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	18-22
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	23-24
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	25-28
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the stock broker).	32
7	HUF Declaration	HUF Declaration	37
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8	Formats	Formats for giving specific letters to SPS	29-30
9	Running Account Authorization	Helps the client to enjoy exposures linked to credit in the trading account.	38
10	Letter of Authority-CASH/ F&O/ Currency Segment (Annexure-10)	To enable the trading member to act upon the clauses mentioned in the letter of authority.	39-40
11	Acknowledgment	Acknowledgment Receipt of Kye and Documents.	41

SPS Share Brokers Pvt. Ltd.

SEBI Registration Nos. & Date:

BSE - Member Code: 557

SEBI Regn. No. INB010979938 (Equities Segment), Date: 30-12-1997

SEBI Regn. No. INF010979938 (Futures & Options Segment), Date: 22-02-2008

NSE - Member Code: 09799

SEBI Regn. No. INB230979933 (Equities Segment), Date: 31-03-2005

SEBI Regn. No. INF23230979933 (Futures & Options Segment), Date: 25-05-2005

SEBI Regn. No:INE230979933 (Currency Derivatives Segment), Date: 27-08-2008

Registered Office Address	:	121/4, Agra Building, 1 st Floor, Fort, Mumbai - 400 001 Website: www.spssharebrokers.com
Correspondence Office Address:		66, Tamarind Lane, 4/5, Haji Kasam Building, 1 st Floor, Fort, Mumbai - 400 001 Phone: (022) 4034 4034 Fax: (022) 4034 4085 / 90 Website: www.spssharebrokers.com
Compliance Officer Name	:	Sandeep Shah 022 - 4034 4035
Phone no. & Email id	:	sandeep.shah@spssharebrokers.com
	:	
Chief Executive Officer	:	Sandeep Shah 022 - 4034 4035
Name Phone no. & Email id	:	sandeep.shah@spssharebrokers.com
	:	

For any grievance/dispute please contact stock broker **SPS Share Brokers Private Limited** at the above address or email at investors@spssharebrokers.com or call on (022) 6654 7799.

In case not satisfied with the response, please contact the concerned exchange(s).

For BSE mail at is@bseindia.com or call on (022)-2272 8097, for NSE mail at ignse@nse.co.in or call on (022) - 2659 8190.

TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-individuals

A. Bank Account Details (In order of preference)		
Details	Bank 1	Bank 2
Bank Name		
Branch Address		
Bank A/c Number		
Account Type (SB/CA/NRE/NRO)	SB <input type="checkbox"/> : CA <input type="checkbox"/> : NRE <input type="checkbox"/> : NRO <input type="checkbox"/>	SB <input type="checkbox"/> : CA <input type="checkbox"/> : NRE <input type="checkbox"/> : NRO <input type="checkbox"/>
MICR No.	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
IFSC Code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Default <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B. Depository Account(s) Details		
Details	DP 1	DP 2
Depository Participant Name		
Depository Name (NSDL/CDSL)		
Beneficiary name		
DP ID		
Beneficiary ID (BO ID)		
Default <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C. TRADING PREFERENCES

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

Stock Exchanges & Market Segment on which you wish to trade			
NSE Equity	X (7) Ⓒ		NSE Derivative X (8) Ⓒ
NSE Currency	X (9) Ⓒ		NSE Mutual Fund X (10) Ⓒ
BSE Equity	X (11) Ⓒ		BSE Mutual Fund X (12) Ⓒ
MCX-SX Currency	X (13) Ⓒ		USE Currency X (14) Ⓒ
MCX-SX CM	X (15) Ⓒ		MCX-SX F&O X (16) Ⓒ

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

D. PAST ACTIONS

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

☐ Yes

☐ No

If yes attach annexure giving details.

E. 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:			
Phone		Fax:	
Website:			
Whether dealing with any other stock broker/ sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)	<input type="checkbox"/> Yes <input type="checkbox"/> No		
	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 _____		

F. ADDITIONAL DETAILS

Mode of receiving contract notes (please tick)	<input type="checkbox"/> Physical contract note <input type="checkbox"/> Electronic contract note		
Specify your email ID if applicable			
Whether you wish to avail Internet Trading (please Specify and Sign)	<input type="checkbox"/> Yes <input type="checkbox"/> No	X (17)	© _____
Whether you wish to avail Wireless Technology (please Specify and Sign)	<input type="checkbox"/> Yes <input type="checkbox"/> No	X (18)	© _____
No of years of investment / Trading experience			

- Details of authorised persons to deal in securities on behalf of company firm and others in case of non individuals clients

Name of the authorised person	
Designation	
PAN No.	
UID	
Residential Address	
Signature	X (19)
Any other information	

G. INTRODUCER DETAILS (optional)

Name of the introducer	(Surname)	(Name)	(Middle Name)
Address			
Phone No.			
Status / Relationship of introducer with SPS Share Brokers Pvt. Ltd.	<input type="checkbox"/> Authorised person <input type="checkbox"/> Sub broker <input type="checkbox"/> Others <input type="checkbox"/> Remiser <input type="checkbox"/> Existing client Please Specify _____		
Signature of the Introducer	X		

H. NOMINATION DETAILS (for individuals only)

Please tick ☐ I/We wish to nominate ☐ I/We do not wish to nominate

Name of Nominee	
Relationship with Nominee	
PAN of Nominee	
Date of Birth of Nominee	
Address of Nominee	
Phone No. of the Nominee	

► **If Nominee is a minor, details of guardian**

Name of guardian:	
Address and phone no. of Guardian	
Signature of the Guardian	X

► **WITNESSES (Only applicable in case the account holder has made nomination)**

Details	Witness 1	Witness 2
Name		
Signature	X	X
Address		

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 -----

X (20)

Signature of Client/ (all)

Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

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

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

Signature of the Authorised Signatory

Date:

Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST

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

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

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

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

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

4. For individuals:

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

5. For non-individuals:

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